



**KANSAS STATE CAPITOL.**  
MCDONALD BROS. ARCHITECTS,  
LOUISVILLE, KY.  
Scale 5 feet to 1 inch

# **Building Design and Construction Manual**

**State of Kansas  
Department of Administration  
Office of Facilities and Property Management**

# Building Design and Construction Manual

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## FOREWORD

This manual and associated project forms have been developed and revised by Office of Facilities and Property Management to provide the reader, project architect, project engineer, or agency representatives, with the necessary information to complete a construction project for the State of Kansas. It is the intent of this manual and forms to develop procedures in accordance with the accepted practices of architecture and engineering.

Any concerns or conflicts found in this manual should be brought to the attention of the Office of Facilities and Property Management. Send comments in writing to [barb.schilling@da.ks.gov](mailto:barb.schilling@da.ks.gov). In the subject line, please reference the Building Design and Construction Manual.

Each chapter and form that is developed and revised is posted with a revision date. It is OFPM's intent to post chapters only when changes are required, on or about July 1 of each year. Forms shall be updated as required and posted when changes are made.

Each firm and agency is responsible for obtaining a copy of the current version of the manual. Visit [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) often for the latest version of the manual and the latest versions of each form.

*Office of Facilities and Property Management*

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- Certificate of Substantial Completion (DCC 570) (.docx)
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### OFPM Related

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## CHAPTER 1 - OFFICE OF FACILITIES AND PROPERTY MANAGEMENT

### 1.0 Overview

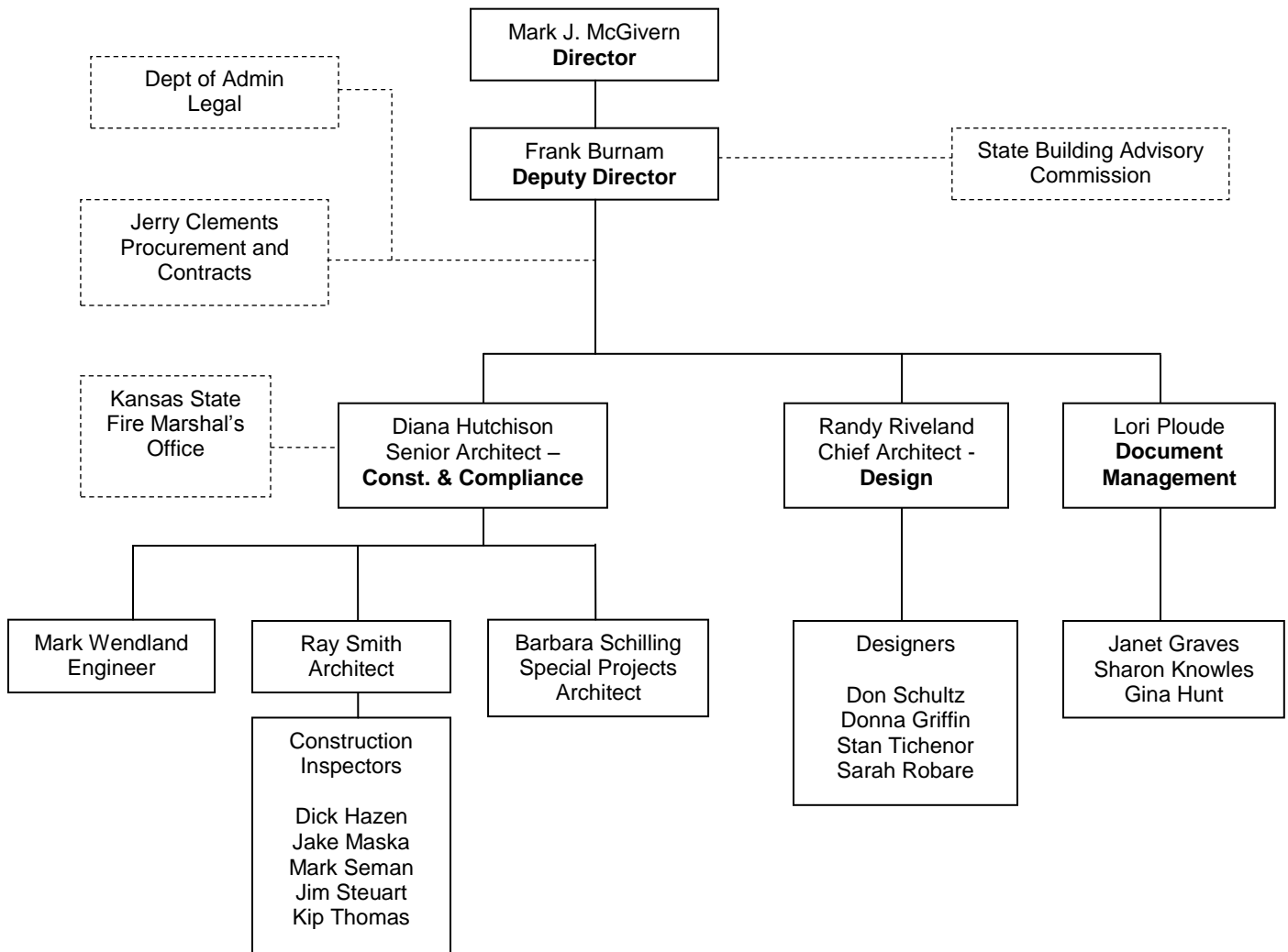
- 1.1 The Office of Facilities and Property Management (OFPM) – Design and Construction provides professional design and construction related services to state agencies.
- 1.2 Design and Construction’s primary objective is to assist state agencies in the delivery of safe, high-quality facilities within established programs, budgets, and schedules. OFPM provides the following services:
  - 1.2.1 Coordination of the nomination and selection of project architects and engineers ([K.S.A. 75-1253](#)).
  - 1.2.2 architectural and engineering design services on designated projects ([K.S.A. 75-1254](#)),
  - 1.2.3 assistance in the “administration of contracts for professional services and contracts for construction” ([K.S.A. 75-1259](#) and [75-1262](#)),
  - 1.2.4 contracts for ancillary services ([K.S.A. 75-3784](#)),
  - 1.2.5 interpretation and enforcement of building codes, accessibility laws and construction standards for the protection of health and safety in buildings, ([K.S.A. 75-3783](#), [76-757](#) and [58-1304](#)),
  - 1.2.6 prepare and send to the Joint Committee on State Building Construction, monthly change order and construction status reports ([K.S.A. 75-1264](#))
  - 1.2.7 consistent and equitable bidding phase services,
  - 1.2.8 maintenance of archival records of state buildings ([K.S.A. 75-1267](#)),
  - 1.2.9 technical and administrative support for the State Building Advisory Commission (SBAC) ([K.S.A. 75-3780](#)),
  - 1.2.10 technical studies and reports as requested.

### 2.0 Sections

- 2.1 Construction & Compliance section assists in the management of projects when fees are negotiated to do so, reviews all projects prior to bidding, and assists in construction administration when fees are negotiated for requested observation. This section also conducts building code and accessibility (ADAAG/UFAS) reviews, issues project acceptance of code footprints, inspects projects under construction for code compliance, and issues the Certificate of Occupancy for each project.
- 2.2 The Design section consists of architectural and engineering designers, who serve under a licensed architect/engineer and completes design work for agencies statewide as well as the Capitol Complex. Services include but are not limited to design, code compliance, construction documents, bid analysis, and construction administration.
- 2.3 The Space and Document Management Section provides space planning and leasing of space in the Capitol Complex, Finney State Office Building in Wichita and Cedar Crest. This section provides bidding phase services, standardized front end specifications including general conditions, manages the on-line plan room, and maintains the agency archives and the state’s historical archive of construction documents.

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2.4 The Office of Facilities and Property Management – Design & Construction organizational chart appears below.



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## 4.0 Contact List for Design & Construction

NAME AND TITLE	TELEPHONE	E-MAIL
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Gina Hunt, Senior Administrative Assistant	785-296-1065	<a href="mailto:gina.hunt@da.ks.gov">gina.hunt@da.ks.gov</a>

**END OF CHAPTER 1**

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## CHAPTER 2 – OWNER’S RESPONSIBILITIES

- 1.0 Owner is the State Agency / Agency responsible for the programming and funding of each capital improvement project.
- 2.0 For any capital improvement project for which OFPM provides services, the Owner will provide the following:
  - 2.1 Designate an Owner’s representative who will be the sole point of contact for OFPM and the project architect/engineer.
    - 2.1.1 If the Owner forms a project committee, the Owner’s representative will be responsible to coordinate the committee’s participation in the project.
    - 2.1.2 The Owner will identify the Owner’s project committee members.
  - 2.2 The Owner will provide program requirements for the project as follows:
    - 2.2.1 Establish and update an overall budget for the project,
    - 2.2.2 Construction estimate,
    - 2.2.3 Construction contingency,
    - 2.2.4 Miscellaneous costs (A/E fee, geology, survey, test & balancing, commissioning, document costs),
    - 2.2.5 Line item costs, i.e. hazardous abatement, equipment, furniture, furnishings, telecommunications, demolition, and
    - 2.2.6 Design and construction schedule.
- 3.0 The Owner will complete and forward the Project Number / Data Request DCC Form 935 to OFPM for the assignment of an OFPM project number.
  - 3.1 The OFPM project number shall be used on all paperwork associated with the project, i.e. a/e invoices, e-mail, faxes, correspondence, construction documents, shop drawings, DCC forms etc.
  - 3.2 All projects advertised in the Kansas Register will have an OFPM project number prior to fee negotiations with the selected firm.
  - 3.3 Small projects will have an OFPM project number assigned to the project prior to architectural/engineering fee negotiations.
  - 3.4 Non-OFPM project numbers assigned to the project by the owner or project architect/engineer should be identified as such and shall not substitute for the OFPM project number.
- 4.0 The Owner will provide a completed or partially completed Fee Negotiation Checklist DCC Form 102 and a completed Project A/E Services List DCC Form 103 to firms nominated by the State Building Advisory Commission (SBAC) (Chapter 5).
  - 4.1 The Owner will provide a **completed** DCC Form 102 to OFPM, the negotiating committee and the selected firm prior to scheduling fee negotiations.
- 5.0 The Owner will provide OFPM with applicable copies of studies, investigations, tests, and/or inspections for distribution to nominated firms prior to interviews. If any of the preceding information is not available

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for the nominated firms, all available information should be provided to the project architect/engineer prior to fee negotiations.

- 5.1 Examples of such information are structural and/or mechanical investigations; chemical, air and water pollution, and/or environmental tests; and hazardous materials reports.
- 5.2 When information required for the project is not available, an appropriate firm will be selected by the agency or by OFPM from the annual list of technical ancillary services providers.
- 6.0 If required, the Owner will furnish OFPM and the project architect/engineer with a current survey describing physical characteristics, legal limitations and utility locations for the site of the Project, and a written legal description of the site as required. If the Owner cannot provide a current survey of the property, a surveyor will be selected either by the agency or by OFPM from the list of ancillary technical services providers.
- 7.0 If required, the Owner or OFPM will obtain the services of a geotechnical survey when such services are requested by the project architect/engineer. Such services will include, but are not limited to, test borings, test pits, determinations of soil bearing values, percolation tests, evaluations of hazardous materials and ground contamination.
- 8.0 If the project is a renovation or addition, the Owner will provide the project architect/engineer with all available plans, specifications and other historical documentation.
- 9.0 The Owner will provide the project architect/engineer access to the premises as scheduled with the Owner.
- 10.0 If the project is a renovation, the Owner will designate all items to be salvaged and the location(s) for storage of those items.
- 11.0 The agency will inform the project architect/engineer which level of service OFPM is providing per Chapter 11. This will determine the amount of participation for the OFPM architect/engineer and OFPM inspectors.
- 12.0 The Owner will designate the contractor's staging area to be used during construction.
- 13.0 The Owner will provide approvals and decisions as expeditiously as necessary for the orderly progress of the project architect/engineer's services and provide prompt responses to questions and inquiries during the construction of a project.
- 14.0 The Owner will define all work to be done by in-house forces before and during the construction of any project.
- 15.0 Owner is responsible to ensure project architect/engineer is providing submittals to OFPM.
- 16.0 Owner is responsible to ensure construction inspections required for occupancy per Chapter 7 are being scheduled with OFPM inspector.
- 17.0 The Owner will be the only recipient of OFPM Inspection reports and will promptly forward them on to all interested parties, i.e. the project architect/engineer, contractor, and Owner's project team members.
- 18.0 The Owner is responsible for distributing all e-mailed paperwork to others not copied by OFPM. This includes Certificate of Substantial Completion, Certificate of Project Completion/Affidavit of Contractor, partial and final payments, Change Orders, Project Acceptance, and Certificate of Occupancy.

- 19.0 The Owner will apprise OFPM and the project architect/engineer of changes in the project funding.
  - 19.1 On large projects, should the project funding be reduced or increased, the Owner will notify the project architect/engineer and OFPM, and the negotiating committee will negotiate fair compensation for work completed to date and will negotiate a new fee in accordance with the reduced or increased budget **and** reduced or increased scope of work.
  - 19.2 On small projects, should the project funding be reduced or increased, the Owner will notify the project architect/engineer, compensate the project architect/engineer for work completed to date and negotiate a new fee in accordance with the reduced or increased budget **and** reduced or increased scope of work.
  - 19.3 Should the project funding be terminated, see Chapter 6.

**END OF CHAPTER 2**

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## CHAPTER 3 - GLOSSARY

**Fiscal Services** (formerly A&R) is part of the Office of General Services in the Department of Administration and is responsible for processing contract encumbrances and printing warrants for payment.

**Additional services** are professional services outside the scope of those services required by the program and are not included in the approved construction budget. These services include but are not limited to: programming, master plans, coordination with local jurisdictions, unanticipated construction phasing, renderings and models, landscape design not included in the budget, formal presentations outside those required in each phase, off site utilities, fire modeling, LEED certification and special discipline consultation. Refer to DCC Form 103 A/E Services List for the list of services.

**Agency:** See Owner.

**Agency architect/engineer** is an employee of a state agency who possesses a valid Kansas license and serves as the project architect/engineer for small capital improvement projects. ([K.S.A. 75-1254](#)).

**Alternate bid** is an amount listed on the bid form for the contractor to add or deduct from the amount of the base bid.

**Alternative Project Delivery.** An integrated comprehensive design and construction process, including all procedures, actions, sequences of events, contractual relations, obligations, interrelations and various forms of agreement all aimed at the successful completion of the design and construction of buildings and other structures whereby a construction manager or general contractor of building design-build team is selected based on a qualifications and best value approach.

**Ancillary technical services** are services such as surveying, geological/soils/subsurface investigation, acoustics, HVAC testing and balancing, hazardous materials survey and abatement, building commissioning and any other testing and consulting services, ([KSA 75-3784](#)).

**A/E Fee Guidelines** Using Criteria for: Cost/Complexity/Type/Services (See Chapter 5), is a tool developed in a matrix format to assist the Negotiating Committee and the design team to define and quantify the project design services and to establish a point of beginning to negotiate a fee for a project.

**Bid Documents** are the detailed drawings, specifications and reports, and addenda defining the scope of the work, issued during the bidding process.

**Bidding Phase** begins when the code footprint, if required, is approved by OFPM and the KSFM and the construction documents are completed and approved by the agency and OFPM for distribution to contractors. The bidding phase is a period of time established for the publishing of "bid-ready" construction documents and addenda to interested bidders and for interested bidders to request additional information and tour the project site.

Building **design-build** means a project for which the design and construction services are furnished under one contract.

**Capital Improvement Project** is the study and/or construction of a new, an addition(s) to, an alteration(s) or repair(s) of a facility, parking lot or infrastructure.

**Code Footprint** is a building and life safety code compliance document that contains both graphic and narrative information and that meets the requirements of ([K.A.R. 22-1-7](#)).

**Code Only** services are provided to projects not bid through OFPM (i.e. in-house construction and on-call construction), to projects funded without State General Funds (i.e. endowment and gift money).

**Complexity Factor** is one (1) of five (5) levels of difficulty or complexity to be assigned to a project based on the general project type and specific project requirements.

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**Construction Administration** is oversight of construction by the project architect/engineer for conformance with the plans and specifications, including resolution of problems and discrepancies.

**Construction Documents** are the detailed drawings, and specifications defining the scope of the work for the design of the project.

**Construction Management At-risk Services (CMAR).** The services provided by a firm, which has entered into a contract with the agency to be the construction manager or general contractor for the value and schedule of the contract for a project. The firm is to hold the trade contracts and execute the work for a project in a manner similar to a general contractor, and is required to solicit competitive bids for the trade packages developed for the project and to enter into the trade contracts for a project with the lowest responsible bidder therefore. Construction Management at-risk services may include, but are not limited to scheduling, value analysis, system analysis, constructability reviews, progress document reviews, subcontractor involvement and prequalification, subcontractor bonding policy, budgeting and price guarantees, and construction coordination. ([K.S.A. 75-37,141 et. seq](#))

**Construction Management Services** may include detailed cost estimating, critical path method scheduling and monitoring, drafting contract documents for necessary phasing and grouping, drafting contracts and change orders, full-time inspection and checking and approving shop drawings, color schedules, and materials. ([K.S.A. 75-1265](#))

**Construction services** means the process of planning, acquiring, building, equipping, altering, repairing, improving, or demolishing any structure or appurtenance thereto, including facilities, utilities or other improvements to any real property, excluding highways, roads, bridges, dams, turnpikes or related structures, or stand-alone parking lots.

**Consultant** is an individual or firm that is contracted by the project architect/engineer firm to assist the project architect/engineer in the delivery of professional services.

**Contract Documents** are the bid documents, construction contract, Notice to Proceed, change orders, all correspondence, substantial completion certificate, punch list, occupancy certificate, project completion certificate, and contractor affidavit.

**Department of Administration** shall have and exercise administrative functions of the state, in the manner as provided by law, in relation to various functions including but not limited to, accounting & fiscal matters, purchasing, personnel, maintaining records of state property, issuing warrants to be paid out of the state treasury, surplus property and building design and construction. ([K.S.A. 75-3707](#))

**Design-builder** means any individual, partnership, joint venture, corporation or other legal entity that furnishes the architectural or engineering services and construction services, whether by itself or through subcontracts.

**Design & Construction (DC)** is a group within OFPM representing the Secretary of Administration in matters of code enforcement, building design and construction. This group is responsible for compiling and enforcing the Building Design and Construction Manual.

**Design criteria consultant** means a person, corporation, partnership, or other legal entity duly registered and authorized to practice architecture or professional engineering in this state pursuant to ([K.S.A. 74-7003](#)), and amendments thereto, and who is employed by contract to the agency to provide professional design and administrative services in connection with the preparation of the design criteria package for alternate delivery projects.

**Design Development** consists of drawings and other documents to fix and describe the size and character of the projects as to architectural, structural, mechanical, and electrical systems.

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**Design Team** is an architectural/engineering firm contracted with the State of Kansas and includes all consultants hired by the firm to provide design services for a state agency.

**OFPM Inspector** is a OFPM employee who inspects capital improvement projects, ensuring construction is in accordance with approved code footprints, building codes, and accessibility laws. ([K.S.A. 75-1262](#)) The OFPM Inspector also provides supplementary inspection services on negotiated and full service projects.

**OFPM Project Number** is a six-digit number prefixed by an "A-", used and issued by OFPM for each capital improvement project, gift projects, ancillary services project, miscellaneous studies/reports and additional services provided by OFPM.

**Electronic documents** for OFPM review are to be in .PDF or .DOC/.DOCX or .DWG format sent on CD/DVD only.

**Evaluations** are reviews of the performance of project architects/engineers in the areas of design, construction documents and construction administration; and the performance of all construction contractors.

**Fee Negotiation Checklist** is a list of services required for a specific project and is to aid the agency and architect/engineer in the fee negotiating session. Initially prepared by the agency then reviewed and agreed to by the architect/engineer.

**Facilities and Property Management, Office of** (OFPM) is the Office of the Department of Administration responsible for assisting and supporting state agencies with building construction projects and with the operation and maintenance of the Department of Administration owned buildings in the Capitol Complex. When referenced in this manual, OFPM is the general entity with all the responsibilities assigned to the office.

**Facility Conservation Improvement Program** (FCIP) is a program administered by the Kansas Corporation Commission ([www.kcc.state.ks.us/energy/fcip](http://www.kcc.state.ks.us/energy/fcip)) to fund projects such as new lighting technologies, boilers, chillers, energy management controls.

**Firm** is an individual, firm, partnership, corporation, association or other legal entity, which is permitted by law to practice the profession of architecture, engineering or land, surveying. ([K.S.A. 75-1251](#))

**File Transfer Protocol** (FTP) is a standard network protocol used to copy a file from one host to another over the Internet.

**Full Services** are services provided by OFPM that exceed the minimum compliance reviews, inspections and cover all phases of design and construction, including quality control check, full document review, full site inspections and full compliance review and inspections. Reference Chapter 11 for the complete list of services provided.

**Joint Committee on State Building Construction** (JCSBC) is composed of five members of the Senate and five members of the House of Representatives. JCSBC's duties are to study all five-year capital improvement and facilities plans and capital improvement budget estimates; make recommendations on these five year plans to the Senate Ways and Means Committee and the House Appropriations Committee; monitor the progress of all capital improvement projects or major repairs; and review all change orders greater than \$125,000. ([K.S.A. 75-1264](#))

**Kansas Licensure** is a professional license issued by the Kansas State Board of Technical Professions required by professionals intending to procure state work and used for sealing the contract documents. ([K.S.A. 74-7003](#))

**Kansas Register** is a weekly publication compiled by the Secretary of State, which includes all advertisements for contracts for architectural, engineering and ancillary services, construction, repairs and improvements. Subscription information can be obtained online at [www.kssos.org](http://www.kssos.org), by e-mail at [kansasregister@kssos.org](mailto:kansasregister@kssos.org), or by telephone (785-296-3489).

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**Fire Marshal's Office, Kansas State (KSFM)** shall adopt reasonable rules and regulations, consistent with the provisions of this act, for the safeguarding of life and property from fire, explosion and hazardous materials. ([K.S.A. 75-1510](#)). Visit the KSFM website at <http://www.kansas.gov/firemarshal/>.

**Large Capital Improvement Projects** are building construction projects whose total project funds exceed \$750,000 in general construction or \$500,000 in engineering construction. ([K.S.A. 75-1253](#))

The **Leadership in Energy and Environmental Design (LEED)** Green Building Rating System™ is a third-party certification program and the nationally accepted benchmark for the design, construction and operation of high performance green buildings. LEED provides building owners and operators with the tools they need to have an immediate and measureable impact on their buildings' performance.

**Limited Services** are services provided by OFPM that include review and inspection for code, ADAAG and life safety compliance.

**Negotiating Committee** is comprised of three individuals or their designees. 1) the head of the state agency for which the proposed project is planned, 2) the head of the institution for which the proposed project is planned, and 3) the secretary of administration, or a person designated by the secretary, who shall act as chairperson of the committee. When the proposed project is not planned for an institution, the state agency head shall designate a second person in lieu of the head of an institution. ([K.S.A. 75-1251](#))

**Occupancy** is based on the compliance of all life safety, code and accessibility issues of the project outlined in Chapter 7.

**On-Call** architectural or engineering services are provided by project architects or project engineers for state agencies with small capital improvement project costs whose total project funds do **not** exceed \$750,000 in general construction or do not exceed \$500,000 in engineering construction.

**Owner** is the State Agency / Agency who is responsible for the project programming and funding.

**Owner's Representative** is authorized by the Owner to act on the Owner's behalf for the project.

**Partial Occupancy** is based on the compliance of all life safety, code and accessibility issues for a specific area of the project outlined in Chapter 7.

**Partnering** is a process agreed to by the state agency, OFPM and the contractor for the sole purpose of enhancing communication throughout the design and construction of the project.

**OFPM architect/engineer** is an employee of the Office of Facilities and Property Management who provides planning, architectural or engineering services to agencies on funded/unfunded capital improvement projects ([K.S.A. 75-1269](#)).

**Program** is a document from the Owner outlining the project's objectives, constraints, spaces, spatial relationships, activities, functions, projected costs and schedule for construction of the project. Info such as topography, subsurface, utilities, landscaping, existing facilities, future uses, flexibility, expandability, equipment, systems, maintenance, site requirements, vehicular traffic, parking, delivery and pedestrian circulation may also be included. ([K.S.A. 75-1255](#) and [K.S.A. 75-3742](#))

**Program Services** are services common to most state tax-funded building design and construction projects and are tied to the capital improvement project's approved construction budget. Reference DCC Form 103 Project A/E Services List for any other services.

**Project Acceptance Record.** An official notification issued at various junctures of the project by OFPM on behalf of the state. It is issued when the code footprint is accepted, when the construction documents are accepted, when the energy code submittal is accepted, when the fire alarm drawings are accepted, when the sprinkler shop

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drawings are accepted, when the occupancy certificate is approved, and when the permit to build is identified, as noted in Building Code and ADAAG Reviews Chapter 7.

**Project Architect** is a firm contracted to a particular project to provide professional architectural services for a specific capital improvement project or for on-call architectural services, or is an individual employed by a state agency to provide architectural services on small projects. ([K.S.A. 75-1251](#))

**Project Completion** is when the construction is in accordance with the contract documents and all final paperwork is approved by OFPM.

**Project Engineer** is a firm contracted to a particular project to provide professional engineering services for a specific capital improvement project or for on-call engineering services, or is an individual employed by a state agency to provide engineering services on small projects.

**Project Manager** is an employee of any state agency, who possesses a Kansas license in the profession of either architecture or engineering and is responsible for facilitating building construction projects.

**Project Proposal** is the completion of State of Kansas Capital Improvement Project Qualifications Forms 051-054, and additional photographs and/or additional information relevant to the project.

**Project Team** consists of the state agency representatives and the project architect/engineer. On full or negotiated services, a OFPM architect/engineer will also be part of the project team.

**Procurement and Contracts (formerly Purchases)** is part of the Office of Business Process Improvement in the Department of Administration responsible for receiving and validating bids, and initiating the construction contract for building construction projects.

**Rebid** – project is being bid a second time without any revisions to the original bid documents.

**Record Documents**, are marked up drawings prepared by the construction contractor, which identify substantial changes incorporated into the work during construction; are revisions to the bid drawings by the project architect/engineer; bid specifications and attached reports; and addenda, field orders, change orders construction change directives, and critical correspondence during construction.

**Revised** – project is being bid a second time with revisions to the original bid documents.

**Revised Rebid** – project is being bid a third time after the first bid was rejected and after the second bid of revised documents was rejected. There are no revisions to the first revision of the original bid documents.

**Schematic Design** is the preliminary design stage of a project where the project architect/engineer shows the Owner several options for solving the project program.

**Secretary of Administration** is the head of the Department of Administration and oversees its organization and various functions as dictated by statute.

**Senior Architect – Construction & Compliance** is an individual who works for the Office of Facilities and Property Management and is authorized by the Kansas State Fire Marshal's Office to serve as the review official for all building construction project on state property.

**Small Capital Improvement Projects** are building construction projects whose total project funds do not exceed \$750,000 in architectural construction or \$500,000 in engineering construction. ([K.S.A. 75-1253](#))

**State Agency** "includes any state institution". ([K.S.A. 75-1251](#)) See definition of Owner.

**State Building Advisory Commission (SBAC)** "shall be composed of seven members" . . ." and shall be a part of the department of administration". "The secretary of administration shall be a member and shall serve as

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chairperson". The next member shall alternate between the head of the architecture program of Kansas State University and the University of Kansas. "The five remaining persons shall be appointed by the Governor". "At no time shall more than 3 of the 5 members appointed by the governor be members of the same political party at the time of appointment." At least one of the appointed members shall be a member of a building trades union and at least one shall be a member of an association of building construction contractors. ([K.S.A. 75-3780](#))

**Statement of Qualifications (SOQ)** for professional services is State of Kansas Professional Qualifications DCC Form 050.

**Substantial Completion** is the date when all life safety, code and accessibility issues comply with Chapter 7 requirements and the owner can occupy specific area(s) for their intended purpose or use; **and/or** is the date when all project warranties commence; **and/or** is the date when liquidated damages are no longer assessed.

**Successful Bid** is any bid that is awarded to a construction contractor.

**Technical Specifications** are Divisions 1 through 49 instructing the contractor of the specific construction materials, techniques and requirements required to meet the intent of the construction project.

"**Will**" and "**Shall**" are used interchangeably in this manual, as defined in The American Heritage® Book of English Usage 1996.

Files saved in **.ZIP** format, a file compression format, cannot be received if e-mailed to OFPM due to restrictions in our e-mail server.

**END OF CHAPTER 3**

# Building Design and Construction Manual

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## CHAPTER 4 – PROCUREMENT OF BUILDING DESIGN AND CONSTRUCTION SERVICES

- 1.0 Eligibility Requirements and Procedures for Architectural, Engineering and Land Surveying Services
  - 1.1 To be eligible to perform architectural, engineering or land surveying services ([K.S.A. 75-1251](#) and [K.S.A. 75-1258](#)) on state construction projects, the entity (firm) performing such services must meet the following conditions:
    - 1.1.1 The entity, whether individual, firm, partnership, corporation, association or other legal entity is permitted by law to practice the profession of architecture, engineering or land surveying in accordance with Kansas State Board of Technical Professions regulations.
    - 1.1.2 The entity has general professional liability insurance or specific professional liability insurance adequate for the project.
- 2.0 Annual Statement of Qualifications
  - 2.1 The Secretary of Administration by statute annually requests firms engaged in the lawful practice of architecture, engineering and land surveying to submit a statement of qualifications (SOQ) and performance data. A request for annual statements is published each December in the *Kansas Register*.
  - 2.2 The State of Kansas Professional Qualifications DCC Form 050 is to be used. It is available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/). Supplemental information, including photographs and letters of reference related to each firm's architectural/engineering work may also accompany the form.
  - 2.3 Each multi-office firm is required to fill out a Professional Qualifications DCC Form 050 for each office that will provide services to the state of Kansas.
  - 2.4 Following are clarifications regarding the Professional Qualifications DCC Form 050.
    - 2.4.1 Section 1c, check which office matches the address listed in 1a.
    - 2.4.2 Section 3, should **only** be filled out when submitting the form annually each December.
    - 2.4.3 Section 4, update for each capital improvement project proposal.
    - 2.4.4 Section 4a, identify types of disciplines the firm has available for building construction projects owned by the state of Kansas.
    - 2.4.5 Section 4b, indicate the total number of employees for **all** office locations.
    - 2.4.6 Section 4b, indicate the number of employees for the office address given in Section 1a.
    - 2.4.7 Section 4b, indicate the number of Kansas licenses for each discipline in the office listed in 1a.
    - 2.4.8 Section 5, describe the firm's past experience providing services for building construction projects owned by the state of Kansas.
    - 2.4.9 Section 5a, is not limited to the attachment's list of experience types.
      - 2.4.9.1 "Types of experience" on the attachment's list is not all inclusive. Providing additional "types of experience" in Section 5a and/or highlighting all of the firm's "types of experience" on the attachment is optional.

- 2.4.10 Section 5b, Revenue is optional.
  - 2.4.11 Section 6, percentage of the firm's current work (as both a prime and as a consultant) for all building construction projects on state property or owned by the state of Kansas compared to the firm's current workload of all projects.
  - 2.4.12 Sections 7b and 7c, are required to be legible.
  - 2.4.13 Section 7d, is required to be current.
  - 2.5 Each completed Professional Qualifications DCC Form 050 and supplemental information should be received by OFPM in .PDF format either via e-mail or on a CD/DVD. SOQs by statute are required to be filed and made available to the SBAC and Negotiating Committees.
  - 2.6 Eligible firms, which have never sought State work, are encouraged to contact OFPM regarding the State's eligibility, qualification, nomination and selection procedures and policies.
- 3.0 Announcement of Architectural and Engineering Services
- 3.1 Upon receipt of a written program statement and draft advertisement from a state agency for a project, which has been funded and approved by the Kansas Legislature, OFPM will submit an advertisement to be published in the *Kansas Register* requesting proposals from architectural and engineering firms interested in the project.
    - 3.1.1 The *Kansas Register* is the **official** publication where all requests for architectural and engineering services for all state tax-funded building construction projects are announced
    - 3.1.2 Any capital improvement project funded by other means may also be advertised in the *Kansas Register*.
  - 3.2 The *Kansas Register* is published every Thursday by the Kansas Secretary of State. The *Register* is available on line at [http://www.kssos.org/pubs/pubs\\_kansas\\_register.asp](http://www.kssos.org/pubs/pubs_kansas_register.asp) and is available in many libraries throughout the state.
    - 3.2.1 Subscriptions to the *Kansas Register* may be obtained by contacting the Kansas Secretary of State on the internet at <http://www.kssos.org>, by e-mail at [kansasregister@kssos.org](mailto:kansasregister@kssos.org), or by telephone at 785-296-3489.
- 4.0 SBAC Guidelines for Proposal Submittals
- 4.1 When requests for architectural and engineering services are advertised, all eligible firms may submit a proposal to the SBAC indicating their interest in being nominated by the SBAC for the advertised services.
    - 4.1.1 Should there be any conflicts between the *Kansas Register* advertisement and requirements listed below or anywhere else, firms shall follow the requirements listed in the *Kansas Register* advertisement.
  - 4.2 Each proposal for advertised services shall contain the following information in the order provided below:

- 4.2.1 A one-page letter of interest including a synopsis of qualifications; completed State of Kansas Capital Improvement Project Qualifications DCC Forms 051, 052, 053, and 054; any photographs or information relevant to the advertised services or letters of reference related to the firm's architectural/engineering work; and information specifically requested in the advertisement. Kansas Capital Improvement Project Qualifications DCC Forms 051, 052, 053, and 054 can be altered to accommodate each firm's qualifications.
- 4.2.2 A maximum of forty (40) pages of **readable** surfaces, which may be double-sided. Double-sided proposals do **not** increase the forty (40) page readable surfaces limit. Covers, separation tabs and the Professional Qualification Form(s) 050 do not count toward the forty (40) page readable surface limit.
  - 4.2.2.1 Covers and separation tabs with firm information, including photographs, will be counted in the 40-page readable-surface limit.
- 4.2.3 An **updated** State of Kansas Professional Qualifications DCC Form 050, for each proposing firm and each consulting firm should be included at the end of each proposal.
- 4.3 Each proposal shall be submitted in the following format(s):
  - 4.3.1 A .PDF document less than 5 MB, delivered to OFPM by e-mail or on a CD/DVD. .ZIP files will not be accepted.
  - 4.3.2 Paper copies, if requested, shall be a duplicate of the PDF proposal, submitted in a loose-leaf binder, bound together or stapled.
- 4.4 Following are clarifications regarding the Capital Improvement Project Qualifications DCC Forms 051, 052, 053, and 054.
  - 4.4.1 Form 051, Section B1: use title and location in the *Kansas Register* advertisement.
  - 4.4.2 Form 051, Section B2: the date of the *Kansas Register* advertisement (optional).
  - 4.4.3 Form 052, Section E, is used to identify key personnel who will be involved with the project and their experience relevant to the services advertised.
    - 4.4.3.1 When presenting photographs of relevant experience gained with other **architectural** firms, only projects in which the individual had primary responsibility for the building's configuration and/or appearance should be presented. The architectural firm by which the individual was employed should also be noted.
    - 4.4.3.2 **Engineering** firms submitting project photographs must limit these to examples in which the engineering firm's role was significant in the building's configuration, appearance, or design of engineering systems. The architect of record should also be noted.
  - 4.3.5 Form 053, Section F, is used to identify projects relevant to the services advertised.
- 4.5 OFPM will receive and deliver to the SBAC all submittals that are received prior to the advertised deadline.
  - 4.5.1 Firms interested in tracking the delivery of their submittal should do so through their delivery service, not OFPM.

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- 4.5.2 In order to assist OFPM with receipt of all proposals, firms are encourage to e-mail OFPM their intent to propose, the date the proposal is sent, and the method of delivery.
  - 4.5.3 Improper submittals will be noted and delivered to the SBAC but may not receive consideration.
  - 4.5.4 Late proposals will not be delivered to the SBAC.
- 5.0 SBAC Nomination of Qualified Firms
- 5.1 The State Building Advisory Commission shall nominate at least three (unless fewer proposals of interest are received) and not more than five firms. On any given project, the following factors may or may not be used by each commissioner individually or collectively as a group:
    - 5.1.1 performance on state work,
    - 5.1.2 prior experience with projects of similar type, size and cost that was advertised,
    - 5.1.3 design experience, including industry and design awards
    - 5.1.4 production quality, current workload for all clients, and ability to manage and meet state deadlines,
    - 5.1.5 experience and working relationships with clients, contractors, consultants, associates and/or joint venture partners,
    - 5.1.6 capability of providing services at the location of the project,
    - 5.1.7 ability to provide accurate and relevant cost estimates and control project costs within the given budget,
    - 5.1.8 construction administration services,
    - 5.1.9 factors required by specific project programs, and
    - 5.1.10 proper submission of proposals.
  - 5.2 The list of nominated firms and their proposals shall be submitted to the negotiating committee, without any recommendations of preferences.
  - 5.3 Nominated firms will be notified of their nomination by e-mail.
  - 5.4 Record of Nomination/Selection Process
    - 5.4.1 All nominated firms and the selected firm will be announced on the OFPM webpage after the contract with the selected firm is signed by all parties.
- 6.0 Kansas Open Records Act
- 6.1 Requests for copies of public records should be addressed in writing to the Director of Office of Facilities and Property Management, 900 Jackson, Room 600, Topeka, Kansas 66612, in accordance with the Kansas Open Records Act. ([K.S.A45-215 et seq.](#))
  - 6.2 Advance payment of a fee is required to receive copies of public records.

- 6.3 When copies of project proposals received by OFPM are requested, firms will be able to purchase paper copies from OFPM or a CD/DVD from the State's contracted printing company.
- 6.4 Copies of the proposals can be obtained after a contract with the selected firm is signed by all parties.

**END OF CHAPTER 4**

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## CHAPTER 4a - PROCUREMENT OF ALTERNATIVE PROJECT DELIVERY BUILDING CONSTRUCTION

- 1.0 Eligibility Requirements and Procedures for Alternative Project Delivery Building Construction
  - 1.1 A state agency, after evaluating the type of project contemplated and the alternative project delivery method desired for building construction, shall submit a written request including justification to the State Building Advisory Commission (SBAC) for review and approval.
  - 1.2 To be eligible to use an alternative project delivery method ([K.S.A. 75-37,141 et seq.](#)) for a state building construction project, the state agency requesting such delivery must demonstrate the project is appropriate for either a construction management at-risk or a design-build delivery method. The SBAC will consider the following factors:
    - 1.2.1 The likelihood that the alternative project delivery method of procurement selected will serve the public interest by providing substantial savings of time or money over the traditional design-bid-build delivery process.
    - 1.2.2 The ability to overlap design and construction phases is required to meet the needs of the end-user.
    - 1.2.3 The use of an accelerated schedule is required to make repairs resulting from an emergency.
    - 1.2.4 The project presents significant phasing or technical complexities, or both, requiring the use of an integrated team of designers and constructors to solve project challenges during the design or preconstruction phase.
    - 1.2.5 The use of an alternative project delivery method will not encourage favoritism in awarding the public contract or substantially diminish competition for the public contract.
    - 1.2.6 The ability of the state agency to fund the stipend offered to qualified design-build proposers.
  - 1.3 Eligibility requirements for construction management at-risk services are dependent upon the scope of the project.
  - 1.4 To be eligible for design-build services, a contractor must be pre-qualified by OFPM to do construction work for the State of Kansas. If the project requires architectural and/or engineering services, a professional, with general liability insurance, licensed by the Kansas Board of Technical Professions, must be part of the team.
- 2.0 Annual Statement of Qualifications
  - 2.1 The Secretary of Administration by statute annually requests firms engaged in the lawful practice construction management at-risk or design-build services to submit a statement of qualifications (SOQ) and performance data.
    - 2.1.2 A request for annual qualification statements shall be published in the Kansas Register at the end of each year.
  - 2.2 The State of Kansas Professional Qualifications DCC Form 050 is to be used. It is available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/). The following minimum information is required. Supplemental information regarding each firm may also accompany the form.
    - 2.2.1 The firm's capacity and general experience, including specific roles on similar or related projects.

- 2.2.2 The capabilities and other qualifications of the firm's personnel.
- 2.3 For completing Form 050 use the information in Chapter 4, Section 4, plus adjustments necessary to accurately and adequately state the qualifications of the design build team or the construction management at-risk firm.
- 2.4 Each completed Professional Qualifications DCC Form 050 and supplemental information, including photographs and letters of reference related to each firm's work, should be delivered to OFPM as described in the annual advertisement. By statute, SOQs are required to be filed and made available to the State Building Advisory Commission (SBAC) and Procurement Negotiating Committees.
- 2.5 Eligible firms, which have never sought State work, are encouraged to contact OFPM regarding the State's eligibility, qualification, nomination and selection procedures and policies.
- 3.0 Announcement of Public Hearing for Proposed Alternative Project Delivery Building Construction
  - 3.1 When a written program statement and draft advertisement from a state agency for a capital improvement project, which has been funded and approved by the Kansas Legislature, is received from a state agency, a public hearing to consider comments on the request will be held by the SBAC.
    - 3.1.1 OFPM will notify the SBAC and schedule a date for a public hearing.
    - 3.1.2 OFPM will publish a notice in the Kansas Register at least 15 days prior to the hearing.
  - 3.2 If the SBAC determines the eligibility criteria for use of an alternative project delivery method is not met and the project does not qualify, the agency will be notified to use the traditional design-bid-build delivery method.
  - 3.3 If the SBAC determines the eligibility criteria for use of an alternative project delivery method is met, the agency will be notified to proceed with the proposed alternative method of project delivery.
- 4.0 Announcement of Alternative Project Delivery Building Construction
  - 4.1 Upon the SBAC's approval of the use of an alternative project delivery method, OFPM will submit an advertisement to be published in the Kansas Register requesting proposals for the approved method from construction management at-risk or design-build firms interested in the project.
    - 4.1.1 The Kansas Register is the **official** publication where all requests for alternative delivery methods for building construction projects funded by state tax dollars are announced.
    - 4.1.2 Capital improvement projects funded by other means may also elect to use the above methods.
  - 4.2 The *Kansas Register* is published every Thursday by the Kansas Secretary of State. The *Register* is available on line at [http://www.kssos.org/pubs/pubs\\_kansas\\_register.asp](http://www.kssos.org/pubs/pubs_kansas_register.asp) and is available in many libraries throughout the state.
    - 4.2.1 Subscriptions to the *Kansas Register* may be obtained by contacting the Kansas Secretary of State on the internet at <http://www.kssos.org>, by e-mail at [kansasregister@kssos.org](mailto:kansasregister@kssos.org) or by telephone at 785-296-3489.

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- 5.0 SBAC Guidelines for Proposal Submittals
- 5.1 When a request for an alternative project delivery service is advertised in the Kansas Register, all eligible firms may submit a proposal to the SBAC indicating their interest in being nominated by the SBAC for the advertised services.
- 5.1.1 Should there be any conflicts between the Kansas Register advertisement and the requirements listed below or anywhere else, firms shall follow the requirements listed in the Kansas Register advertisement.
- 5.2 Each proposal for advertised services shall contain the following information in the order provided below.
- 5.2.1 A one-page letter of interest including a synopsis of qualifications; completed State of Kansas Capital Improvement Project Qualifications DCC Forms 051, 052, 053, and 054; any photographs or supplemental information, including letters of reference related firm's work relevant to the advertised services; and information specifically requested in the advertisement. Kansas Capital Improvement Project Qualifications DCC Forms 051, 052, 053, and 054 can be altered to accommodate each firm's qualifications.
- 5.2.2 A maximum of forty (40) pages of **readable** surfaces, which may be double-sided. Double-sided proposals do **not** increase the forty (40) page readable surfaces limit. Covers, separation tabs and the Professional Qualifications DCC Form(s) 050 do not count toward the forty (40) page readable surface limit.
- 5.2.2.1 Covers and separation tabs with firm information, including photographs, will be counted in the 40-page readable-surface limit.
- 5.2.3 An **updated** State of Kansas Professional Qualifications DCC Form 050, for each proposing firm and each consulting firm should be included at the end of each proposal.
- 5.3 Each proposal shall be submitted in the following format(s):
- 5.3.1 A .PDF less than 5 MB, delivered to OFPM by as described in the advertisement. .ZIP files will not be accepted.
- 5.3.2 Paper copies, if requested, shall be a duplicate of the .PDF document, submitted in a loose-leaf binder, bound together or stapled.
- 5.4 For completing DCC Forms 051, 052, 053, and 054, use the information in Chapter 4, Section 4.
- 5.5 OFPM will receive and deliver to the SBAC all submittals that are delivered by the advertised deadline.
- 5.5.1 Firms interested in tracking the delivery of their submittal should do so through the firm's delivery service, not OFPM.
- 5.5.2 In order to assist OFPM with receipt of all proposals, firms are encouraged to e-mail OFPM their intent to propose, the date the proposal is sent out, and the method of delivery.
- 5.5.3 Improper submittals will be noted and delivered to the SBAC but may not receive consideration.
- 5.5.4 Late proposals will not be delivered to the SBAC.

- 6.0 Construction Management At-Risk Project Delivery Procedures
  - 6.1 General Information
    - 6.1.1 OFPM, with the advice of the SBAC, shall determine the scope and level of detail required to permit qualified construction managers or general contractors to submit construction management at-risk proposals in accordance with the agency's proposal.
    - 6.1.2 Construction manager at-risk or general contractor shall be selected as early as during the schematic design phase and prior to completion of the construction documents phase.
    - 6.1.3 The project design professional may be employed or retained by the agency to assist in the construction manager at-risk selection process. The design professional shall be selected and contracted separately ([K.S.A. 75-1257](#)).
  - 6.2 OFPM shall solicit proposals on behalf of the agency in a three-stage qualifications-based selection process.
    - 6.2.1 Phase I shall be the solicitation of qualifications for consideration by the SBAC which will nominate a minimum of three but not more five construction managers at risk or general contractors to advance to Phase II.
    - 6.2.2 Phase II shall be the solicitation of a Request for Proposal (RFP) for the project from the SBAC nominated firms.
    - 6.2.3 Phase III shall include an interview with each proposer to present their qualifications and to answer questions.
  - 6.3 Phase I Requirements. Submit proposals as detailed in Section 5, including the following minimum information.
    - 6.3.1 Similar project experience.
    - 6.3.2 Experience in this type of project delivery system.
    - 6.3.3 Reference from design professionals and owners from previous projects.
    - 6.3.4 Description of the construction manager or general contractor project management approach.
    - 6.3.5 Financial statements may be required by the selected firm, pursuant to [K.S.A. 45-221\(a\)\(33\)](#).
      - 6.3.5.1 Financial information requested during any phase of the process should be sealed in an envelope and labeled CONFIDENTIAL.
    - 6.3.6 Bonding capacity, including the ability of providing a public works bond ([K.S.A. 60-1111](#)) and evidence of such bonding capacity submitted to SBAC with the SOQ. Failure to present such evidence will deem the firm as unqualified for selection under this subsection.
  - 6.4 Phase II Process. Firms nominated by the SBAC in Phase I shall receive a Request for Proposal (RFP) requiring a more in-depth response including the following minimum information.

- 6.4.1 Company overview.
  - 6.4.2 Experience or references, or both, relative to the project under consideration.
  - 6.4.3 Resumes of proposed project personnel.
  - 6.4.4 Overview of pre-construction services.
  - 6.4.5 Overview of construction planning.
  - 6.4.6 Proposed safety plan.
  - 6.4.7 Fees, including fees for pre-construction services, fees for general conditions, fees for overhead and profit, and fees for self-performed work.
  - 6.4.8 Five (5) paper copies and one .PDF document on CD/DVD of the nominated firm's in-depth response.
- 6.5 Phase III Process
- 6.5.1 Upon receipt of all proposals from firms nominated by the SBAC, the PNC shall interview all proposers, allowing firms to present their proposed team members, qualifications, project plan, and to answer questions. Interview scores shall not account for more than 50% of the total possible score.
  - 6.5.2 The PNC shall select the firm providing the best value based on the proposal criteria and weighting factors identified by the agency in the RFP instructions to proposers to emphasize important elements of the project.
  - 6.5.3 The PNC shall proceed to negotiate with and to enter into contract with the firm receiving the best total score to provide the construction management at-risk services.
    - 6.5.3.1 Negotiations procedure shall be the same process undertaken to contract with design professionals ([K.S.A. 75-1250](#)).
    - 6.5.3.2 Should the PNC be unable to negotiate a satisfactory contract with the firm with the best score, negotiations with that firm will terminate and the committee will begin negotiations with the firm with next best score.
  - 6.5.4 If the PNC determines that it is not in the best interest of the agency to proceed with the project pursuant to the proposals offered, the committee shall reject all proposals. If all proposals are rejected, OFPM may solicit new proposals using different design criteria, budget constraints, or qualifications.
  - 6.5.5 The contract to perform construction management at-risk (CMAR) services shall be prepared by the secretary of administration and entered into between the agency and the firm performing the services. A contract utilizing a cost-plus guaranteed maximum price shall return all savings under the guaranteed maximum to the agency.
- 6.6 Record of Selection Process
- 6.6.1 The selection of the CMAR firm will be reported to the SBAC.
  - 6.6.2 All firms nominated by the SBAC and the selected firm will be announced at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) after the contract has been signed by all parties.

### 6.7 Construction Phase Process

- 6.7.1 OFPM shall publish a construction services bid notice in the *Kansas Register* and in such other appropriate manner for the construction manager as may be determined by the state agency.
  - 6.7.1.1 Each bid notice shall include the request for bids and other bidding information prepared by the CMAR and the agency with the assistance of OFPM.
  - 6.7.1.2 Current statements of qualifications and performance data, along with all information and evaluations developed by the secretary of administration under K.S.A. 75-3783 of firms submitting bid proposals shall be made available to the construction manager and the agency. If a firm submitting a bid proposal fails to submit the requested information, such firm will be deemed unqualified for selection.
  - 6.7.1.3 The agency may allow the CMAR to self-perform construction services provided the CMAR submits a bid proposal under the same conditions as all other competing firms.
  - 6.7.1.4 The CMAR shall evaluate the bids to determine the lowest responsible bidder, except the agency and OFPM shall determine the lowest responsible bidder for self-performed work.
  - 6.7.1.5 The CMAR will enter into a contract with each firm performing construction services for the project and make a public announcement of each firm selected.
- 6.7.2 The CMAR will be required to provide appropriate bonds and insurance to OFPM after the award of each bid package when the construction contract amendment for the bid package is signed by all parties.

### 7.0 Design-Build Project Delivery Procedures

#### 7.1 General Information

- 7.1.1 OFPM, with the advice of the SBAC, shall determine the scope and level of detail required to permit eligible firms to submit design-build proposals in accordance with the agency's RFP.
- 7.1.2 OFPM on behalf of the agency shall publish a notice to interested proposers announcing the required project services in the *Kansas Register* at least 15 days prior to the closing deadline.
- 7.1.3 The notice shall include a description of the project, the procedures for submittal, the selection criteria to be used, the time and place and other specific instructions for the receipt of the proposals.
  - 7.1.3.1 Proposals not submitted in strict accordance with such instructions shall be subject to rejection.
- 7.1.4 Prior to the notice published in the *Kansas Register*, a RFP shall be prepared by the agency containing the following minimum information.

- 7.1.4.1 Procedures to be followed for submitting proposals, the criteria for evaluation of proposals and their relative weight, and the procedures for making awards.
  - 7.1.4.2 Proposed terms and conditions of the design-build contract.
  - 7.1.4.3 Design criteria package.
  - 7.1.4.4 Description of drawings, specifications, or other information to be submitted with the proposal, with guidance as to the form and level of completeness of the submittal that will be acceptable.
  - 7.1.4.5 Schedule for planned commencement and completion of the design-build contract.
  - 7.1.4.6 Budget limits for the design-build contract.
  - 7.1.4.7 Requirements, including any available ratings for security (bid) bonds, performance bonds, payment bonds, and insurance.
  - 7.1.4.8 Other information the agency chooses to supply, such as surveys, soil reports, drawings of existing structures, environmental studies, photographs, or references to public records.
- 7.2 OFPM shall solicit proposals in a three-stage qualifications-based selection process.
- 7.2.1 Phase I shall be the solicitation of qualifications for consideration by the SBAC which will nominate a minimum of three but not more five design-build teams to advance to Phase II.
  - 7.2.2 Phase II shall be the solicitation of a technical proposal, including a conceptual design for the project, from the SBAC nominated firms.
  - 7.2.3 Phase III shall be the solicitation of a cost proposal from the SBAC nominated firms.
- 7.3 Phase I Requirements. Submit proposals as detailed in Section 5, including the following minimum information.
- 7.3.1 Demonstrate ability to perform projects comparable in design, scope, and complexity.
  - 7.3.2 References from owners for whom building-design projects have been performed.
  - 7.3.3 Qualifications of personnel who will manage the design and the construction aspects of the project.
  - 7.3.4 Names and qualifications of the primary design consultants and contractors with whom the design-builder proposes to (sub) contract. Identified consultants or contractors may not be replaced without the written approval of the agency.
  - 7.3.5 Bonding capacity, including providing a public works bond ([K.S.A. 60-1111](#)) and evidence of such bonding capacity. Failure to present such evidence will deem the firm as unqualified for selection under this subsection.
- 7.4 SBAC shall evaluate submitted proposals in accordance with the requirements of the notice and as follows.

- 7.4.1 Assign points to each proposal in accordance with the instructions of the RFP.
- 7.4.2 SBAC shall have discretion to disqualify any proposer that lacks the minimum qualifications required to perform the work.
- 7.4.3 Qualified proposers selected will proceed to Phase II of the selection process.
- 7.4.4 Proposers lacking the necessary qualifications shall not proceed to Phase II.
- 7.4.5 If three qualified proposers cannot be identified, the contracting process shall cease.
- 7.4.6 Price or fee shall not be considered as part of the Phase I prequalification criteria.
- 7.4.7 Designers shall be evaluated in accordance with the requirements of [K.S.A. 74-7003](#).
- 7.4.8 Points assigned in the Phase I evaluation process shall not carry forward to Phase II of the process.
- 7.5 Proposers nominated by the SBAC shall advance to Phase II and be ranked on points given by the PNC in Phases II and III only. The two-phase evaluation and scoring process shall be combined to determine the greatest value to the state agency.
- 7.6 Phase II Process. Pre-qualified firms selected in Phase I shall receive a RFP requiring their technical proposal and conceptual design for the project
  - 7.6.1 Proposals for Phase II and Phase III (cost of construction) shall be submitted concurrently in separate submittals.
  - 7.6.2 Proposers shall submit their design for the project to the level of detail required in the RFP.
  - 7.6.3 Design submittal shall be evaluated and assigned points in accordance with the requirements of the RFP.
  - 7.6.4 Maximum of 20% of the points awarded in Phase II may be based on proposer's qualifications and ability to design, construct, and deliver the project on time and within budget.
  - 7.6.5 Design proposal shall not contain any reference to cost of the proposal. Cost proposals shall be opened only after the design proposals have been evaluated and assigned points.
- 7.7 Phase III Process.
  - 7.7.1 Proposal for a firm fixed cost of construction shall be accompanied by bid security and any other submittals as required by the RFP.
  - 7.7.2 Upon receipt of all proposals from firms nominated by the SBAC, the PNC shall interview all proposers, allowing firms to present their proposed team members, qualifications and conceptual plan. The team members will also answer questions of the committee.
  - 7.7.3 Proposed contract time, in calendar days, for completing the project as designed by the proposer shall be considered as an element of evaluation. The RFP shall establish any acceptable alternates to the design and corresponding contract time criteria. The RFP shall establish a user delay value for each calendar day.

- 7.7.4 Cost and schedule proposals shall be submitted in accordance with the RFP. Failure to submit a cost proposal on time shall be cause to reject the proposal.
- 7.7.5 Cost and schedule shall be opened and read aloud at the time and place specified in the RFP. Evaluation team shall make public its scoring of Phase II at the opening.
- 7.8 Selection Process
  - 7.8.1 Cost proposals shall be evaluated in accordance with the RFP. Each proposer's adjusted score shall be determined by adding Phase III cost proposal to the product of the proposed contract time and the user delay cost, and dividing that sum by the Phase II score.
  - 7.8.2 Responsive proposer with the lowest total number of points shall be awarded the contract.
  - 7.8.3 If OFPM determines that it is not in the best interest of the agency to proceed with the project pursuant to the proposals offered by the proposer with the lowest total number of points, OFPM shall reject all proposals. If all proposals are rejected, all qualified proposers with higher point totals shall receive a stipend and the proposer with the lowest number of points shall receive an amount equal to two times such stipend.
  - 7.8.4 If all proposals are rejected, OFPM may solicit new proposals using different design criteria, budget constraints, or qualifications.
- 7.9 Stipend
  - 7.9.1 Agency shall pay a stipend as an inducement to qualified proposers for design-build proposals, to each proposer nominated by the SBAC whose proposal is responsive but not accepted.
  - 7.9.2 Stipend amount shall be established in the RFP.
  - 7.9.3 Upon payment of the stipend to an unsuccessful design-build proposer, the state shall acquire a nonexclusive right to use the design submitted by the proposer. The proposer shall have no further liability for its use by the state in any manner.
  - 7.9.4 If proposer desires to retain all rights and interest in the design proposed, the proposer shall forfeit the stipend.
- 7.10 Record of Selection Process
  - 7.10.1 Bids conforming to the terms of the advertisement for design-build services, together with the name of the bidders and with the successful bidder indicated, shall be recorded and made available to public inspection upon request after the letting of the bid.
  - 7.10.2 OFPM shall, within five days after award of the contract, publish the name of the successful bidder. The public notice shall show the phase II and III scores and the adjusted final score.
  - 7.10.3 OFPM shall, within five days after award of contract, have the names of all proposers whose bids were not selected, together with phase II and III scores and the final adjusted score for each, available for public review.
  - 7.10.4 The selection of the design build firm will be reported to the SBAC.

## Building Design and Construction Manual

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### 8.0 Kansas Open Records Act

- 8.1 Requests for copies of public records should be addressed in writing to the Director of Office of Facilities and Property Management, 900 Jackson, Room 600, Topeka, Kansas 66612, in accordance with the Kansas Open Records Act. ([K.S.A. 45-215 et seq.](#))
- 8.2 Advance payment of a fee is required to receive copies of public records.
- 8.3 When copies of project proposals received by OFPM are requested, firms will be able to purchase paper copies or a CD / DVD from the State's contracted printing company after paying in advance.
- 8.4 Copies of the proposals can be obtained after a contract with the selected firm is signed by all parties.

# Building Design and Construction Manual

## 9.0 Approval and Selection Process Outlines

### 9.1 Construction Management At-Risk

	Activity	Time Sequence / Requirements	Target Week	Days Allocated	Actual Project Time Example
	Annual Statement of Qualifications (submit annually or for specific project)	January of each year	-	-	
PRE-PHASE - Project Approval/Disapproval (5 weeks / 35 days)	<b>Agency</b> submits to OFPM written program and request to utilize Alt. Delivery Method	Minimum 1 week prior to SBAC meeting	-1	7	
	<b>OFPM / Agency</b> drafts advertisement for public hearing regarding using CM At-Risk	Complete prior to SBAC meeting	-	-	
	<b>SBAC</b> establishes a date/time for public hearing at next scheduled meeting	Once a month	<b>0</b>	<b>0</b>	
	<b>OFPM</b> submits advertisement to <i>Kansas Register</i>	NLT Wednesday of each week	-	-	
	<b>Kansas Register</b> published	Thursday following the Wednesday deadline	1	8	
	<b>SBAC</b> conducts public hearing (typically on date of and prior to next meeting)	Minimum 15 days after advertisement	4	20	
	<b>SBAC</b> determines if project meets criteria	Process continues - Yes/No	-	-	
PHASE I - SOQ & Nominations (6 weeks / 40 days)	<b>OFPM / Agency</b> drafts advertisement for SOQ from CM At-Risk firms	Complete prior to ad submittal date	5	7	
	<b>OFPM / Agency</b> drafts RFP for CM At-Risk firms	RFP can be written prior to SBAC nominations	-	-	
	<b>OFPM</b> submits advertisement to <i>Kansas Register</i> to request SOQ	NLT Wednesday of each week	-	-	
	<b>Kansas Register</b> published	Thursday following the Wednesday deadline	6	8	
	<b>Firms</b> submit SOQ	Minimum 15 days after advertisement	8	15	
	<b>SBAC</b> receives proposals for review and nominations at next meeting	Minimum 10 days before 2nd Wednesday of month	10	10	
	<b>Firms</b> notified of selection	After meeting	-	-	
PHASE II - RFP (4 weeks / 30 days)	<b>OFPM / Agency</b> prepares final RFP	RFP can be finalized earlier	-	-	
	<b>OFPM</b> distributes RFP to nominated firms	Approved RFP available	-	-	
	<b>Firms</b> submit RFP	Minimum 30 days after advertisement	14	30	
PHASE III - Selection, Negotiation & Contract (5 weeks / 35 days)	<b>PNC</b> receives RFQ for review, interviews and selection	Time required depends on project complexity	15	7	
	<b>PNC</b> establishes interview dates and conducts interviews	Time required depends on availability of PNC & firms	16	7	
	<b>PNC</b> selects best value proposal and negotiates final contract	Time required depends on project complexity	17	7	
	<b>OFPM</b> prepares contract		18	7	
	<b>CM At-Risk &amp; Agency</b> sign contract	End of Process	19	7	
	<b>CM At-Risk</b> starts work		<b>( 20)</b>	140	

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## 9.2 Design Build

	Activity	Time Sequence / Requirements	Target Week	Days Allocated	Example Actual Project Time
	Annual Statement of Qualifications (submit annually or for specific project)	January of each year	-	-	
PRE-PHASE - Project Approval/Disapproval (5 weeks / 35 days)	<b>Agency</b> submits to OFPM written program and request to utilize Alt. Delivery Method	Minimum 1 week prior to SBAC meeting	-1	7	
	<b>OFPM / Agency</b> drafts advertisement for public hearing regarding using Design-Build	Complete prior to SBAC meeting	-	-	
	<b>SBAC</b> establishes a date / time for public hearing at next scheduled meeting	Meet once a month	<b>0</b>	<b>0</b>	
	<b>OFPM</b> submits advertisement to <i>Kansas Register</i>	NLT Wednesday of each week	-	-	
	<b>Kansas Register</b> published	Thursday following the Wednesday deadline	1	8	
	<b>SBAC</b> conducts public hearing (typically on date of and prior to next meeting)	Minimum 15 days after advertisement	4	20	
	<b>SBAC</b> determines if project meets criteria	Process continues - Yes/No	-	-	
PHASE I - SOQ & Nominations (6 weeks / 40 days)	<b>OFPM / Agency</b> drafts advertisement for SOQ from Design-Build firms	Complete prior to ad submittal date	5	7	
	<b>OFPM / Agency</b> drafts RFP for Design-Build firms	FRP can be written prior to SBAC nominations	-	-	
	<b>OFPM</b> submits advertisement to <i>Kansas Register</i> to request SOQ	NLT Wednesday of each week	-	-	
	<b>Kansas Register</b> published	Thursday following the Wednesday deadline	6	8	
	<b>Firms</b> submit SOQ	Minimum 15 days after advertisement	8	15	
	<b>SBAC</b> receives proposals for review and nominations at next meeting	Minimum 10 days before 2nd Wednesday of month	10	10	
	<b>Firms</b> notified of selection	After meeting	-	-	
PHASE II - RFP (6 weeks / 45 days)	<b>OFPM / Agency</b> prepare final RFP	RFP can be finalized earlier	-	-	
	<b>OFPM</b> distributes RFP to nominated firms	Approved RFP available	-	-	
	<b>Firms</b> submit RFP	Minimum 45 days after advertisement	16	45	
PHASE III - Selection, Negotiation & Contract (5 weeks / 35 days)	<b>PNC</b> receive RFQ for interviews and selection	Time required depends on project complexity	17	7	
	<b>PNC</b> establishes interview dates and conducts interviews	Time required depends on availability of PNC & firms	18	7	
	<b>PNC</b> selects best value proposal and negotiates final contract	Time required depends on project complexity	19	7	
	<b>OFPM</b> prepares contract		20	7	
	<b>Design-Builder &amp; Agency</b> sign contract	End of Process	21	7	
	<b>Design-Builder</b> starts work	NTP issued	<b>( 22 )</b>	155	

END OF CHAPTER 4a

## CHAPTER 5 – SELECTION OF THE PROJECT ARCHITECT OR PROJECT ENGINEER

### 1.0 Negotiating Committee and Responsibilities

- 1.1 A negotiating committee is established to interview the nominated architectural or engineering firms, and to select and negotiate fees with the selected firm.
- 1.2 Each negotiating committee shall consist of the following members:
  - 1.2.1 The head of the state agency for which the proposed project is planned or designee.
  - 1.2.2 The head of the institution for which the proposed project is planned or designee.
  - 1.2.3 A person designated by the Secretary of Administration who shall act as chairperson of the committee.
- 1.3 When the negotiating committee is notified of the State Building Advisory Commission's (SBAC) firm nominations, the OFPM chair committee will schedule interviews with the committee. Each negotiating committee member will have the following:
  - 1.3.1 A written description of the scope or program of the project, prepared by the head of the state agency for which the project is *proposed*. ([K.S.A. 75-1255](#))
    - 1.3.1.1. The negotiating committee may approve the description as submitted or may revise and amend or reject all or any part of such description.
    - 1.3.1.2. The description in the form approved by the negotiating committee shall be used in the negotiations between the committee and qualified firms.
    - 1.3.1.3. Such description shall be the basis for the project development and the project description shall not be altered without the prior approval of the negotiating committee.
  - 1.3.2 A partially completed Fee Negotiation Checklist DCC Form 102.
  - 1.3.3 Each nominated firm's current statement of qualifications and performance data.
  - 1.3.4 Each firm's project proposal delivered to OFPM in response to the project advertisement.
- 1.4 The negotiating committee encourages nominated firms to visit the project site to gather information regarding the advertised project and to prepare supplemental information pertinent to the project for presentation to the negotiating committee during interviews.
  - 1.4.1 Prior to the interviews, nominated firms will be provided a scope of work or program of the project and a completed Fee Negotiation Checklist DCC Form 102.
- 1.5 The committee shall interview each of the firms regarding the anticipated project and select a single firm, unless the project was advertised for multiple selections.
  - 1.5.1 The selected firm(s) will be reported to the SBAC and be announced at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) when the contract with the selected firm is signed by all parties.

### 2.0 Fee Negotiation Requirements

- 2.1 Prior to fee negotiations the selected firm will be provided the following:
  - 2.1.1 A written description of the scope or program of the project.

- 2.1.2 A Fee Negotiation Checklist DCC Form 102, completed by the agency.
- 2.1.3 A Project A/E Services DCC Form 103, completed by the agency and designating which services are required for the project.
- 2.1.4 An OFPM project number.

### 3.0 Fee Negotiation Procedures

- 3.1 Each negotiating committee shall negotiate a contract with the selected firm for the type of professional services required at a fair and reasonable rate of compensation in accordance with ([K.S.A. 75-1257](#) & [75-1263](#)).
  - 3.1.1 The Secretary of Administration's published guidelines (located at the end of this chapter) for fees based on the projected cost of a project, the complexity of a project, the type of construction for the project and the level of services to be provided, as factors in establishing the rate or amount of such fees. ([K.S.A. 75-1257](#) & [75-1263](#))
  - 3.1.2 The program or scope of work, completed Fee Negotiation Checklist DCC Form 102, the Project A/E Services List DCC Form 103, and OFPM's Building Design and Construction Manual.
- 3.2 Should the negotiating committee be unable to negotiate a contract with the firm considered to be the most qualified within the fee limits established, the committee shall then undertake negotiations with the second most qualified firm to negotiate a contract, and so forth with the third, fourth, and fifth firms, if necessary. Should the negotiating committee be unable to negotiate a satisfactory contract with any of the selected firms, the committee shall reevaluate the services and fee requirements and reopen negotiations with any of the nominated firms”.
- 3.3 Should the negotiating committee still be unable to enter into a contract with any of the nominated firms, it shall request the SBAC to provide another list of nominees.
- 3.4 The fee for professional design on-call services may be negotiated on the following basis: as an hourly rate, as a percentage of the estimated construction cost, or as a percentage of the construction contract award.

### 4.0 Contracts

- 4.1 Each firm shall be responsible for all negligent acts, errors or omissions in the performance of the contract and will be required to have professional liability insurance as determined by the fee negotiations. ([K.S.A. 75-1258](#))
- 4.2 Each contract for professional services negotiated shall be entered into between the Secretary of Administration or the agency and the firm selected. ([K.S.A. 75-1258](#))
- 4.3 Each contract shall specify the responsibilities undertaken by the firm as outlined in the negotiation minutes prepared by the Negotiating Committee Chair, signed by all four (4) parties, and attached to the contract.
- 4.4 Each contract is written as a lump sum not-to-exceed amount and will only be changed by contract amendment when negotiated between the firm and the negotiating committee.

Link to [DCC Form 102 Fee Negotiation Checklist](#)

Link to [DCC Form 103 A/E Services List](#)

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<b>A/E FEE GUIDELINES USING CRITERIA FOR: COST / COMPLEXITY / TYPE / SERVICES</b>									
Construction Cost	<b>\$750,000</b>			<b>\$1,500,000</b>			<b>\$2,500,000</b>		
Complexity/Construction Type	New	Combined	Remodel	New	Combined	Remodel	New	Combined	Remodel
<b>Utilitarian</b> (Considerably Less Than Ave)	7.00%	8.00%	9.00%	6.75%	7.75%	8.75%	6.50%	7.50%	8.50%
<b>Conventional</b> (Less Than Average)	7.75%	8.75%	9.75%	7.50%	8.50%	9.50%	7.25%	8.25%	9.25%
<b>Moderately Complex</b> (Average)	8.50%	9.50%	10.50%	8.25%	9.25%	10.25%	8.00%	9.00%	10.00%
<b>Comparatively Complex</b> (More Than Average)	9.25%	10.25%	11.25%	9.00%	10.00%	11.00%	8.75%	9.75%	10.75%
<b>Complex</b> (Considerably More Than Ave)	10.00%	11.00%	12.00%	9.75%	10.75%	11.75%	9.50%	10.50%	11.50%

Construction Cost	<b>\$5,000,000</b>			<b>\$7,500,000</b>			<b>\$10,000,000</b>		
Complexity/Construction Type	New	Combined	Remodel	New	Combined	Remodel	New	Combined	Remodel
<b>Utilitarian</b> (Considerably Less Than Ave)	6.25%	7.25%	8.25%	6.00%	7.00%	8.00%	5.75%	6.75%	7.75%
<b>Conventional</b> (Less Than Average)	7.00%	8.00%	9.00%	6.75%	7.75%	8.75%	6.50%	7.50%	8.50%
<b>Moderately Complex</b> (Average)	7.75%	8.75%	9.75%	7.50%	8.50%	9.50%	7.25%	8.25%	9.25%
<b>Comparatively Complex</b> (More Than Average)	8.50%	9.50%	10.50%	8.25%	9.25%	10.25%	8.00%	9.00%	10.00%
<b>Complex</b> (Considerably More Than Ave)	9.25%	10.25%	11.25%	9.00%	10.00%	11.00%	8.75%	9.75%	10.75%

**Notes:**

Each complexity factor and each construction type are established at a normal or typical level of difficulty. Individual projects levels may be evaluated compared to the presumed levels.

Combined projects include both new construction, such as an addition, and remodeling construction.

Projects with a Construction Cost between the listed cost values shall have fee values interpolated within the corresponding Fee Ranges.

Projects with a Construction Cost less than \$750,000 shall be negotiated as if the A/E delivery is for an "On-Call" contract.

Projects with a Construction Cost greater than \$10,000,000 shall be evaluated by extending Construction Cost in multiples \$2,500,000 with adjustments in Fee Range of 0.25% for Construction Type and 0.75% for Complexity.

Reference the separate list of Complexity Factors for Assigned Building Types Program Services listed in DCC Form 103 "Services Provided by the Project Architect/Engineer" are established for a typical project.

A/E Fee Guidelines is established for use in evaluating Architecture-only or combined Architecture and Engineering Projects. Engineering-only projects may require different/adjusted criteria.

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<b>COMPLEXITY FACTOR FOR ASSIGNED BUILDING TYPE</b>				
<b>Utilitarian</b> (Considerably Less Than Ave.)	<b>Conventional</b> (Less Than Average)	<b>Moderately Complex</b> (Average)	<b>Comparatively Complex</b> (More Than Average)	<b>Complex</b> (Considerably More Than Ave.)
Projects of simple, utilitarian character without complication or detail and with a high degree of repetition.	Projects of simple character requiring normal attention to design, detail, and with moderate repetition.	Projects of conventional character requiring normal attention to design and detail, complete mechanical and electrical systems.	Projects of specialized character requiring a high degree of skill in design, containing large amounts of complex scientific mechanical and electrical equipment.	Projects of detail character requiring elaborate planning and execution and devoid of repetition.
Agricultural Dam (Earthen) Construction Dam (Earthen) Renovation Grandstand Hangar Industrial Buildings Maintenance Shops Parking Structures Perimeter Security Towers Pre-engineered Structure Prototype Facilities (replication of previously designed facilities) Site Adaptations of Existing Designs Storage Facilities Warehouses	Apartments Armories Bakery Basic Building Structure without interior layout design Boat Ramps Bowling Alley Dining Facilities Dormitories Food Service Greenhouses Gymnasium Historical Facilities requiring only repairs Historical Monuments Laundry Detention / Correctional Facilities – Minimum Natatorium Offices Buildings without partitions Park Shelters Printing Plant Shop & Maintenance Facilities Site Work: Water, Sewers, Streets, Fences, Walks, Parking Lots, Park Trails, Landscaping, Signage, Site Lighting Stadium	Archive Building Auditorium Cellhouse Central Utility Plants Chapel Child Care Classrooms – General Day Care Facilities Detention / Correctional Facilities – Medium Dietary Facilities / Kitchens / Cafeterias Fire & Police Stations Fish Hatchery Floating Docks Recreational Facilities Heating Plant High Voltage Electrical Service / Distribution Laboratory (Dry) Lagoon Library Marinas Medical Office Facilities & Clinics Mental Hospitals - Non-secure Museum Offices Office Buildings with tenant improvements Power Plant Recreation Facility Restroom & Shower Buildings Schools: Sight / Hearing / Physically Impaired Shooting Range – Outdoor Shower Buildings Student Center Student Union / Center Swimming Pool – Natatorium Visitors / Interpretive Centers	Broadcast Studio Classroom – Specialized Computer Center Control Centers Detention / Correctional Facilities – Maximum Fish Hatcheries Food Service Facilities Historical Facilities requiring complete restoration Laboratory – Teaching (Wet) Medical Clinic Mental Hospitals – Secure Museums Observatories Residences Theaters Veterinary Hospital	Computing Center Hospitals Laboratory – Research (Wet) Medical Hospital Science & Medical Research Buildings

## END OF CHAPTER 5

# Building Design and Construction Manual

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## CHAPTER 6 – CAPITAL IMPROVEMENT PROJECT INFORMATION

### State Funded Capital Improvement Project Information

#### 1.0 Project Inception

- 1.1 When a project is planned by a state agency for legislative approval, it is submitted as a capital improvement and funding request in the agency's five-year capital improvement program and facilities plan to the budget office, the SBAC, and the JCSBC by July 1 of each year. With the assistance of the Secretary of Administration, the SBAC reports and makes recommendations on each capital improvement budget estimate to the budget office, the JCSBC and the legislative research department by November 15 each year. ([K.S.A. 75-3717\(b\)](#))
- 1.2 When the legislature approves a proposed project, the process for nominating firms for interviews is initiated by the state agency's request to OFPM for an advertisement in the Kansas Register.

#### 2.0 OFPM Project Number

- 2.1 An OFPM project number is required for each capital improvement project and will be assigned to each project by OFPM when the agency submits a completed Project Number / Data Request DCC Form 935 to OFPM.
  - 2.1.1 Ancillary service projects, miscellaneous studies/reports and any services provided by OFPM will also be assigned a project number.
- 2.2 The OFPM project number is an A- followed by a 6-digit number. All six numbers should be included even if the first number is a zero. (Example A-010254)
- 2.3 The OFPM project number shall be used on all correspondence, drawings, specifications, billings, shop drawings and other documents transmitted by the project architect/engineer.

#### 3.0 Project Architect/Engineer's Consultants

- 3.1 If the project architect/engineer identifies a valid need to change consultants approved during the fee negotiation, at anytime during the project, the firm shall notify the negotiating committee in writing for their approval/disapproval.

#### 4.0 State Forms for Design and Construction

- 4.1 OFPM forms required for the project architect/engineer to perform their duties are provided in .DOC/DOCX and .XLS/XLSX format at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
  - 4.1.1 Forms issued by OFPM are available as samples at the same website as .PDF documents for informational purposes only.
- 4.2 OFPM forms change periodically and should be downloaded from the OFPM website each time they are used to alleviate any delay in the processing of paperwork.
  - 4.2.1 Documents submitted on outdated forms may be required to be resubmitted on the latest version of the form.

#### 5.0 Critical Project Requirements

- 5.1 Request for Review DCC Form 120, will be provided with each submittal by the project architect/engineer.

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- 5.2 "Is a Code Footprint Required?" DCC Form 105 will be completed and submitted at the beginning of each project.
- 5.3 ADAAG Path of Travel Requirements DCC Form 115 will be completed for each renovation and/or addition.
- 6.0 Ancillary Technical Services
  - 6.1 Whenever **ancillary technical services** are required, the Secretary of Administration, through OFPM or the agency will contract with qualified firms to perform these services. Services include but are not limited to geological services and other soil or subsurface investigation and testing services; surveying; asbestos, lead paint or other hazardous materials testing; testing and balancing of heating, ventilating, air conditioning and other mechanical building systems; building commissioning; and other testing and consultant services.
  - 6.2 Annually, OFPM will advertise for firms interested in providing these services to submit a State of Kansas Professional Qualifications DCC Form 050. This notice will be published in the *Kansas Register*.
- 7.0 Program Changes
  - 7.1 A program may be revised, amended or rejected by the negotiating committee during the development of the project with the understanding that the project architect/engineer is to be fairly compensated for any authorized changes.
- 8.0 Additional Services
  - 8.1 When additional services are requested by the project architect/engineer, fees commensurate with the additional services should be negotiated with the negotiating committee prior to performing any said services. These include:
    - 8.1.1 Additional services from the A/E Program Services List DCC Form 103.
    - 8.1.2 Increase in scope of work.
    - 8.1.3 Additional inspections as detailed in Chapter 16.
  - 8.2 Department of Administration's staff attorney, in accordance with the same procedures as the original contract, will prepare an amendment to the project architect/engineer's contract.
  - 8.3 The project architect/engineer shall proceed with additional services only after the signed contract amendment or written authorization from the chair of the negotiating committee is received.
  - 8.4 Invoice approval for additional services will follow the same procedures as contract fee payments.
- 9.0 Bid Documents Licensure
  - 9.1 All professional licensure shall comply with the Kansas Board of Technical Professions requirements.
    - 9.1.1 The Kansas State Board of Technical Professions recognizes electronic signatures. Specific regulations and standards are available at the KSBTP website at <http://www.kansas.gov/ksbtp/seals.html>.

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9.2 Each professional in each discipline that seals original bid drawings for a state Capital Improvement Project shall seal each drawing related to their actual work, and sign and write the current date across each seal.

9.2.1 Each discipline that seals original bid drawings will be part of the titleblock on each drawing that contains their work.

9.3 Each professional in each discipline shall also seal a sheet in the specification manual, sign and write the current date across each seal.

### 10.0 Copyright and Ownership of Documents

10.1 The project architect/engineer retains the copyright on the design (i.e. the overall form as well as the arrangement of and composition of spaces and elements of design.)

10.1.1 The project architect/engineer retains the copyright after the project is constructed unless conveyed by the project architect/engineer to the Owner.

10.1.2 If the Owner wishes to reuse the design, the project architect/engineer must agree and be compensated accordingly.

10.2 The project architect/engineer retains ownership of **all** contract documents prepared by the project architect/engineer for the project, in accordance with Kansas State Board of Technical Professions, [www.kansas.gov/ksbtp/](http://www.kansas.gov/ksbtp/) .

10.2.1 Except for the state's detention facilities, it is the project architect/engineer's responsibility to approve / disapprove the contractor's use of the documents for shop drawings.

10.2.1.1 In conjunction with the project architect/engineer, agencies with detention facilities also have a responsibility to approve / disapprove the use of documents for purposes other than bidding and construction of the project.

10.2.2 The Owner may use the documents as reference material for subsequent projects on the facility without obtaining the permission of the project architect/engineer.

10.2.2.1 The project architect/engineer will not be held responsible for any claims resulting from the subsequent projects.

### 11.0 Termination of Architectural / Engineering Services

11.1 In the event of termination of a project for any reason, including lack of funding for the project, the state of Kansas will give the project architect/engineer thirty (30) days notice.

11.2 An appropriate fee for services rendered will be negotiated between the project architect/engineer and the negotiating committee.

11.3 .PDF copies of all documents completed at the date of termination shall be given to the agency and OFPM, unless otherwise directed by OFPM.

## Gift, Endowment and Hospital Authority Capital Improvement Project Information

### 1.0 General Information

- 1.1 This chapter is to aid project architect/engineer's in the completion of projects that are funded by non-State money (i.e. grants, gift money and endowments).
- 1.2 Projects funded in this manner will only be required to follow Chapter 7, 11, 13 and 17. However, some Owners may direct the project architect/engineer to follow additional chapters in this manual.
  - 1.2.1 The Owner shall designate which chapters of this manual they wish the project architect/engineer to follow.
  - 1.2.2 Chapter 13 – EXCEPTION. OFPM will not provide front end documents including the bid form.
- 1.3 Projects funded in this manner are not allowed to use any form with the OFPM letter head or any form requiring OFPM acceptance, approval or signature.

**END OF CHAPTER 6**

## CHAPTER 7 - COMPLIANCE, REQUIRED SUBMITTALS AND OCCUPANCY

### 1.0 General Information

- 1.1 The Office of Facilities and Property Management (OFPM), on behalf of Secretary of Administration, is to develop and adopt standards for inspection and acceptance of projects for the construction of buildings and major repairs and improvements to buildings for state agencies ([K.S.A. 75-3783](#)). The standards and process developed for acceptance is outlined in this chapter. Some of the processes include review and acceptance of code footprints, acceptance of construction documents for code, accessibility and energy compliance, acceptance of fire alarm and sprinkler shop drawing, code inspections of construction and issuance of Certificate of Occupancy DCC Form 145.
- 1.2 Kansas State Fire Marshal Office (KSFM) and the OFPM have a memorandum of understanding. OFPM will act as single point of contact and will coordinate with KSFM, the reviews and acceptance of code footprints for all construction projects on State property. OFPM and KSFM will both sign code footprints and accept temporary exit plans. OFPM, acting on behalf of KSFM, will perform reviews of fire alarm plans and sprinkler plans for all construction projects on State property.
  - 1.2.1 Exception – KSFM will review, in addition to OFPM review, fire alarm and sprinkler shop drawings for facilities that receive Federal Center for Medicare and Medicaid Services (CMS) funding.
- 1.3 Effective dates of applicable building codes, accessibility laws and guidelines and energy codes are available under Code and ADAAG Compliance/List of Applicable Codes DCC Form 110 at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
  - 1.3.1 Project architects/engineers that contract with Department of Administration shall follow the applicable codes and accessibility laws attached to their contract.
- 1.4 A Request for Review Form DCC Form 120 is required to be submitted for all items requiring action or review by OFPM. This form is available under “Forms & Documents” at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/). The form is required for building code questions/interpretations, code footprint reviews, construction document reviews, fire alarm and sprinkler shop drawing reviews. The Request for Review form shall have an OFPM project number provided. (See chapter 6 for more information on OFPM Project Number)
  - 1.4.1 Submissions will not be reviewed if the OFPM project number is not provided. The OFPM project number is required to file and properly track the project from review through construction and occupancy.
- 1.5 Questions regarding the building code, accessibility or requests for building code interpretations are to be forwarded to OFPM in a written format utilizing the Request for Review DCC Form 120. All questions and requests for building code interpretations are to be identified with an OFPM Project Number (see chapter 6 for more information on OFPM Project Number). OFPM will issue a written response.
  - 1.5.1 Accessibility questions regarding new construction, additions and/or renovations should be forwarded to OFPM.
  - 1.5.2 Accessibility questions regarding Title II program accessibility should be addressed to State ADA Coordinator.

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- 1.6 Code footprints are required to be submitted for all new construction, additions, and building renovation/remodeling affecting active or passive life safety systems or change in occupancy of buildings on State property. ([K.A.R. 22-1-7](#))
  - 1.6.1 If the project architect/engineer concludes during the code analysis of the project, a code footprint is not required or if it is uncertain a code footprint is required, the project architect/engineer shall submit "Is a Code Footprint Required?" DCC Form 105. OFPM may request drawings and code analysis information for clarification.
  - 1.6.2 Accessibility analyses, including completed path of travel forms for additions/renovations, are to be submitted for all new construction, new additions, and building renovation/remodeling (alterations) during design. If a code footprint is required, the information shall be submitted with the code footprint. If a code footprint is not required, the information shall be submitted with the "Is a code footprint required?" Form DCC 105. Issuance of release to bid and/or permit to build is contingent on receipt and acceptance by OFPM.
- 1.7 If a code footprint has been prepared to address plan of correction items as identified with KSFM, that code footprint is to be forwarded to the KSFM as the single point contact for Plan of Correction. Code footprints submitted to OFPM for plan of correction will not be reviewed by OFPM and will be forwarded to KSFM for their action.
- 1.8 Code footprints and accessibility analyses can be submitted at any time during design and document phases. These in-progress submittals of code footprints and accessibility analyses will be reviewed and comments provided. OFPM will not provide project acceptance of in-progress code footprint submittals, only review comments will be issued. A Request for OFPM Review DCC Form 120 is to accompany all submittals. Documents will not be reviewed if form is not provided. See Section 2.0 in this chapter for procedures.
- 1.9 The final code footprint can be submitted when the project architect/engineer has determined the Code Footprint is in a final form. (i.e. the submittal can be forwarded prior to completion of construction documents.)
- 1.10 Final Construction Documents shall be submitted to OFPM for review for compliance with building and energy codes and accessibility laws and guidelines. (KSA 75-3783 and 58-1304) If a code footprint is applicable for the project, the construction documents will be reviewed for compliance with the accepted code footprint. If the Construction Documents vary from the accepted code footprint, revisions to the code footprint and/or construction documents will need to be made prior to releasing the project to bid.
  - 1.12.1 Project architect/engineer is to indicate compliance to Energy Efficiency Performance Standards per section 4.0 of this Chapter. If compliance was not indicated with a design development submittal, compliance is to be indicated at final construction document submittal. This is required to receive construction document acceptance and permit to build.
- 1.11 Temporary exiting and/or access shall be identified in occupied buildings where renovations or building additions block or impair exiting or access during construction.
  - 1.11.1 The temporary exiting or egress can be identified as part of the code footprint or as a separate plan submission. If a separate plan is submitted, the submission shall be in the same format (page size, title block, project number, building number, etc) as the code footprint, shall bear the project architect/engineer seal, shall list all applicable codes and shall be submitted with the code footprint submission.
  - 1.11.2 Multiple plans may be required due to construction phasing.

- 1.11.3 If an accepted temporary exit or egress plan is modified during construction, the project architect/engineer shall submit a revised plan with the revisions indicated.
  - 1.11.4 A project acceptance will be issued by OFPM when temporary exiting plans have been accepted by OFPM/KSFM and when temporary access plans have been accepted by OFPM.
  - 1.12 For projects that are being bid by OFPM, failure to have a signed OFPM / KSFM code footprint, a signed Project Acceptance Record DCC Form 125 issued by OFPM and construction documents that do comply with applicable building codes and accessibility laws and guidelines will prevent the project being released to bid.
  - 1.13 For all other projects, a OFPM / KSFM signed code footprint, and a signed Project Acceptance Record by OFPM for construction documents that comply with building codes, accessibility laws and guidelines and energy codes are required prior to commencement of construction and issuance of the permit to build by OFPM.
  - 1.14 If the accepted code footprint is revised during construction, the code footprint shall be resubmitted with a revised date and all revisions shall be identified. The revised code footprint is to be accepted by OFPM/KSFM prior to issuance of Certificate of Occupancy.
  - 1.15 If a previously accepted code footprint is revised for a new project or change in occupancy, the revised code footprint shall include the new project number, have all revisions identified and shall include all information per [K.A.R. 22-1-7](#).
  - 1.16 Fire alarm and/or sprinkler shop drawings are required to be submitted to OFPM for review and acceptance. See Section 5.0 in this chapter for procedures.
  - 1.17 OFPM, on behalf of Secretary of Administration, has authority to authorize / accept occupancy. ([K.S.A. 75-1262](#) and [K.S.A. 76-757](#)). Certificate of Occupancy DCC Form 150 will be issued by OFPM prior to occupancy of any portion of a building that has been in construction or has a change in occupancy. See section 6.0 in this chapter for procedures.
- 2.0 Code Footprint Reviews
- 2.1 Each project architect/engineer is responsible to submit a code footprint for review and acceptance by OFPM. Code footprints shall be sent to OFPM. The code footprint should not be sent to KSFM. Misdirected and/or incomplete submittals may delay review process.
  - 2.2 Design development submittals must include a preliminary code footprint submission. The preliminary submittal review box on the Request for Review DCC Form 120 must be checked. The project architect/engineer shall resolve all OFPM code footprint comments prior to beginning construction documents.
  - 2.3 The 100% construction documents submittals must include a final code footprint submission. The final code footprint shall be routed at least two weeks prior to 100% construction document submittal. The final review box on the Request for Review PFDC Form 120 must be checked.
  - 2.4 The code footprint submittal process is as follows:
    - 2.4.1 Each code footprint submitted must be accompanied by a Request for OFPM Review DCC Form 120. The form is available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
    - 2.4.2 The project architect/engineer is to complete the first page of the Request for OFPM Review DCC Form 120 in its entirety. On the second page of the Request for OFPM

Review, the project architect/engineer shall complete the Compliance Attestation by identifying each item using an “x” to signify compliance and “NA” for those items that do not apply. Code footprints will not be reviewed if forms are not provided.

- 2.4.3 Code footprints, and revised code footprints, shall include all requirements of ([K.A.R. 22-1-7](#)). The second page of the Request for Review identifies all the ([K.A.R. 22-1-7](#)) requirements.
- 2.4.4 The code footprint shall be submitted in 11”x17” format and may be multiple pages. The pages are to be numbered x of y. The OFPM project number and building number must be part of the title block of the code footprint.
  - 2.4.4.1 The titleblock described at the end of the Construction Document Checklist DCC Form 123 is required on the code footprints. The OFPM project number shall be located per the titleblock standard.
- 2.4.5 Preliminary code footprint submittals do not require agency signature unless agency requires them. The preliminary code footprint submittal can be forwarded via e-mail to the Senior Architect – Construction & Compliance. The preliminary submittal review box shall be checked on the Request for Review DCC Form 120.
  - 2.4.5.1 Due to restrictions on the computer security system, OFPM is not able to receive .ZIP files. Please send review documents to OFPM in .DOC/.DOCX, or .PDF formats.
- 2.4.6 Signature lines shall be included on the front page for the Agency representative, OFPM and KSFM. **The Agency representative shall sign the final code footprint prior to submission to OFPM.**
- 2.4.7 The code footprint submittal for final acceptance shall include one (1) copy of the code footprint along with the Request for Review DCC Form 120. The one (1) copy of the accepted code footprint will be retained by OFPM. Electronic copies of the accepted code footprint will be forwarded to KSFM, the project architect/engineer and agency representatives.
- 2.4.8 The submission is to be in black and white format only. Color submissions will not be reviewed and a resubmission will be required.
- 2.4.9 Text shall be readable and legible. Project architect/engineer shall review submission for legibility prior to submission to OFPM. All graphics shall conform to the standard included on the Code Footprint Graphic Legend available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
- 2.4.10 Each facility is to be identified by the OFPM building number.
- 2.4.11 Existing conditions shall be identified and shall note if the existing condition is non-conforming. All new work shall be clearly identified.
- 2.4.12 All hazards are to be identified on the code footprint. This is to include hazardous materials and their quantities, any hazardous uses, and any special features/locking devices being proposed for egress doors (except for I-3 occupancies where only the condition type need be identified in the code footprint narrative).
- 2.4.13 Alternative materials, design and methods of construction and equipment should be reviewed with OFPM prior to the submittal of the code footprint. Each alternative material, design or method of construction is to be identified and justified on the code

footprint. See Chapter 1 of the International Building Code for definition of alternative materials, design and methods of construction and equipment.

- 2.4.14 The KSFM has determined that construction areas are hazardous and as such are to be separated from occupied portions of existing buildings with one-hour fire-resistive barriers. This separation is to be shown on the temporary egress plans.
  - 2.4.15 Identification of active life safety systems shall be listed as “required / not required” and “provided / not provided” *and/or* listed as existing non-conforming.
  - 2.4.16 Preliminary submittals shall be noted as “draft” or “for review only” and should indicate the design phase in the “Description of Work”.
  - 2.4.17 Code footprints will be reviewed in the order they are received by OFPM.
  - 2.4.18 After review of the preliminary submittal, OFPM will issue comments. It is the responsibility of the project architect/engineer to resolve the comments issued by OFPM.
  - 2.4.19 Final code footprints shall have the project architect/engineer’s seal affixed to the document.
- 2.5 When the final code footprint is accepted, a Project Acceptance Record DCC Form 125 will be issued. Electronic copies of the Project Acceptance Record and the accepted code footprint will be forwarded to the project architect/engineer and Agency via e-mail. The electronic copies will be sent to the contact person(s) identified on the request for review via e-mail. Additional paper copies of the original code footprint will not be returned.

### 3.0 Accessibility Laws and Guidelines

- 3.1 All buildings on state owned property are subject to federal [28 CFR Part 35] and state accessibility laws, ([K.S.A. 58-1301 et seq](#)), which mirror title II of the Americans with Disabilities Act (ADA).
- 3.2 Americans with Disabilities Act Accessibility Guidelines (ADAAG), 1991 governs all state building construction and renovation projects through March 15, 2012. The Uniform Accessibility Standards (UFAS) applies to all agencies which receive federal funds for any programs, for any construction project receiving federal funds, and all state owned housing. When UFAS also applies, the most stringent requirement from ADAAG/UFAS will apply to the project.
  - 3.2.1 On March 15, 2011 and thereafter, in addition to the above guidelines, 2010 Design Standards may be used for applications not addressed in ADAAG/UFAS.
  - 3.2.2 On March 15, 2012 and thereafter, 2010 Design Standards will become federal law for accessibility requirements; however, state requirements cite ADAAG as the accessibility standard to use. 2010 Design Standards may only be used for applications not addressed in ADAAG.
- 3.3 The project architect/engineer is responsible for compliance with Section 3.2 where applicable on all new construction, additions and renovation projects. OFPM and the state ADA coordinator will review all projects for compliance with appropriate accessibility guidelines regarding the timetable detailed above and applicable title II requirements during all phases of a project. ([K.S.A. 58-1304](#))
- 3.4 Prior to the approval of design development, the project architect/engineer shall analyze renovation projects for accessibility. When alterations to a primary function area are being

made, the project architect/engineer is responsible to identify what “path of travel requirements” are triggered. Path of Travel DCC Form 155 is available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).

- 3.4.1 The Path of Travel DCC Form 155 is to be submitted to OFPM with the Schematic and Design Development packages.
- 3.5 Failure to provide compliant accessibility items in documents in all new construction, additions and renovation projects will result in denial of release to bidders or permit to build.
- 3.6 Any ADAAG, UFAS, 2010 design standards or Title II issues, including program accessibility, will be resolved by the state ADA coordinator.
- 3.7 The following is a list of accessibility elements commonly omitted on projects. This list is provided for the benefit of the project architect/engineer. This list is not all inclusive and does not relieve the project architect/engineer from the burden of complying with current accessibility standards required by the state of Kansas.
  - 3.7.1 Multistory governmental facilities are required to have at least one passenger elevator. Single story buildings with a code compliant mezzanine are not considered multistory facilities.
  - 3.7.2 Path of travel requirements are triggered when alterations are being made to a primary function area of a facility, and up to 20% of the construction budget is required to make alterations to meet path of travel requirements.
  - 3.7.3 Accessibility improvements that are required to make a facility accessible to individuals with disabilities shall be provided in the base bid contract, except when the project is limited solely to accessibility improvements.
  - 3.7.4 Dispersion of accessible seating in assembly areas with > 50 occupants.
  - 3.7.5 Parking and drop off areas.
  - 3.7.6 Exterior accessible routes.
  - 3.7.7 Required number of accessible entrances and exits.
  - 3.7.8 Door opening forces.
  - 3.7.9 Control mechanisms, operable by the public, such as automatic door openers, elevator hall call buttons, door handles, light switches, and etc. should be no higher than 38”.
  - 3.7.10 Reception counters.
  - 3.7.11 Areas of rescue assistance requirements.
  - 3.7.12 Fire alarm requirements.
- 4.0 Energy Code Compliance
  - 4.1 On all new buildings or additions and all buildings renovated, retrofitted or repaired shall comply with 2006 Edition of the International Code (IECC) or ASHRAE 90.1-2007 or as an alternative the project architect/engineer may seek to comply with a functionally equivalent standard as provided in K.A.R.1-67-2 AND 1-67-3.

- 4.1.1 When the project is a renovation, retrofit or repair compliance will only be required on systems or components being replaced or altered.
- 4.2 The project architect/engineer shall attest compliance as follows:
  - 4.2.1 Indicate compliance on Request for Review DCC Form 120 by marking the applicable box under Energy Efficiency Performance Standards. This is to be completed at the time of design development submittal. If this is not completed at design development, this will be required at the time of final construction document submittal and the request for permit to build.
  - 4.2.2 If the project complies with ASHRAE or IECC no documentation is required.
  - 4.2.3 If the project architect/engineer is seeking compliance with a functionally equivalent standard, a report as required in K.A.R.1-67-2 and 1-67-3 will be required to be submitted. Information is received and filed by OFPM. OFPM will not review or certify acceptance of the information provided.
- 4.3 Permit to build issuance is contingent on submittal of the Request for Review DCC Form 120 indicating compliance to energy efficiency performance standards.
- 5.0 Construction Document Reviews
  - 5.1 Construction Documents are to be submitted to receive a permit to build and shall be accompanied by a Request for OFPM Review DCC Form 120 available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/). Documents will not be reviewed if form is not provided.
    - 5.1.1 The final Construction Documents for construction shall be sealed, signed and dated by the project architect/engineer. Drawings are to be submitted on bond paper.
    - 5.1.2 Half size sets are preferred if information is readable. Half size sets are required for 30" x 40" or larger original drawing sheets.
    - 5.1.3 Technical specifications shall be submitted electronically on a CD/DVD.
  - 5.2 Construction documents are to contain adequate information so compliance with applicable building codes and accessibility laws and guidelines can be determined. The Construction Documents Checklist DCC Form 123 available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) outlines required information to be provided.
  - 5.3 A statement of special inspection shall be provided per applicable building codes. The project architect/engineer may reference the project specifications in lieu of a separate statement.
  - 5.4 A Project Acceptance Record DCC Form 125 will be issued electronically via e-mail when the Construction Documents are accepted by OFPM.
  - 5.5 Certificate of Occupancy DCC Form 150 will not be issued if Construction Documents have not been submitted and accepted by OFPM.
- 6.0 Fire Alarm and/or Sprinkler Shop Drawings
  - 6.1 Submittals are to be reviewed and approved by the project architect/engineer prior to submittal to OFPM. Partial submittals will not be reviewed by OFPM. Partial submittals will not be returned to the submitter or retained by OFPM. It is the responsibility of the project architect/engineer to provide a complete submittal for OFPM review.

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- 6.1.1 OFPM, acting on behalf of KSFM will perform reviews of fire alarm and sprinkler shop drawings. In addition to OFPM review, KSFM will review fire alarm and sprinkler shop drawings for projects that receive Federal CMS funding (KSFM acts on behalf of CMS for these reviews.) OFPM will coordinate the KSFM review of these shop drawings.
- 6.2 When the complete shop drawing submittal is approved by the project architect/engineer, the project architect/engineer will forward **one** paper copy and **one** CD/DVD copy of the complete shop drawing submittal to OFPM for review and acceptance. The CD/DVD copy shall be provided on a CD/DVD and forwarded with the paper copy. E-mailed submissions will not be accepted.
- 6.3 A Request for OFPM Review DCC Form 120 shall accompany the shop drawings. The form is available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/). Shop Drawings will not be reviewed if form is not provided.
- 6.4 A Project Acceptance Record DCC Form 125 will be issued electronically via e-mail when the shop drawings are accepted by OFPM.
- 6.5 Project architect/engineer is to forward OFPM acceptance to contractor.
- 6.6 Installation of the systems shall not begin until OFPM Project Acceptance Record has been issued.
- 6.7 A complete fire alarm shop drawing submittal shall include all necessary drawings, calculations and product information, and shall include as a minimum:
  - 6.7.1 Floor plans the same scale as the architectural drawings.
  - 6.7.2 Identification of Edition of NFPA 72 used to design the system.
  - 6.7.3 Indicate the name/use of all rooms (i.e.: conf. rooms, office, storage, etc.)
  - 6.7.4 Locations of all alarm initiating and notification appliances.
  - 6.7.5 Candela rating of all strobes.
  - 6.7.6 Location of the FACP and any annunciation panels.
  - 6.7.7 System monitoring method (i.e.: dial up, security office, fire dept. etc.)
  - 6.7.8 Battery Calculations sealed by a licensed engineer.
  - 6.7.9 Conductor types, sizes and voltage drop calculations.
  - 6.7.10 Model numbers and listing information for equipment and devices.
  - 6.7.11 Interlocks with other systems (i.e. fire alarms, HVAC systems, security systems, etc.)
  - 6.7.12 Clearly indicate any non-standard conditions, such as, soffits, beam pockets, sloped ceilings, ceilings over 15 ft or any other condition which may alter the standard spacing of initiating or notification appliances.
- 6.8 A complete sprinkler shop drawing submittal shall include all necessary drawings, calculations and product information , shall be sealed by a licensed professional engineer, and shall include as a minimum:
  - 6.8.1 Plans and calculations shall be sealed, signed and dated by professional engineer.
  - 6.8.2 Floor plans the same scale as the architectural drawings.
  - 6.8.3 Identification of Edition of NFPA 13 used to design the system.
  - 6.8.4 Indicate the use of all rooms
  - 6.8.5 Hydraulic calculations
  - 6.8.6 Provide the requirements designated in the Plans and Calculations Chapter of NFPA 13 (Chapter 14 in the 2002 edition, Chapter 8 in the 1999 edition) as they pertain to the specific design.
- 7.0 Certificate of Occupancy and Required OFPM Code Inspections

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- 7.1 A Certificate of Occupancy DCC Form 150 will be issued electronically via e-mail when all applicable items have been verified acceptable by OFPM as outlined on the Occupancy Checklist DCC Form 145 and per this section. This checklist is available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/). A Certificate of Occupancy will not be issued to a project that does not have an OFPM project number.
- 7.2 Certificate of Occupancy for state nursing homes, state hospitals and KUMED Hospital require inspection by OFPM and KSFM.
- 7.2.1 KSFM is to be scheduled for a 50% construction inspection and the final inspection. KSFM is to be scheduled by contacting their main office at 785-296-3401.
- 7.2.2 OFPM and KSFM inspector shall inspect jointly at the 50% and final inspection. It shall be the responsibility of the agency to verify the contractor has scheduled and coordinated the OFPM / KSFM inspectors for this joint inspection.
- 7.2.3 Certificate of Occupancy will be issued when OFPM and KSFM inspectors have performed the final inspection and indicated their acceptance. Failure to schedule OFPM and KSFM for an inspection will result in denial of occupancy.
- 7.2.4 When a certificate of occupancy is requested by these types of occupancies, OFPM will contract KSFM to verify their acceptance for occupancy.
- 7.3 Certificate of Occupancy for childcare facilities (licensed by KDHE) require a jointly scheduled inspection with OFPM and KSFM designee.
- 7.4 It is the responsibility of the agency and/or the project architect/engineer to verify the contractor is contacting OFPM and KSFM (as required in 6.2) to schedule inspections for OFPM's determination of occupancy. ([K.S.A. 75-3783](#))
- 7.5 OFPM performs required code inspections during construction for the Secretary of Administration and on behalf of the KSFM for all other occupancies not listed in 6.2. These inspections are required for Certificate of Occupancy DCC Form 150. ([K.S.A. 75-1262](#) and [K.S.A. 76-757](#))
- 7.6 OFPM inspector shall be scheduled for the following required code inspections (if component is included in the project):
- 7.6.1 Footings and Foundations
  - 7.6.2 Underfloor / Underslab
  - 7.6.3 MEP Underground (not associated with underfloor / underslab)
  - 7.6.4 Framing
  - 7.6.5 In-wall
  - 7.6.6 Fire-resistive assemblies and fire-resistant penetrations
  - 7.6.7 Above ceiling
  - 7.6.8 Fire Alarm
  - 7.6.9 Sprinkler and standpipe
  - 7.6.10 Emergency lighting
  - 7.6.11 Back-up Power Sources
  - 7.6.12 Fire Pump
  - 7.6.13 Elevator (witness the load testing and verify ADAAG)
  - 7.6.14 Roof inspections, including tear-off, insulation, membrane placement, flashing
  - 7.6.15 Emergency Power
  - 7.6.16 Smoke Control Systems
  - 7.6.17 Pressure testing of Piping
  - 7.6.18 Locking systems
  - 7.6.19 Final inspections (including exit path and ADAAG verification.)

(Reference Occupancy Checklist DCC Form 145 for descriptions.)

- 7.7 A code inspection will not be provided if the construction project does not have an OFPM Project Number. A code inspection cannot be scheduled until the construction documents have been reviewed and accepted by OFPM. A Code Inspection cannot be scheduled for a sprinkler system or fire alarm system until the sprinkler and/or fire alarm shop drawings have been reviewed and accepted by OFPM.
- 7.8 The required code inspections listed above shall be coordinated with OFPM inspector via individual cell telephones. Telephone contact is to be a minimum of 3 working days prior to anticipated inspection. OFPM inspectors do not have continual access to e-mail and therefore, e-mail contact does not constitute timely contact. Inspection confirmation may occur via e-mail.
- 7.9 If the OFPM inspector has available time within his work schedule, the inspection may not be subject to the minimum 3 working days.
- 7.10 It shall be the responsibility of the project architect/engineer or agency to assure the minimum 3 working day notice is being maintained.
- 7.11 OFPM inspectors can defer code inspections as follows:
- 7.11.1 OFPM inspector to review installation and set standard by which installation will be inspected. First inspection of a component is to be completed by OFPM inspector.
  - 7.11.2 Agency, Contractor or Project architect/engineer is to contact OFPM inspector for all required code inspections.
  - 7.11.3 Inspector will indicate availability to make an inspection. Inspector will determine if he, another OFPM employee, project architect/engineer or agency can perform inspection. Inspector will inform Contractor and agency representative regarding who will be performing inspection
  - 7.11.4 If agency or project architect/engineer personnel perform inspection, the installation will be documented with pictures. Personnel performing inspection shall forward pictures to OFPM Senior Architect – Construction and Compliance along with a completed Deferred Inspection Record DCC Form 140.
  - 7.11.5 OFPM inspector (or other OFPM personnel) will not defer and shall be present at the following code required inspections: fire alarm system, sprinkler system, fire pump, standpipes, back-up power sources, emergency lighting, ADAAG and Final Inspection.
- 7.12 OFPM inspector will complete an Inspection Record DCC 135 Form for each inspection. A copy of this form will be e-mailed to the Agency. It is the responsibility of the Agency to forward to the project architect/engineer and Contractor.
- 7.13 A Certificate of Occupancy DCC Form 150 will be issued by OFPM or designee when OFPM personnel and KSFM (as required in 6.2) have determined life safety systems and accessibility are compliant and as follows:
- 7.13.1 Occupying a portion of a project:
    - 7.13.1.1 Floor plan is submitted by project architect/engineer to Senior Architect – Construction and Compliance indicating area(s) to be occupied, the exiting (permanent or temporary from occupied areas), and indication of separation of

occupied areas from construction areas. The rooms are to be identified by room numbers or by floor or area.

7.13.1.2 If the project utilizes state construction contracts, the Certificate Substantial Completion DCC Form 570 will need to be issued and signed by the Contractor. If the project does not utilize state contracts, the Contractor shall agree in writing to complete and correct all work for the project in accordance with contract documents within a time specified after the date of such occupancy.

7.13.2 Occupying a project that is substantially complete (Contractor has a list of items to complete):

7.13.2.1 If the project utilizes state construction contracts, the Certificate Substantial Completion DCC Form 570 (reference Chapter 16) will need to be issued and signed by the Contractor. If the project does not utilize state contracts, the Contractor shall agree in writing to complete and correct all work for the project in accordance with contract documents within a time specified after the date of such occupancy.

7.13.3 Occupying a project that is satisfactorily complete (Contractor has completed all contract document items):

7.13.3.1 The project architect/engineer and Agency recommends by e-mail to the Senior Architect – Construction and Compliance the project is satisfactorily complete and the AE routes the Certificate of Project Completion DCC form 575 (reference Chapter 16).

### 8.0 Graphic Standards for Code Footprints

8.1 The project architect/engineer shall use the graphic standard legend provided by OFPM at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).

8.2 The graphic standard legend contains symbols for the most common items shown on the code footprint.

8.3 If additional graphic symbols are needed to adequately present the building conditions on the code footprint, the project architect/engineer may add symbols to this list. Any additions must be shown on the symbol legend on the code footprint and the protective elements adequately described.

### END OF CHAPTER 7

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## CHAPTER 8 - LARGE CAPITAL IMPROVEMENT PROJECT REQUIREMENTS

### 1.0 General Information

- 1.1 This section is applicable to architectural and engineering construction projects whose total project costs exceed the statutory limits of \$750,000 for architectural construction and \$500,000 for engineering construction. ([K.S.A. 75-1253](#))

### 2.0 OFPM Compliance and Construction Section

- 2.1 Each project architect/engineer in fulfilling their contractual obligations to the Secretary of Administration shall coordinate with a OFPM architect/engineer.
- 2.2 The state agency will notify the project architect/engineer about the level of services provided by OFPM for each project. It is up to the state agency to verify that the project architect/engineer is notifying OFPM properly for inspections, meetings etc.
  - 2.2.1 On full-service projects, the OFPM architect/engineer shall be part of the project team and shall coordinate, expedite and facilitate the orderly progress of the project through design, documents, bidding, construction and project closeout.
  - 2.2.2 On limited-service projects, the agency project manager shall coordinate, expedite and facilitate the orderly progress of the project through design, documents, bidding, and construction administration.
  - 2.2.3 On negotiated projects, the agency and OFPM will negotiate the role of the OFPM architect/engineer.
  - 2.2.4 OFPM inspector is part of all projects. On code only and limited service projects, they are contacted for code, accessibility and life safety inspections. On full service projects, the OFPM inspector reviews all construction work.
- 2.3 The OFPM architect/engineer shall be notified of all proposed program changes on all large projects and shall convene the negotiating committee regarding any change in program or scope of work.

### 3.0 Project Team

- 3.1 Members of the project team shall be identified by the agency prior to the project kick-off meeting.
- 3.2 A list of the project team shall be included in the kick-off meeting minutes and all members shall be copied on all project correspondence.
- 3.3 The project team shall be kept informed of the progress of the work and shall be invited to all project meetings. All project team members shall share the responsibility for maintaining effective communications.

### 4.0 Critical Project Requirements

- 4.1 The Request for Review DCC Form 120 available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) is required with each design, code compliance and document review submittal.
- 4.2 The "Is a Code Footprint Required?" DCC Form 105 available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) should be completed and submitted to OFPM by the project architect/engineer at the beginning of each project.

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- 4.3 ADAAG Path of Travel Requirements DCC Form 115 available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) will be completed for each renovation and/or addition.

### 5.0 Meeting Minutes

- 5.1 The project architect/engineer shall be responsible for minutes of each project meeting throughout all phases of a project and shall promptly forward typed copies of the minutes to the project team for review and approval.
- 5.2 The project architect/engineer may delegate the taking of minutes to the contractor during the construction phase of the project with approval of the project team. Such delegation shall not relieve the project architect/engineer from ensuring the minutes provide a complete and accurate account of all meetings.

### 6.0 Review Meetings and Submittal Requirements

- 6.1 Purpose of the review meetings is to enhance the understanding, development and explanation of the project to the project team and eventually the bidders and constructors.
- 6.2 Review meetings shall be held a minimum of two weeks following receipt of the review documents. Circumstances may be such that review time will need to be full.
- 6.2.1 On full-service projects for each scheduled review meeting, the project architect/engineer shall submit the number of review documents agreed to in the fee negotiations on **bond** not vellum.
- 6.2.1.1 OFPM will be given one (1) set, the state agency one set and the user agency the remaining number of sets.
- 6.2.2 On limited service or negotiated service projects, the firm should submit the number of review documents negotiated in their contract. One set of the design development and final review documents shall be forwarded to OFPM.
- 6.2.3 All costs for review sets (including re-submittals) and any miscellaneous printing such as check prints during the preparation of design and documents shall be the responsibility of the project architect or project engineer.
- 6.3 The project architect/engineer shall make any revisions deemed necessary by the state agency and OFPM. Copies shall be resubmitted in the manner previously prescribed until the agency and OFPM are satisfied the submittal has been completed with respect to the negotiated scope of work.
- 6.4 The project architect/engineer shall proceed with the next phase of the project when directed to do so by the agency and OFPM.

### 7.0 Compensation for Architectural/Engineering Services

- 7.1 Firms will be compensated monthly in proportion to the percentage of work completed within each phase of services described below, except the bidding and close-out phases, which will be payable in lump sum.
- 7.2 If desired, firms may choose the payment schedule outlined below.

- 7.2.1 **Schematic Design** - 15% of the total fee will be payable upon approval of the concept development and schematic design phases. If these two phases are separated, then a fee of 7½% is payable upon approval of the concept development phase and 7½% will be payable upon approval of the schematic phase.
- 7.2.2 **Design Development** - 20% of the total fee will be payable upon approval of the design development portion of the preliminary design phase.
- 7.2.3 **Construction Documents** – 40% of the total fee will be payable upon approval of the construction documents, unless there is more than one review of documents. The total fee payable should be divided equally amongst the number of reviews
- 7.2.4 **Bidding** – 2½% of the total fee will be payable after the bids are opened.
- 7.2.5 **Construction Administration** – 20% of the total fee will be payable based upon the percentage of completion approved on the construction contractors monthly pay applications.
- 7.2.6 **Closeout** – 2½% of the total fee will be payable to the project architect upon completion of the project and receipt and approval of the Record Documents.
- 7.3 Partial payments for Bidding and Close-out phases may be requested if there are:
  - 7.3.1 Unusual delays during the bidding period, not directly caused by the project architect/engineer.
  - 7.3.2 Unusual delays by the contractor in completing the punch list items or in providing the marked-up record documents to the A/E.
- 7.4 When requesting payment, the project architect/engineer should submit an invoice with the information noted in the Sample architect/engineer invoice available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
  - 7.4.1 On full-service, limited-service or negotiated large projects, the firm should first submit their invoice to the OFPM architect/engineer.
  - 7.4.2 When the firm's final invoice is submitted to OFPM, the OFPM architect/engineer will confirm that the contractor's final paperwork has been processed and the firm's record documents are received and approved.

### END OF CHAPTER 8

## CHAPTER 9 - SMALL CAPITAL IMPROVEMENT PROJECT REQUIREMENTS

### 1.0 General Information

- 1.1 The purpose of small capital improvement projects is to provide state agencies with a means of assigning projects of smaller scope and budgets without advertising for each project. By statute each small architectural project's construction cost cannot exceed \$750,000 and each small engineering project's construction cost cannot exceed \$500,000. ([K.S.A. 75-1253](#))
- 1.2 A capital improvement project shall not be arbitrarily subdivided to create small projects that allows the use of an on-call contract or subdivided to specifically allow the concurrent multiple uses of an on-call contract.
- 1.3 Architectural and/or engineering services on small projects can be provided by an agency project architect, agency project engineer, an OFPM design project architect, an OFPM design project engineer, or an on-call project architect or on-call project engineer.
- 1.4 Advertisements for on-call contracts shall identify the specific professional services required for the contract. Selection of a design professional will be based on the specific services advertised. No additional or supplemental services, except as identified in subparagraph 2.1.1 below, will be allowed to be added to the contract at the time project services are provided. Reference subparagraph 2.1.2.1 below.

### 2.0 On-Call Contract Guidelines

- 2.1 Architectural and/or engineering service on-call contracts may be written for architects, engineers, and landscape architects that are governed by the Kansas Board of Technical Professions.
  - 2.1.1 Architectural and mechanical, electrical, plumbing (MEP) engineering on-call contracts can provide supplemental services required for the project within the limitations below.
  - 2.1.2 Landscape architects, structural, civil, fire protection, and similar engineer on-call contracts can provide only services of their specific discipline.
    - 2.1.2.1 Those projects that require multiple disciplines must use an architect or an MEP engineer on-call contract.
- 2.2 Non-architectural and/or non-engineering service on-call contracts **may** be written for interior designers, restoration designers, mapping consultants, environmental designers, and others not governed by the Kansas Board of Technical Professions.
  - 2.2.1 The on-call contract will be written for the non-architectural and/or non-engineering services advertised. No architectural and/or engineering services may be provided by an architect or engineer member of the firm under this contract and no consultants may be added to the contract.
- 2.3 On-call architectural design services
  - 2.3.1 An on-call contract shall be written only to an architectural firm as the prime contractor, either to provide stand-alone architectural services or with consultants to provide integrated architectural and engineering services.
  - 2.3.2 Only an architectural on-call contract shall be used for a project comprised of 50% or more of architectural services, regardless of the construction cost up to the \$750,000 construction cost limit.

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- 2.3.3 An architectural on-call contract may be used for a project comprised of 50% or more of engineering services with an engineering consultant, and under the \$500,000 construction cost limit.
  - 2.3.3.1 An architectural on-call contract may not be used for engineering-only services or to circumvent the use of an on-call engineer contracted by an agency.
- 2.4 On-call engineering design services
  - 2.4.1 An on-call contract shall be written to an engineering firm as the prime contractor to provide stand-alone engineering services.
  - 2.4.2 Projects comprised of engineering design services may not increase the construction cost limit above \$500,000 by adding an architectural firm as a consultant.
  - 2.4.3 An MEP engineering on-call contract may add an architectural or non-MEP engineering consultant(s) to provide minor architectural or non-MEP engineering design services.
  - 2.4.4 A civil engineering on-call contract may add an architectural consultant to provide minor architectural design services.
  - 2.4.5 All non-MEP engineering on-call contracts are limited to their discipline design category.
  - 2.4.6 Architectural design services small or prohibited by the Kansas Board of Technical Professions to be performed by engineers will not be performed using a stand-alone engineer on-call contract.
- 2.5 Statewide on-call contracts are available by request through OFPM for use by agencies that have infrequent need for such services.
- 2.6 Reference Chapter 4 for the selection process for on-call contracts.
  - 2.6.1 Project Number/Data Request DCC Form 935 shall be used to request an amendment to an on-call contract for a specific project.
- 2.7 Non-compliant use of an on-call contract may result in a project delay, to include making corrections or not receiving approval to release the project for bidding.
  - 2.7.1 Firms shall not accept work immediately prior to the expiration date of their 3-year contract without demonstrating to OFPM that substantial progress can be made.
  - 2.7.2 Firms shall not accept partial work on a project that's total construction estimate is greater than on-call contract limits, i.e. \$750,000 for architectural projects, \$500,000 for engineering projects.
- 2.8 On-call contracts will not be written for ancillary technical services such as surveying, geo-technical services, and various testing services incidental to the project design services. OFPM maintains a pool of firms selected to provide ancillary technical services. Reference Chapter 6.
- 3.0 Critical Project Requirements
  - 3.1 The Request for Review DCC Form 120 available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) is required with each design, code compliance and document review submittal.

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- 3.2 The “Is a Code Footprint Required?” DCC Form 105 available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) shall be completed and submitted to OFPM by the project architect/engineer during the design phase of each project.
- 3.3 ADAAG Path of Travel Requirements DCC Form 115 available [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) will be completed and submitted to OFPM during the design phase for each renovation and/or addition.
- 4.0 Meeting Minutes
  - 4.1 The project architect/engineer shall take minutes of each project meeting throughout all phases of a project and promptly forward typed copies of the minutes to the project team.
- 5.0 Submittal and Re-Submittal Costs and Requirements
  - 5.1 All costs for review sets, including re-submittals, shall be the responsibility of the project architect/engineer and shall be paid by the project architect/engineer out of the negotiated fee.
  - 5.2 The project architect/engineer shall make any revisions and re-submittals deemed necessary by the project team within the negotiated scope of work.
  - 5.3 Review submittals shall be forwarded to OFPM per Chapter 7.
- 6.0 Compensation for Architectural/Engineering Services
  - 6.1 The on-call project architect/engineer shall submit all invoices to the agency with whom the firm is contracted.
  - 6.2 OFPM will submit an invoice to each agency for services completed by the OFPM design section.

**END OF CHAPTER 9**

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## CHAPTER 10 – FACILITY CONSERVATION IMPROVEMENT PROGRAM (FCIP)

### 1.0 Program Definition

- 1.1 Renovation projects for state facilities under the [Facility Conservation Improvement Program \(FCIP\)](#) are subject to building code and accessibility reviews for compliance by OFPM. Effective dates of building codes are available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).

### 2.0 Building Code Compliance

- 2.1 The nature of the each renovation shall be discussed with OFPM, and a determination of requirements will be made by OFPM in consultation with KSFM. OFPM works in conjunction with the KSFM regarding the Kansas Fire Prevention Code. Questions and requests for code interpretations should be given to OFPM in written format, and all responses will be returned in written format.
- 2.2 Code footprints shall be required for all building alterations and modifications that effect life safety systems and egress. When a scope of work in graphic and written form is required, the requirement for a code footprint will be determined and shall be sent to OFPM for review for compliance with the Kansas Fire Prevention Code.
- 2.3 Required code footprints can be submitted at any design phase, and a final code footprint shall be submitted at 100% construction document phase. Prior to commencement of construction a Project Acceptance Record shall be issued by OFPM.
- 2.4 Code footprints and the procedure for submitting code footprints shall conform to the requirements in Chapter 7.

### 3.0 Accessibility Compliance

- 3.1 All state-owned buildings are subject to federal law Title II of the American with Disabilities Act (ADA) and to Kansas statute [K.S.A. 58-1304](#), which mirrors Title II of the ADA. Any questions the project architect/engineer has regarding accessibility compliance should be addressed to OFPM code compliance officer.

**END OF CHAPTER 10**

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## CHAPTER 11 - OFPM SERVICES and FEES

### 1.0 General Information ([K.S.A. 75-1269](#))

- 1.1 The Construction and Compliance section provides three levels of service to state agencies for all capital improvement projects. These services include full, limited and code services. Services from the full service list can be negotiated and added to limited services. Any other requested services can be negotiated from the list provided in Section 4.0.
- 1.2 The design section provides a variety of architectural and/or engineering services for restricted capital improvement projects.

### 2.0 OFPM Services for Capital Improvement Projects:

<b>OFPM Services Provided</b>	<b>Full</b>	<b>Limited</b>	<b>Code (Only)</b>
Assist State Building Advisory Commission	X	X	
Coordinate Negotiating Committee	X	X	
Retrieve existing documents from OFPM archives	X	X	X
Familiarize with project by visiting construction site or existing facility	X		
Attend initial meeting with project team	X		
Select ancillary firms and coordinate ancillary service contracts if requested by the agency	X	X	
Coordinate and facilitate the orderly progress of the project during design, construction documents.	X		
Review Concept Design documents	X		
Review Schematic Design documents	X		
Attend Schematic review meeting	X		
Review Design Development documents	X		
Attend Design Development review meeting	X		
Review code analysis and/or code footprint for code compliance (agency or project architect/engineer may request one meeting)	X	X	X
Verify project A/E had indicated energy regulation compliance per K.A.R. 1-67-2 and 1-67-3.	X	X	X
Review 50% Construction Documents (clarity & constructability review)	X		
Attend 50% Construction Documents review meeting	X		
Review final construction documents (clarity & constructability review)	X		
Attend Final construction document review meeting	X		
Review and accept Code Footprint per Chapter 7(2 reviews allowed for base fee. Agency or project architect/engineer may request one meeting )	X	X	X
Provide accessibility review	X	X	X
Review final "bid ready" or "permit to build" final construction documents for code compliance, energy compliance and accessibility compliance	X	X	X
Coordinate bidding phase (includes preparing general conditions, preparing bid form, setting bid date, posting to on-line plan room and shipping plans)	X	X	
Attend pre-bid conference	X		
Review and Coordinate the distribution of addenda	X	X	
Attend bid opening	X		

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OFPM Services Provided	Full	Limited	Code (Only)
Prepare advice of award on behalf of the agency and send to Procurement and Contracts	X	X	
Issue notice to proceed	X	X	
Attend preconstruction meeting	X		
Facilitate orderly progress of project during construction and project closeout.	X		
Review A/E approved shop drawings for sprinklers, fire alarms and elevators	X	X	X
Observe construction /provide documentation based upon size and complexity of project	X		
Attend construction progress meetings periodically	X		
Process change orders, partial and final construction payments	X	X	
Perform building code and accessibility inspections per Chapter 7	X	X	X
Assist in resolving project issues	X		
Review and resolution by OFPM of contract conflicts	X		
Review change order proposals	X		
Issue the Certificate of Occupancy per Chapter 7	X	X	X
Attend final punch list walk-through	X		
Receive record documents for archives	X	X	X
Review record documents	X		
Approve Final Completion Documentation	X	X	
Attend warranty inspection	X		
Archive project documents	X	X	X

2.1 Fees for the planning section's full, limited and code services for all projects are calculated by multiplying the construction contract amount by the multiplier from each of the four categories listed below (minimum fee is \$250).

2.1.1 Cost (of construction):

2.1.1.1	Under \$750,000	= 2.50
2.1.1.2	\$750,000 to \$2,499,999	= 1.75
2.1.1.3	\$2,500,000 to \$7,499,999	= 1.50
2.1.1.4	\$7,500,000 to \$14,499,999	= 1.25
2.1.1.5	\$15,000,000 and over	= 1.00

2.1.2 Complexity (of project):

2.1.2.1	Utilitarian	= 1.0
2.1.2.2	Conventional	= 1.1
2.1.2.3	Moderately Complex	= 1.2
2.1.2.4	Comparatively Complex	= 1.3
2.1.2.5	Complex	= 1.4

2.1.3 Type (of project):

2.1.3.1	New	= 1.0
2.1.3.2	Combination	= 1.2
2.1.3.3	Remodel	= 1.4

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New classification includes re-roofing, sitework (parking, sidewalks, etc.), window and door replacement, abatement, masonry cleaning, equipment replacement, and similar repair and maintenance projects. Combination classification includes projects that are comprised of more than ten percent (10%) of either New or Remodel work.

- 2.1.4 Level (of service):
  - 2.1.4.1 Full = 1.0
  - 2.1.4.2 Limited = 0.6
  - 2.1.4.3 Code = 0.3
- 2.1.5 If a project requires an alternate means and methods review, multiple construction document review and bid packages, phased occupancy or re-inspection of code and life safety items, the complexity fee shall be increased by a multiplication factor of 0.1. If any of these items is utilized after OFPM's initial billing, an invoice for the difference will be processed at the time the item is initiated.
- 2.1.6 Formula: Construction cost (contract amount) X Cost multiplier X Complexity multiplier X Type multiplier X Level multiplier / 100 = Design & Construction Fee
- 2.1.7 Change Orders: Additional OFPM fees for construction change orders are calculated by multiplying the project multipliers used from above and the amount of the change order. (Minimum charge is \$25.00).
- 2.1.8 If review by OFPM is required for contract conflicts, the project level of service will be reassessed at the full service level if the project was originally a limited services project.

### 3.0 Design Services for Small Capital Improvement Projects

- 3.1 All requests for services must be made in writing and include a scope of work, project budget and construction schedule.
  - 3.1.1 Each project for design services will be required to have a OFPM project number assigned using DCC Form 935.
- 3.2 Services for restricted capital improvement projects include complete design and construction services including warranty inspections. The Limited Services identified in paragraph 2.0 above, are in addition to the Design Services.
- 3.3 Fees for design services are negotiated on a project specific basis, using estimated time based upon time expenditures in the following areas of work.
  - 3.3.1 Initial investigation and administrative time (fee negotiations, archive search, scope review, etc)
  - 3.3.2 Plans and Specifications.
  - 3.3.3 Design Travel.
  - 3.3.4 Design Site.
  - 3.3.5 Construction Administration Office.
  - 3.3.6 Construction Administration Travel.
  - 3.3.7 Construction Administration Site
  - 3.3.8 Warranty Inspections
- 3.4 Costs for travel expenses and miscellaneous direct costs expenses will be estimated and included in the total fee amount for design services
- 3.5 Fees for such services noted above are can be calculated hourly, by lump sum or a percentage of the construction costs.

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- 3.6 Design fees will be proposed via a letter from the design staff to the agency verifying the scope of work, a tentative project schedule along with the proposed fee.
- 3.7 When an agreement is reached on proposed fees, both the state agency and the design section representative will sign the proposal.
- 3.8 If, while working on a project, a service is needed on that project that the design section is not able to provide, OFPM will negotiate with a firm on-call to provide that service and will pass that fee along to the agency along with the design section's fee.

### 4.0 Additional Services

- 4.1 Additional services are available from either the planning or design sections. These services include but are not limited to:

Programming	Building code evaluation	Energy conservation
Like-facilities inspection	ADAAG evaluation	Data rooms
Facility evaluations	Procurement assistance	Back-up power
Cost estimates	Regulatory reviews	Life-safety systems
Project justification	Building environmental evaluation	Security Systems
Troubleshooting	Project management	Travel

- 4.2 To request these services from OFPM, complete and submit an Additional Services Request Form DCC Form 905 found at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).

- 4.3 Fees for such services noted above are negotiated on an individual project basis, calculated using one of the methods listed below:

- 4.3.1 Lump sum
- 4.3.2 Hourly
- 4.3.3 Percentage of actual construction costs.

### 5.0 OFPM Hourly Rates

<u>Position</u>	<u>FY12</u>	<u>FY12 Adjusted</u>	<u>FY13</u>
Licensed Professionals			
Architects	\$105	\$80	\$80
Engineers	\$120	\$90	\$90
Unlicensed Professionals			
Architectural Designers	\$85	\$50	\$50
Engineering Designers	\$85	\$60	\$60
Inspectors	\$70	\$50	\$50
Support Staff	\$50	\$38	\$38

### 6.0 Payment of Fees

- 6.1 For projects bidding through OFPM

- 6.1.1 Projects < \$5,000,000 will be billed the total amount of service fee after the project bids.

- 6.1.2 Projects > \$5,000,000 may be billed as follows or for the total amount:

- 6.1.2.1 The first half of a service fee billed after the project bids.
- 6.1.2.2 The second half of a service fee billed mid-way through scheduled construction.
- 6.2 For projects not bid through OFPM
  - 6.2.1 Agency will be billed at the time of Permit to Build issuance on the Project Acceptance form. The fee calculations will be based on the construction cost provided on the Request for Review form. If a construction cost is not provided on the Request for Review form, the fee calculation will be based on the construction cost provided on the Project Number/Data form.
  - 6.2.2 If a project receives a review / acceptance of code footprint and does not submit for a permit to build within 90 days of the code footprint acceptance, the agency will be billed for a code footprint review at an hourly rate but not less than \$750. When a permit to build is issued, the original billing will be applied to the calculated fee.
- 6.3 Change order fees will be billed the month following execution of the change order.
- 6.4 If a project is cancelled before the bid phase, the agency will be billed in proportion to the amount of work completed by the project architect/engineer.
- 6.5 If a project is cancelled after the bid phase, 80% of the full OFPM fee will be billed to the agency.

### END OF CHAPTER 11

## CHAPTER 12 – DESIGN

### 1.0 General Information

- 1.1. The policies and procedures contained in this section are appropriate for most Capital Improvement Projects designed by a project architect/engineer. Not every item will apply to every capital improvement project and should be negotiated with the negotiating committee on large projects and with the agency on small projects.
- 1.2. When the project architect's or project engineer's construction estimate exceeds the agency's programmed construction budget, approved at the initial fee negotiation, it is the responsibility of the agency to assist the firm in identifying options and means (including a decrease in scope, material selection, and/or alternates, etc.) to bring the firm's estimate within the programmed budget.
- 1.3. The agency will inform the project architect/engineer which level of service OFPM is providing per Chapter 11. This will determine the amount of participation for the OFPM architect/engineer and OFPM inspectors.

### 2.0 Concept Design

- 2.1. The project architect/engineer shall involve all necessary consultants and develop at least three alternative solutions to the design of the capital improvement project. The alternative solutions shall (when applicable) be within the structure of the agency's program and shall address but not be limited to:
  - 2.1.1. Approach to code compliance for life safety issues, per Chapter 7.
  - 2.1.2. Accessibility compliance, per Chapter 7.
  - 2.1.3. Site limitations, including utilities.
  - 2.1.4. Building location on site.
  - 2.1.5. Vehicular and pedestrian circulation.
  - 2.1.6. Number of floors.
  - 2.1.7. Arrangement of programmed spaces
  - 2.1.8. Itemized inventory of programmed space, indicating surplus or deficiency.
- 2.2. Concept design submittal shall include the items listed below and shall follow the submittal and review procedures listed in Section 4.0 of Chapter 13.
  - 2.2.1. Compliance with applicable codes, standards and laws, per Chapter 7.
  - 2.2.2. Site plans, including site utility locations, which may be sketched.
  - 2.2.3. Floor plans, which may be sketched but must include all programmed spaces.
  - 2.2.4. Elevations, which may be sketched and need not show all sides of the building.
  - 2.2.5. Written description of proposed utilities, electrical, mechanical and HVAC systems, principal components and special functional requirements.

2.2.5.1. Information indicating how Energy Code Compliance will be met. Reference Section 5.0 in this chapter.

2.2.6. Concepts and studies of systems required by the program or fee negotiations.

2.2.7. Cost estimate of each alternative approach.

2.2.8. LEED Plan, if applicable.

2.2.9. Special considerations.

### 3.0 Schematic Design

3.1. One concept will be selected to proceed with schematic design.

3.2. The schematic design submittal shall include the items listed below and shall follow the submittal and review procedures listed in Section 4.0 of Chapter 13.

3.2.1. Code footprint per Chapter 7 and compliance with all other applicable codes, standards and laws, including accessibility.

3.2.2. Site plan showing the location of the building on the site, illustrating the practical use of the natural topography and indicating existing utility locations, service routes, drives, parking, pedestrian traffic ways and expansion possibilities if required by the program.

3.2.3. Floor plans showing room arrangement, designation, size and changes in floor elevation.

3.2.4. Elevation sketches of the exterior indicating the general architectural character of the building.

3.2.5. As a minimum, single-line drawings showing mechanical, electrical and plumbing equipment locations, preliminary ductwork and proposed piping runs, routing of major utilities, i.e. sewer and water, and all other engineering elements required for coordination.

3.2.6. Compliance with applicable federal regulations due to a federal agency's involvement in the project.

3.2.7. Written statement giving the total gross area of the building and estimate of construction costs.

3.2.8. Special considerations

### 4.0 Design Development

4.1. The design development submittal shall include the items listed below and shall follow the submittal and review procedures listed in Section 4.0 of Chapter 13. This submittal should demonstrate a complete understanding of the design requirements to the Owner and should identify items of particular interest to the Owner.

4.1.1. The Construction Document Checklist DCC Form 123 available at "Forms & Documents" at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) is to be used throughout the entire design and construction document phases of the project. It is intended to guide the design team to provide a complete set of construction documents.

- 4.1.2. Code footprint per Chapter 7 and compliance with all other applicable codes, standards and laws, including accessibility.
- 4.1.3. Energy Code Compliance. Reference Chapter 7 Section 4.0 for submittal and review procedures.
- 4.1.4. Site plan showing the location of the building on the site, illustrating the practical use of the natural topography, expansion possibilities if required by the program, utility locations and potential connections, and vehicle and pedestrian circulation including but not limited to streets, service drives, parking and sidewalks.
- 4.1.5. Knowledge and indication of problems of rock excavation or controlled backfill.
- 4.1.6. Floor plans showing room arrangement, overall dimensions of the building(s) and spaces room arrangement, door swings, casework, special equipment and features, furniture arrangement, designation, size and fixed equipment layout.
- 4.1.7. Elevations showing all exterior wall surfaces.
- 4.1.8. Building sections including longitudinal and transverse sections showing major structural components.
- 4.1.9. Wall sections showing typical and special wall construction.
- 4.1.10. Special interior wall sections
- 4.1.11. Preliminary finish schedule.
- 4.1.12. Structural concept showing the location, type and tentative size of structural members.
- 4.1.13. Mechanical plans showing mechanical room layouts, locations of major equipment and preliminary two-line ductwork layouts. Mechanical room layouts must accommodate more than one manufacturer. Provide graphical indication of code required maintenance/access spaces.
- 4.1.14. Update the written description provided with the concept design to reflect any changes in the systems/equipment or approach to the design, including energy code compliance.
- 4.1.15. Provide a written description of the HVAC control systems with a general outline of function and sequence of operation.
- 4.1.16. Plumbing concept showing pipe chases and roof drainage system. Plumbing designs for laboratories or other special facilities, materials, and designs requiring pumping shall also be included.
- 4.1.17. Electrical concept showing the power source, service to the building, panel locations, types of fixtures, and the foot candle levels. Also included shall be primary and secondary voltages to be used and design criteria for unusual or special electrical requirements. Provide graphical indication of code required maintenance/access spaces.
- 4.1.18. Fire Alarm concept showing panel location(s) and a description of the system. Project architect/engineer will review minimum design requirements to be shown on construction documents.
- 4.1.19. Fire Suppression concept showing the service entry including back flow preventor, the main drain/inspector test station and a description of the system. Project

architect/engineer will review minimum design requirements to be indicated shown on construction documents.

- 4.1.20. Specifications outline shall include a brief yet concise description of all building systems including methods, materials and finishes. All building components shall be outlined in sufficient detail to afford judgment discussions concerning quality and performance. Include material cut sheets as required to convey a complete understanding of the materials used.
- 4.1.21. Compliance with applicable federal regulations due to a federal agency's involvement in the project.
- 4.1.22. Updated written statement giving the total gross area of the building and an estimate of all construction costs.
- 4.1.23. Rendering when negotiated as part of the firm's contract.

### 5.0 End of Design

- 5.1. Upon the approval of the design development submittal, a design freeze will occur. Significant changes necessary during subsequent phases will be resubmitted for approval.

**END OF CHAPTER 12**

## CHAPTER 13 - CONSTRUCTION DOCUMENTS

### 1.0 General Information and Formatting

- 1.1. Policies and procedures contained in this chapter apply to all capital improvement projects. Any deviation from any of the requirements in this chapter shall either be negotiated during the fee negotiation phase or requested and approved by OFPM prior to commencing with the work.
- 1.2. The project title shall be written in the following order: agency abbreviation, building name and a title of work. (Example: KDOT Horton Subarea Shop HVAC Upgrade.)
- 1.3. The Construction Document Checklist DCC Form 123, found under “Forms & Documents” at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/), will be used to provide a complete set of construction documents.
- 1.4. All drawings shall comply with the current United States National CAD Standard as published by the National Institute of Building Sciences, unless otherwise modified by the requirements in this manual. Additional information is available at <http://www.buildingsmartalliance.org/index.php/ncs>.
- 1.5. Technical specifications shall be project specific and edited from the current edition of a guide specification similar to Arcom’s MasterSpec or BSD’s SpecLink-E, using the CSI Master Format section, numbering and outline formats for the 49 Division, 6-digit section number format.

### 2.0 Drawing Formatting

- 2.1. Drawing space on each drawing sheet shall be used efficiently, limiting white or blank spaces.
- 2.2. The size of drawing sheets shall be 24" x 36".
  - 2.2.1 Drawing sheets larger or smaller than 24" x 36" shall be approved by OFPM prior to beginning the drawings.
- 2.3. Text fonts used on drawings should be “sans serif” for readability.
  - 2.3.1 For drawings 24" x 36" or larger, the minimum plotted text size for general notes not associated with a drawing shall be minimum 1/8". All scalable text (text not part of an AutoCAD symbol) on these drawings shall be a minimum of 3/32" plotted at full size.
  - 2.3.2 All text and line weights at full size shall be legible and readable at half size reduction. Lightweight fonts for dimensions are discouraged.
- 2.4. Each drawing sheet, including the cover sheet, will have a title block, as shown on the graphic sample provided at the end of the Construction Document Checklist DCC Form 123.
  - 2.4.1 The title block on the 24" x 36" sheet should be a minimum of 2" wide and contain the information indicated on the Graphic Sample.
  - 2.4.2 The lower 12-inch section of the title block is reserved for the state’s project information.
  - 2.4.3 The upper half of the title block shall contain all firm and consultant information, logos and seals. No firm information should be outside the title block.
- 2.5. All floor plans, including demolition, architectural, structural framing, mechanical and electrical plans shall be oriented the same direction, preferably oriented with a north arrow pointing to the top of the page, and shall have both a numeric scale and a graphic scale.

- 2.6. All building floor plans, i.e. architectural, reflected ceiling, roof, structural, mechanical, plumbing, electrical, lighting, fire suppression, shall be drawn to a scale of not less than one-eighth inch per foot. Floor plans of buildings less than 100 feet in length should be drawn at a scale of one-fourth inch per foot. Regardless of scale, all plans shall be the same scale, except site plans, enlarged plans and details.
- 2.7. Each plan, detail and drawing shown on the documents shall be drawn accurately, and have the appropriate title and scale indicated.
- 2.8. Each discipline shall provide a legend, using symbols and notations standard to the industry, indicating each symbol's meaning, and shall be located on the first sheet of each discipline's individual set of plans.

### 3.0 Technical Specification Formatting

- 3.1. *Technical specifications* shall match OFPM format. Formatting follows.
  - 3.1.1 Each page shall have a single column format with 0.75" margins on both the right and left sides (for conservation of paper).
  - 3.1.2 Each page shall have the OFPM project number, specification section number and a page number.
  - 3.1.3 Top and bottom margins shall be 1/2" maximum.
  - 3.1.4 Fonts shall be Arial or Helvetica fonts at 10pt.
- 3.2. Technical specifications prepared by the project architect/engineer shall be delivered on 8.5 x 11 sheets of white, 20 lb. bond.
  - 3.2.1 Specifications shall be double-sided. The beginning of each specification section shall begin on the right hand or odd page.
  - 3.2.2 Shall **not** be stapled or hole-punched.

### 4.0 Document Review Submittals and Procedures

- 4.1. Two in-progress reviews of the construction documents are required unless otherwise negotiated, one review at 50% document completion and one review at final document completion, when the documents are "bid-ready". The following items should be provided in all review documents:
  - 4.1.1 Request for Review Form DCC Form 120.
  - 4.1.2 Compliance with applicable codes, standards and laws listed in the firm's contract, and outlined in Chapter 7, including an updated code footprint.
  - 4.1.3 Coordinated structural, architectural, mechanical, plumbing, fire suppression/fire alarm and electrical drawings.
  - 4.1.4 Drawings shall be submitted on bond. Half size drawing sets are preferred if information is readable. Half size sets are required for 30" x 40" or larger original drawing sheets.
    - 4.1.4.1 Drawings e-mailed or posted on an FTP site will not be reviewed.
  - 4.1.5 Technical specifications submitted in .PDF format on a CD/DVD unless otherwise directed.

- 4.1.5.1 Technical specifications e-mailed or posted on an internet file transfer protocol (ftp) site will not be reviewed.
  - 4.1.6 Updated construction costs at each phase.
    - 4.1.6.1 When the project architect's or project engineer's construction estimate exceeds the agency's programmed construction budget, approved at the initial fee negotiation, it is the responsibility of the agency to assist the firm in identifying options and means (including a decrease in scope, material selection and/or alternates, etc) to bring the firm's estimate within the programmed budget.
  - 4.1.7 Updated project schedule.
- 5.0 50% Document Review Submittal
  - 5.1. Refinement of all design development requirements from Chapter 12.
  - 5.2. Submittal shall follow requirements listed in Section 4.0 of this chapter.
  - 5.3. Drawings shall include, but not be limited to, the following information:
    - 5.3.1 Details showing construction of walls, doors and other components that are related to building code and accessibility standards.
    - 5.3.2 Detail dimensions.
    - 5.3.3 Locate and detail all fire-rated devices, dampers, assemblies, partitions, structural protections, etc. to sufficiently explain fire-rating requirements and shall be shown coordinated throughout the drawings. Each fire-rated assembly shall be identified by its Underwriters Laboratory (UL) design number or shall be an approved assembly by the IBC.
    - 5.3.4 A structural plan for each level showing basic information as it relates to the structural components of the building.
    - 5.3.5 Exterior elevations showing finish and existing grades.
    - 5.3.6 Building sections, wall sections and critical details shall be identified.
    - 5.3.7 Refinement of proposed building systems including sprinkler and fire alarm systems.
    - 5.3.8 Preliminary finish schedule.
  - 5.4. Outline technical specifications and material cut sheets to adequately describe equipment, materials and special requirements, including data on major materials, building systems and fire-resistive assemblies. .
- 6.0 Final Document Review Submittal
  - 6.1. Submittal shall follow the requirements listed in Section 4.0.
  - 6.2. Coordinated structural, architectural, mechanical, electrical, plumbing, and fire suppression/fire alarm, "bid ready" drawings.

- 6.3. Coordinated “bid ready” technical specifications including Front End Data Form DCC 305.
- 6.4. The updated estimate of all construction costs is to include alternates if required to demonstrate the base bid is within the agency’s programmed budget.
  - 6.4.1 Alternates and unit prices shall be designated with whole numbers, without subsets. (Example: Alt. 1, Alt. 2, Alt. 3, etc.)
- 7.0 Bid Document Deliverables
  - 7.1. Reference the Bid Document Deliverable Checklist DCC Form 300 at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
  - 7.2. Deliverables shall be submitted both CD/DVD and on vellum or Mylar®.
    - 7.2.1 All deliverables shall be on one CD/DVD for use with the electronic plan room and archiving at OFPM.
  - 7.3. An approved code footprint, signed by all parties on file at OFPM.
  - 7.4. Final drawings on shall be vellum or Mylar®.
    - 7.4.1 Title blocks as described at the end of the Construction Document Checklist DCC Form 123, shall contain the appropriate discipline’s seal, signed and dated across the seal.
    - 7.4.2 Each drawing sheet shall be its own file in .PDF format at 300 dpi minimum resolution and include:
      - 7.4.3 Drawing file titles with a 3-digit numerical prefix (beginning with 001), the sheet number and a brief description of the sheet content. Drawing files are to be titled in the numerical order that the project architect/engineer intends the drawing set to be displayed.
      - 7.4.4 The following is an example of the titles for drawing files.
        - 001-1.0-Cover-Sheet
        - 002-C.1-Civil-Site-Plan
        - 003-A.1-Floor-Plan
        - 005-Etc.
      - 7.4.5 File titles shall not contain blank spaces or symbols. Hyphen or underscore shall be used to separate individual words in the titles.
      - 7.4.6 A professional seal with signature and date shall be readable at the intended size of the drawing.
        - 7.4.6.1 Electronic signatures are recognized by the Kansas State Board of Technical Professions. Specific regulations and standards are available at <http://www.kansas.gov/ksbtp/seals.html>.
    - 7.5. Technical specifications and all other information listed below shall be submitted on a CD/DVD in *.PDF format and white, 20 lb. bond paper*. This section has been rearranged.
      - 7.5.1 Each technical specification Division with applicable Sections shall be bundled as one (1) .PDF file per specification Division.
      - 7.5.2 Each specification file, and all other information files, titles shall include a 3-digit numerical prefix and title.

- 7.5.3 Each specification file created by the project architect/engineer shall be numbered in the order the project architect/engineer intends the information to be displayed. 001, 004, 005 are reserved for OFPM use.
- 7.5.4 The following is an example of the titles for specification files.
- 001-Cover (reserved for OFPM & not required in A/E electronic files)
  - 002-Professional-Seal(s) (if multiple pages, then number sequentially or save as one .PDF document)
  - 003-Table-of-Contents (project architect/engineer creates in .DOC/.DOCX, OFPM to complete and convert to .PDF)
  - 004-Frontend-Documents-A-I (reserved for OFPM & not required in A/E electronic files)
  - 005-Division-01-General-Requirement Project architect/engineer Division 01 sections shall be submitted in .PDF format and will supplement OFPM Division 01 section. OFPM will merge project architect/engineer's with the OFPM section. Reference Front End Data Form DCC 305 for information regarding project architect/engineer responsibilities.)
  - 006-Division-XX (Divisions & Sections as applicable to the project)
  - 007-Etc.
- 7.5.5 File titles shall not contain blank spaces or symbols. Hyphen or underscore shall be used to separate individual words in the titles.
- 7.5.6 A completed Specification Front-End Data DCC Form 305.
- 7.5.7 Alternates and Unit Prices shall be summarized by the project architect/engineer for use on Document C – Form of Bid. Descriptions for the alternates on the bid form shall match the descriptions provided by the project architect/engineer in Division 1.
- 7.5.7.1 When used, full descriptions of alternates, unit prices and allowances shall be included in the project architect/engineer's Division 1 section.
  - 7.5.7.2 Alternates and unit prices shall be designated with whole numbers, without subsets. (Example: Alt. 1, Alt. 2, Alt. 3, etc.)
- 7.5.8 When a project's funding source (i.e. federal funds) requires additional or non-standard procedures and/or forms beyond State of Kansas requirements, the agency shall identify and specify the procedures on a separate sheet attached to the Front End Data DCC Form 305. This information shall be provided to OFPM in both CD/DVD and paper formats for publishing.
- 7.5.9 Division 1 sections, edited and formatted as supplements to OFPM Documents A-I and OFPM Division 1, shall be submitted in .DOC/.DOCX format.
- 7.5.10 One 8.5 x 11 sheet (or separate pages) of white 20 lb. bond with the project title, OFPM project number, agency name and each professional's seal, signed and dated.
- 7.5.11 A completed Table of Contents prepared in .DOC/.DOCX format, using the OFPM template located at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/). The Table of Contents template shall not be reformatted by project architect/engineer.
- 7.5.11.1 OFPM documents A-I (already listed on the template).
  - 7.5.11.2 OFPM Division I General Requirements.
  - 7.5.11.3 Project architect/engineer Division 1 supplemental sections.
  - 7.5.11.4 Project architect/engineer technical specifications.
  - 7.5.11.5 Any specification Divisions not used shall be formatted as "DIVISION 6 & 7 NOT USED."

7.5.11.6 Page numbers formatted as shown on the template.

7.5.12 All technical reports, legal descriptions, documents, records and/or papers prepared by the design team for the project shall be:

7.5.12.1 Sealed, signed and dated unless otherwise approved by OFPM.

7.5.12.2 Added to the specifications as an attachment.

### 8.0 Delays in Issuing Bid Documents

8.1. Issuance of bid documents for Capital improvement projects are delayed when OFPM receives bid documents that are not "bid ready".

8.2. To aid the project architect/engineer in producing accurate bid documents please refer to the Bid Document Deliverable Checklist DCC Form 300 at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).

8.3. OFPM will notify each project architect/engineer that their bid documents are not "bid-ready". A list of incorrect items will not be given, but in general the following factors are the most common problems preventing release of the documents for bidding.

8.3.1 NOT using the latest Front End Data Form DCC 305.

8.3.2 NOT using proper font styles & formats, margin settings and headers/footers for Division one and technical specifications

8.3.3 NOT editing the Division 01 specifications.

8.3.4 NOT coordinating Division 01 specifications with OFPM's front end specifications.

8.3.5 OFPM project number missing from the drawing sheet(s).

8.3.6 Alternates not provided in whole numbers.

### 9.0 End of Construction Document Phase

9.1. When the agency and OFPM concur that the above requirements are met, the Construction Document Phase is complete.

**END OF CHAPTER 13**

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## CHAPTER 14 – BIDDING

### 1.0 General Information

- 1.1. When the requirements for Bid Documents in Chapter 13 are met, OFPM will prepare and combine specification Documents A through I, Section 01 0000, and the specification cover(s) with the technical specifications, table of contents, page(s) with each discipline's seal, and edited Division I sections provided by the project architect/engineer. Reference Chapter 13 for specification submittal procedures.
- 1.2. OFPM will set the bid date. The project architect/engineer will coordinate the date, time and location for the pre-bid, if required. The pre-bid conference will be at least 10 calendar days prior to the bid date.
- 1.3. The bid date will be advertised in the Kansas Register, at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) and on the on-line plan room at <http://kansasOFPM.contractorsplanroom.com/>.
- 1.4. Significant problems that arise less than ten (10) calendar days prior to the bid date shall be brought to the attention of the state agency and OFPM, and may result in the postponing of the bid date.
- 1.5. OFPM has contracted with Integrated Digital Technologies (IDT), an electronic plan room, for plan distribution on all restricted and unrestricted capital improvement projects, unless otherwise designated. The link to the on-line plan room can be found under "Job/Project List" at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) or by selecting the yellow On-Line Plan room button.
  - 1.5.1. Access to the IDT plan room site is free as long as registration is completed from the OFPM link or at <http://kansasOFPM.contractorsplanroom.com/>. Click on the tab "Register Now!" located on the left side of the screen. An accurate email address is required and a 7-step process will need to be completed by each new user.
  - 1.5.2. At their expense, interested bidders may download the documents to their computer, print them on their printers or plotters, or may order prints from a reprographer. There is a fee of \$7.50 from IDT to bundle and send to a reprographer (this occurs if you select the "Order" button on the IDT website). This is not the printing cost. The reprographer assesses the printing charges when the contractor orders the prints.
  - 1.5.3. Contractors, subcontractors and suppliers are responsible for understanding the scope of the work involved in these documents and for obtaining the appropriate documents for their work.
  - 1.5.4. Procedures for the OFPM plan room's distribution of paper bid documents that differ from the procedures detailed below are outlined at the end of this chapter.

### 2.0 Project Architect's/Engineer's Responsibilities

- 2.1. Submit an e-mail address as a single point of contact on the OFPM Front End Data DCC Form 305.
- 2.2. Correct and re-send files that cannot be uploaded due to format, errors or file naming.
- 2.3. Conduct a pre-bid conference when requested by the agency.
- 2.4. Prepare all addenda, except the first addendum, which is reserved for OFPM use.
- 2.5. Evaluation of all materials and equipment submitted as substitutions to those specified.

- 2.6. Prepare addenda regarding interpretations, clarifications, and approved substitutions.
  - 2.7. Substitutions may be requested following the process outlined in the specification manual.
    - 2.7.1. Approved substitutions will be made via addenda. The submitting firm will be notified directly, but the approval is not official until it appears in the addenda. .
    - 2.7.2. The project architect/engineer will notify the submitting firm of substitution requests that are not approved.
  - 2.8. If authorized by the agency, notify OFPM of the date, time and place of a pre-bid conference for the first addendum prepared by OFPM.
    - 2.8.1. If the agency wishes to make the pre-bid mandatory, they must express this to OFPM prior to the issuance of the first addendum.
    - 2.8.2. If a walk-through following a pre-bid conference is the only time the contractors will be allowed to view the project site, it must be stated clearly in the notification of the pre-bid
  - 2.9. The project architect/engineer shall chair the pre-bid conference, referencing the sample Pre-Bid Agenda DCC Form 320, available at [www.da.ks.govfp/](http://www.da.ks.govfp/).
    - 2.9.1. Consultants will be present at the pre-bid conference, present a description of work, answer questions, and participate in a walk-through of the project site, if necessitated by the project scope.
  - 2.10. Prepare an addendum with a list of attendees and all interpretations and corrections to the bid documents discussed at the meeting and/or during the on-site walk-through.
- 3.0 Office of Facilities and Property Management Responsibilities
- 3.1. Set the bid date and release the project to bid.
  - 3.2. Create the project data pages and upload (post) all of the bid document files.
  - 3.3. Print and distribute all bid documents to the project team as identified by the agency.
  - 3.4. Provide the successful bidder with up to ten (10) sets of bid documents for project construction.
  - 3.5. Determine when drawings completed on 11" x 17" paper will be added to the back of the specification manual or printed as a separate set of bid documents.
  - 3.6. Proof and edit the format of all addenda provided by the project architect/engineer.
  - 3.7. Coordinate with agency and Procurement and Contracts to determine revised bid date.
- 4.0 Owner Responsibilities
- 4.1. When projects are bid through the OFPM plan room in lieu of the electronic plan room, the owner will pay all costs to print and distribute all bid documents to interested bidders, the owner, design team and OFPM.
  - 4.2. The Owner will pay for the additional costs to print and distribute bid documents for use by the owner, design team and OFPM.

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- 4.3. The Owner will pay for costs to print and distribute up to ten (10) sets of bid documents for use by the contractor during construction.
  - 4.4. Addenda will only be sent to plan holders who received plans directly from OFPM or are on the OFPM plan holder list.
- 5.0 Addenda
- 5.1. OFPM will upload all addenda to the electronic plan room and print and distribute all addenda to the owner, design team and OFPM.
  - 5.2. Except for the first addendum, addenda shall be written by the project architect/engineer in electronic .DOC/.DOCX and e-mailed to both the OFPM Plan Room ([lori.ploude@da.ks.gov](mailto:lori.ploude@da.ks.gov)) and the OFPM architect/engineer for approval. Addendum DCC Form 315 is available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
  - 5.3. Addenda for printed set of bid documents will be organized as follows:
    - 5.3.1. Addendum form (printed in pink,)
    - 5.3.2. New bid form, if required (different color than the original bid form),
    - 5.3.3. Specifications either white, green or yellow (depending on discipline),
    - 5.3.4. Drawing sheets (white).
  - 5.4. Submit applicable documents to OFPM for addenda on a CD/DVD as follows:
    - 5.4.1. In electronic .DOC/.DOCX, .PDF Due to restrictions on the computer security system, **no** .ZIP files can be received.
    - 5.4.2. The sign-in sheet from the pre-bid conference will be reproduced in handwritten form. Typed versions of this document will not be published.
    - 5.4.3. All drawings shall be on the same sized paper with the same title block and same information required in the titleblock as the originals.
      - 5.4.3.1. Drawings shall be identified with the corresponding addendum article number.
      - 5.4.3.2. Drawings will be attached at the end of each printed addendum.
    - 5.4.4. If the project architect/engineer is providing drawings larger than 11" x 17", OFPM shall be notified in advance, and one day shall be added to addenda deadlines in the guidelines noted in Section 9.0 of this chapter.
      - 5.4.4.1. Any drawing larger than 11" x 17" shall be sent to OFPM on vellum / Mylar® properly sealed, signed and dated and properly identified by addendum number.
  - 5.5. OFPM reserves the right to correct formatting and reorganize the addendum and any related attachments to allow ease of uploading and/or printing.
  - 5.6. The project's final addendum will be issued by the OFPM plan room no later than seven (7) working days prior to the project's bid date.

## Building Design and Construction Manual

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5.6.1. The project architect/engineer is required to deliver the final addendum by 10:00 am eight (8) working days prior to the bid date for formatting, uploading printing, distributing.

5.6.1.1. Any addendum received after the above deadline may require postponement of the bid date.

5.7. Addendum language for projects being **rebid** shall be: "This project is being rebid without any changes to the bid documents".

5.8. Addendum language for projects being **revised** for rebidding shall give a brief description of the changes with sufficient detail to inform the bidders what was revised.

5.9. Addenda will be available to those registered with the project on the OFPM electronic plan room website.

5.9.1. Paper copies of the addendum will be sent to the agency, design team and OFPM planner.

### 6.0 Opening and Review of Bids

6.1. Procurement and Contracts is responsible for opening and reviewing bids for each project.

6.2. Once the bids are reviewed and sent to OFPM, the bid tabulations are posted under "Tabulation of Bids" at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/) and forwarded to the state agency and the project architect/engineer for their review.

6.3. If the bid is within the amount of funds allocated for the construction of the project, the project architect/engineer will make a recommendation to the state agency regarding the lowest responsible bidder.

6.4. If the state agency accepts the lowest responsible bidder and notifies OFPM, OFPM will send an advice of award of contract to the Procurement and Contracts for further processing.

6.5. If the state agency accepts add alternates which changes the lowest responsible bidder's major subcontractor(s) listed on the bid form, the lowest responsible bidder is required to provide the name and address of the major subcontractor(s), which are changed.

6.6. If the state agency does **not** intend to award a construction contract and notifies OFPM, OFPM will announce the agency's decision under "Tabulation of Bids" at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).

6.7. If no bids are received for the project, OFPM will send a letter to the agency requesting further comment from the agency.

6.8. If the Topeka/Shawnee County state offices should be closed due to inclement weather or any other unforeseen condition and we have a project scheduled to bid, the following procedures will apply.

6.8.1. A note will be added to the on-line plan room similar to below.

6.8.1.1. "Due to inclement weather this project will be rescheduled to bid on a later date. The revised bid date will be published when we return to the office and will be issued via an addenda."

6.8.2. It is the responsibility of the project architect/engineer, contractors and other plan holders to visit the online plan room to view this information.

6.8.2.1. To determine if state offices are closed check out [www.wibw.com](http://www.wibw.com) click on Cancellations and Closings. State office closings are listed under Government and noted as "Topeka / Shawnee County State offices".

6.8.3. We will attempt to contact the project architect/engineer for the projects in question to verify postponement.

6.8.4. OFPM and Procurement and Contracts, in coordination with the agency, will select the revised bid date once we return to work. An addendum will be published on the above website confirming the new bid date.

### 7.0 Award and Signing of the Construction Contract

7.1. Procurement and Contracts will issue unsigned construction contracts for the project to the contractor, state agency and OFPM, which are to be signed and returned to Procurement and Contracts.

7.1.1. The agency will return their signed contract and forward a Purchase Order to the Procurement and Contracts.

7.1.2. The contractor will return signed contracts to Procurement and Contracts along with the following:

7.1.2.1. proof of workers' compensation insurance, comprehensive general liability and automobile liability in the required amounts

7.1.2.2. builder's risk insurance for new construction (or an all-risk installation floater for renovations)

7.1.2.3. a performance bond (Specification Document G);

7.1.2.4. a public works bond (Specification Document H) in an amount equal to the contract price,

7.1.2.5. a county bond receipt.

7.2. Procurement and Contracts will complete the agency's purchase order and forward to Accounts and Reports.

7.3. A&R encumbers the money and notifies Procurement and Contracts that the contract is complete.

7.4. The contractor will receive two fully executed contracts from Procurement and Contracts.

### 8.0 When Bids Exceed Allocated Funds

8.1. Following the bidding period, should the lowest qualified bid exceed the approved construction funding, identified on the OFPM Frontend Data Form DCC 305, the project architect/engineer shall consult with the project team to determine how to proceed.

8.2. If the decision is made to modify and revise the bid documents for re-bidding, the project architect/engineer shall, **without** additional compensation, modify and revise the bid documents as needed for re-bidding.

- 8.3. The revised bid documents shall be submitted as directed by the state agency and OFPM.
- 8.4. If a project is rebid or re-issued due to errors and omissions by the project architect/engineer and/or the firm's consultants, the project architect/engineer may be required to pay for the use of the on-line service, printing and shipping costs associated with the re-issuance of the bid documents.

**END OF CHAPTER 14**

## CHAPTER 15 – CONTRACTOR PRE-QUALIFICATION

### 1.0 General Information

- 1.1. The State of Kansas, the Office of Facilities and Property Management has implemented a process to pre-qualify contractors. This process is the state's method of further defining the term "responsible bidder" in statute [K.S.A. 75-3740](#).
  - 1.1.1. A taskforce was assembled with members from the Associated General Contractors (AGC), American Institute of Architects (AIA), Kansas Council of Engineers (KCE), and various state agencies along with representatives from OFPM. The taskforce has revised an existing procedure for contractors interested in providing construction services for the State of Kansas.
  - 1.1.2. Kansas Department of Transportation (KDOT) has a pre-qualification process for road and bridge work, which is substantially different from OFPM's prequalification process. Contractors who are pre-qualified with KDOT are not pre-qualified to bid on OFPM projects unless the contractor has already completed the OFPM pre-qualification process. If a contractor is pre-qualified with KDOT and wishes to complete the OFPM pre-qualification process, the approval letter from KDOT should be included in the application packet. Approval by one does not guarantee approval by the other.
  - 1.1.3. The Procurement and Contracts has a vendor registration for RFP's not processed through OFPM. [Click here](#) to be directed to Procurement and Contracts website. Click on Bidder Application.
- 1.2. Any company intending to bid as a prime contractor and sign a construction contract with the state of Kansas will need to follow the requirements below.
- 1.3. If a contractor submits a bid and the company is not pre-qualified, the bid will not be opened and will be returned to the company.

### 2.0 The Pre-qualification Process

- 2.1. To apply companies should use the Pre-qualification Application DCC Form 840 found at [www.da.ks.gov/fp/contractor/](http://www.da.ks.gov/fp/contractor/).
- 2.2. Contractors will be notified by OFPM when their application has been received, at which time their status is noted as "pending".
- 2.3. After the initial review, the contractor will either be notified that his application has been approved or that additional information is required.
- 2.4. A contractor may bid and be awarded one project while the firm's application is "pending".
- 2.5. Companies who's applications are pending more than 60 days and fail to provide all required documents will be given two weeks to comply with the request for additional information. If no information is received during that two week period, the application will be discarded.
  - 2.5.1. If the company wishes to bid on projects in the future, they will have to reapply.
- 2.6. Instructions for submittals and additional information about the pre-qualification process are located under "Contractor Pre-qualification" at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
  - 2.6.1. Questions about the process that cannot be answered on the website should be directed to 785-296-8899.

### 3.0 Submission of Bid When Not Pre-qualified

3.1. If a company submits a bid and a pre-qualification application from that company has not been received, their bid will be returned to them unopened.

3.1.1. Beginning with the use of the on-line plan room OFPM no longer can prohibit plan distribution to contractors who are not pre-qualified. Under the description of each project, there is a note in red indicating that all contractors bidding as the prime bidder must be pre-qualified with OFPM. A link to the pre-qualification web page is provided. It is up to the contractor to initiate the pre-qualification process.

### 4.0 Renewal Process

4.1. Applications are required to be resubmitted by each company every three years from the date of the company's initial application approval.

4.1.1. After the initial three-year period of approval, a letter will be sent to the company 2 to 3 months in advance of the expiration date of the application.

4.2. Companies that do not renew by their expiration date, will no longer be pre-qualified will be removed from the list of pre-qualified contractors.

**END OF CHAPTER 15**

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## CHAPTER 16 – CONSTRUCTION ADMINISTRATION

### 1.0 General Information

- 1.1. When OFPM receives copies of the signed contracts from Procurement and Contracts, OFPM will write the Notice to Proceed for the next day in accordance with the construction contract stipulations.
  - 1.1.1. If the agency intends to have the Notice to Proceed issued sooner, the state agency may request Procurement and Contracts' ([galen.greenwood@da.ks.gov](mailto:galen.greenwood@da.ks.gov)) verify insurance approval. When the agency forwards Procurement and Contracts' e-mail to OFPM verifying insurance approval, the contractor's name, address and the number of days (or actual completion date) for the time of completion, OFPM will issue a Notice to Proceed.
- 1.2. The project architect/engineer shall have primary responsibility for the inspection of the project, and shall represent the owner and advise and consult the project team in the administration of the construction contract or contracts. ([K.S.A. 75-1260](#))
- 1.3. The project architect/engineer shall keep the project team informed and aware of all construction activity, requesting assistance when necessary.

### 2.0 Project Construction Meetings

- 2.1. The project architect/engineer shall coordinate scheduling a pre-construction conference with the contractor, and state agency representatives.
  - 2.1.1 The contractor's subcontractors and suppliers, the project architect/engineer's consultants, and OFPM inspectors shall be invited to the pre-construction conference.
  - 2.1.2 Use the Pre-construction Conference Agenda DCC Form 430, available under "Forms & Documents" at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
- 2.2. The project architect/engineer shall coordinate and conduct progress meetings to review the status, schedule and quality of work for compliance with contract documents.
  - 2.2.1 The project architect/engineer may delegate the handling of the progress meeting to the contractor when approved by the agency representative.
  - 2.2.2 The project architect/engineer is responsible for preparing and distributing meeting minutes for any meeting held for a project.
- 2.3. The project architect/engineer shall attend other meetings as required by the state agency or OFPM to resolve problems, at no additional cost to the owner.
- 2.4. The project architect/engineer shall coordinate any additional meetings with OFPM representatives prior to scheduling.

### 3.0 Shop Drawings

- 3.1. The project architect/engineer shall with 10 working days review and **approve** shop drawings of fabricators and manufacturers, and samples of materials for conformance with the drawings and specifications and only submit copies of **approved** shop drawings to the contractor, the state agency and OFPM during construction.

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- 3.2. All **approved** shop drawings for large projects will be delivered to OFPM during construction in .PDF format, unless otherwise directed by OFPM. No single shop drawing submittal shall be greater than 5 MB if e-mailed to OFPM.
- 3.3. Elevator, sprinkler and fire alarm shop drawings shall follow requirements in Chapter 7, and only **approved** shop drawings shall be submitted on bond and in .PDF format on a CD/DVD.
- 3.4. During the shop drawing submittal phase, substitutions for only discontinued products may be submitted for approval. No other substitutions can be submitted for approval after the “request for substitution” period during the bidding phase has passed.
- 3.5. The project architect/engineer shall ensure that all security related shop drawings are returned to the Owner.

### 4.0 Project Architect/Engineer Inspections

- 4.1. At a minimum, provide the following inspection services:
  - 4.1.1 Conformance with the contract documents.
    - 4.1.1.1. Upon recommendation by the project architect/engineer, the state agency and OFPM, the Secretary of Administration may issue a stop work order to the contractor whenever the Secretary determines that the work does not comply with the contract documents. ([K.S.A. 75-3783 \(a\), \(3\)](#)).
  - 4.1.2 Inspection of site utilities prior to any utility being buried.
  - 4.1.3 Inspection of above ceiling work and in concealed spaces prior to the spaces being covered up.
  - 4.1.4 Inspection of each life safety item or system.
- 4.2. At each payment application, review the contractor's record documents to verify contractor is noting changes made during construction.
- 4.3. Prepare and distribute field reports.
- 4.4. The project architect/engineer may request compensation for additional inspections when required by an adjustment to the completion time of the contract, requested by the state agency or required by unusual project requirements.

### 5.0 OFPM Inspections

- 5.1. OFPM performs specific code compliance inspections on all projects for the Secretary of Administration. Reference Chapter 7 of this manual for required inspections.
  - 5.1.1 When a code issue is identified, the OFPM inspector will contact the project architect/engineer and the OFPM architect/engineer for resolution. All code issues will be documented on the OFPM inspector's inspection report.
- 5.2. OFPM performs specific code compliance inspections and periodic project inspections on extended service projects.

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### 6.0 Interpretation of the Contract Documents

- 6.1. The project architect/engineer shall determine the meaning and intent of any portion of the contract documents.
- 6.2. The project architect/engineer shall respond with 10 working days to requests from the contractor for information and interpretations, so that the construction schedule is not adversely affected. All requests for information and interpretation from the contractor shall be documented in writing and distributed to the contractor, state agency representatives and OFPM.
- 6.3. The project architect/engineer shall issue field orders to the contractor for adjustments or changes in work. All field orders shall be documented in writing and distributed to the contractor, state agency representatives and OFPM.
- 6.4. The project architect/engineer's interpretations or clarifications of the contract documents are subject to review by the Director of the Office of Facilities and Property Management.
  - 6.4.1 When the contractor notifies the Director within ten (10) days of an unresolved disputed interpretation with the project architect/engineer's written clarification, the Director or his designee will meet with the Contractor and project architect/engineer to hear the positions of both parties.
  - 6.4.2 The director may designate alternative procedures to receive and review the positions of the parties or may delegate the decision-making power to a negotiating committee. The director, his designee or the negotiating committee will render a decision within thirty-days of the hearing.

### 7.0 Contractor Payment Applications

- 7.1. The project architect/engineer shall review the contractor's application for payment for accuracy of the amount requested and the status of the on-site record documents. Undisputed requests for payment shall be approved and forwarded to the Owner within seven (7) days of receipt.
  - 7.1.1 The schedule of values (similar to AIA Document G703) submitted by the contractor should include a line item for record documents.
  - 7.1.2 When recommending the application for payment, the project architect/engineer shall sign and forward the application to the state agency, and send a copy to OFPM.
  - 7.1.3 The state agency will submit all approved payment applications to A&R for payment.
  - 7.1.4 After verification of funds, A&R will print a warrant for payment to the contractor.
- 7.2. If the project architect/engineer does not approve a payment the contractor shall be notified within seven (7) days of receipt and given a choice of resubmitting the application with correct information, or agreeing to hold the application until work is at the level indicated on the application.

### 8.0 Construction Contract Change Orders

- 8.1. The project architect/engineer shall prepare and sign change orders with 10 working days from the date of acceptance by the Owner unless otherwise agreed to by the contractor. The Contract Change Order DCC Form 460 and Change Order Continuation Sheet DCC Form 461 are available at <http://da.ks.gov/fp/>.

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- 8.1.1 The project architect/engineer shall *provide one (1) copy* of the change order for routing and signature by the designated parties.
- 8.1.2 All change order items shall be related to the original scope of work (i.e. unforeseen conditions, errors, omissions, etc.) and have prior approval from the state agency.
- 8.1.3 Prior approval from OFPM is required for building code and accessibility issues.
- 8.1.4 Multiple items may be included on each change order.
- 8.2. All change orders greater than \$125,000 shall be reported to the Joint Committee on State Building Construction (JCSBC) by OFPM on behalf of the Secretary of Administration. ([K.S.A. 75-1264](#))
  - 8.2.1 Failure to notify OFPM as soon as possible of a change order over \$125,000 may result in a delay of change order approval.
  - 8.2.2 Such change orders will be signed by OFPM after they have been reviewed by the JCSBC.
  - 8.2.3 Attendance by the agency representatives and the project architect/engineer at the presentation of the change order to JCSBC may be required.
- 9.0 Substantial Completion
  - 9.1. All forms mentioned below are available under “Forms & Documents” at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
  - 9.2. The project architect/engineer shall determine substantial completion (or partial substantial completion) by conducting a joint inspection with the contractor, state agency representatives and OFPM representatives.
  - 9.3. When found substantially complete the project architect/engineer shall prepare a punch list of incomplete items or deficiencies and shall include a date for each item to be finished.
  - 9.4. Within two working days the project architect/engineer shall distribute the punch list along with one (1) signed copy of the Certificate of Substantial Completion DCC Form 570 to the contractor, state agency representatives and OFPM.
    - 9.4.1 When all signatures are affixed to this document, it will be scanned and distributed to each signee.
    - 9.4.2 Issuance of the Substantial Completion Certificate shall not be construed to permit occupancy. Occupancy is permitted only when OFPM issues the Certificate of Occupancy as noted in Chapter 7.
  - 9.5. It is the project architect's/engineer's responsibility to ensure that punch list items are finished in a timely manner and to conduct an inspection with all parties to verify that all punch list items are finished.
  - 9.6. When agencies request substantial completion for a portion of a construction or renovation project, the same procedures above will apply. When issuing the substantial completion form the project architect/engineer should note and describe on the form, the area being inspected as “partial substantial completion”.

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### 10.0 Occupancy

- 10.1. Installation, testing, correction, and retesting of all life safety systems included in the project must be approved by OFPM prior to the issuance of the Certificate of Occupancy DCC by the OFPM Senior Architect – Construction & Compliance as outlined in Chapter 7.

### 11.0 Project Completion and Final Payment

- 11.1. The project is complete when the project architect/engineer determines the construction is in accordance with the contract documents and the following items are complete.

- 11.1.1 Punchlist items.

- 11.1.2 Final Cleaning has occurred to the satisfaction of the Owner and project architect/engineer.

- 11.1.3 If Commissioning is the responsibility of the contractor, it has been completed and a commissioning report has been delivered to the project architect/engineer.

- 11.1.4 If Testing and Balance is the responsibility of the contractor, reports have been completed and delivered to the project architect/engineer.

- 11.1.5 All warranties and instructions have been delivered to the Owner.

- 11.1.6 O and M manuals have been delivered to the project architect/engineer, have been reviewed for completeness and have been delivered to the Owner.

- 11.1.7 Training and demonstrations as required by the specifications has been completed.

- 11.1.8 All keys have been delivered to the Owner.

- 11.1.9 All maintenance equipment and tools have been delivered to the Owner.

- 11.1.10 All extra materials and spare parts have been delivered to the Owner.

- 11.1.11 Record Documents have been delivered to the project architect/engineer.

- 11.1.12 OFPM has received all final document and paperwork listed below.

- 11.2. The project architect/engineer prepares and forwards one (1) signed copy of the signed Certificate of Project Completion / Affidavit of Contractor DCC Form 571 and Closeout Checklist DCC Form 560 to the contractor.

- 11.3. The contractor shall sign the Certificate / Affidavit and forward it with one (1) signed copy of the final payment application and closeout checklist DCC Form 560 to the project architect/engineer.

- 11.3.1 The Affidavit portion of the form states that all project indebtedness of the contractor or subcontractors has been paid in full and the state of Kansas has been paid in full for all loss, cost damage or other expense caused by the contractor or subcontractors.

- 11.3.2 It is the responsibility of the project architect/engineer to ensure that OFPM receives a signed copy of DCC Form 571 and the final application for payment with the proper project title and OFPM project number.

- 11.4. The project architect/engineer shall review the final payment application.

- 11.4.1 If approved, the project architect/engineer will sign and forward the final payment application it along with Certificate of Project Completion / Affidavit of Contractor DCC Form 571 and Closeout Checklist DCC Form 560 to the state agency for processing.
- 11.4.2 If not approved, the project architect/engineer will notify the contractor to resubmit.
- 11.5. After signing the above documents, the state agency processes the payment electronically and forwards the documents to OFPM for signing and distribution.
  - 11.5.1 The distribution of these documents will be via e-mail to the contractor and the agency contact on file with OFPM. It is up to the contractor and the agency representative to forward the documents to others in their organization that need copies.
- 11.6. When the Certificate of Project Completion is signed by all parties, the state agency assumes responsibility for maintenance, custodial care and utilities for the premises not previously accepted under prior Certificate(s) of Partial Occupancy.
- 12.0 Post-Construction Services
  - 12.1. The project architect/engineer shall complete a contractor evaluation on each project, used by OFPM in the contractor pre-qualification process (See Chapter 15). The form is available at [www.da.ks.gov/fp/](http://www.da.ks.gov/fp/).
  - 12.2. The project architect/engineer shall submit a complete set of record documents to OFPM within three months of project completion.
    - 12.2.1 The record documents shall be submitted on Mylar® or vellum and shall reflect significant changes in the work made during the construction process.
    - 12.2.2 Each discipline's record documents should be based on their knowledge of revisions to the work, contract change orders and the contractor's marked-up record drawings as required by the General Conditions of the Construction Contract.
    - 12.2.3 Three (3) CD/DVD's, each containing the same set of Record Documents, including but not limited to:
      - 12.2.3.1. Each discipline's record drawings in .PDF format complying with Chapter 17.
      - 12.2.3.2. A complete set of technical specifications revised to reflect significant changes and attached reports in.PDF format.
      - 12.2.3.3. All other documents generated by the project architect/engineer during the bidding and construction phases in.PDF.
    - 12.2.4 OFPM and the agency will have 60 days to review and request changes to the design team's record documents.
      - 12.2.4.1. OFPM will retain the Mylar® / vellum record drawings and one CD/DVD.
      - 12.2.4.2. The state agency will receive two (2) CD/DVDs of electronic record documents.
      - 12.2.4.3. Additional Mylar® / vellum or CD/DVD copies of record drawings should be negotiated by the agency.

- 12.3. The project architect/engineer shall be available during the one-year expressed warranty period to assist the state agency and OFPM should problems develop.
  - 12.3.1 Within nine months of the date on the Certificate of Project Completion the project architect/engineer shall initiate a warranty inspection of the project jointly conducted by the project team.
  - 12.3.2 The project architect/engineer shall notify the contractor of any deficiencies discovered and is responsible to see that all items are completed in a timely manner.

**END OF CHAPTER 16**

# Building Design and Construction Manual

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## CHAPTER 17 - ELECTRONIC DOCUMENT SUBMITTALS

### 1.0 General Information

- 1.1 These guidelines establish minimum standards, which must be met in the submission of electronic data on all State of Kansas capital improvement projects. These standards provide uniform methods of archiving and sharing electronic data between the various owner/state agencies and project architects /engineers. These guidelines are required on each electronic submission, including but not limited to concept and schematic design, design development, construction documents and record documents.
- 1.2 Reference Chapter 13, Section 8.0 for submittals for bidding purposes.
- 1.3 These standards are not meant to dictate the in-house methods or means by which each project architect/engineer creates construction documents in the normal conduct of their business. They are intended to establish standards for electronic files at the time they are submitted to the Office of Facilities and Property Management for retrieving and archiving purposes.
- 1.4 The standards in Chapter 17 are mandatory for all project submittals.
- 1.5 The project architect/engineer is responsible for all consultants work.
- 1.6 Contact the Office of Facilities and Property Management at 785-296-8899 for any clarification regarding these submittal requirements.

### 2.0 Submittal Requirements for .PDF Documents

- 2.1 Drawings and specifications shall be submitted in .PDF format unless required in another format by other chapters.
- 2.2 All scanned files submitted in .PDF shall be saved at a minimum of 300 dpi.
- 2.3 Specifications shall be saved as one (1) document per specification division. File names must contain the OFPM project number and the specification division number.
- 2.4 Drawings shall be saved in one (1) drawing sheet per file. File names must contain the OFPM project number, the sheet number and a brief description.

### 3.0 Submittal Requirements for .DWG Documents

- 3.1 Drawings in .DWG format are not required to be supplied to OFPM or the agency unless included as part of the fee negotiation.
- 3.2 When negotiated, .DWG files shall comply with the current United States National CAD Standard current layering standards as published by the National Institute of Building Sciences. More information is available at <http://www.buildingsmartalliance.org/ncs/>.
- 3.3 All .DWG files shall be submitted **only** on CD/DVD *using a recent version of Autodesk AutoCAD*.
- 3.4 Drawings shall be saved in one (1) drawing sheet per file. File names must contain the OFPM project number, the sheet number and a brief description.
- 3.5 All data in submitted .DWG file(s) for new projects shall be in a vector format. Raster format data shall be permitted only for existing facilities, either as stand-alone files or as underlays for remodeling projects within existing facilities.

- 3.6 All Fonts shall be non-proprietary and included with all electronic submission.
- 4.0 File Content and Accuracy for .DWG
  - 4.1 Accepted professional standards shall be maintained in the production of all electronic drawings and specifications.
  - 4.2 Before being submitted to OFPM, all.DWG files shall be purged or packed of all unused entities, such as unused blocks (including nested blocks), symbols, layers and styles.
  - 4.3 Display: All submitted .DWG files shall be saved in a "Zoom Extents" view.
- 5.0 Deliverables
  - 5.1 Each project shall be delivered on CD/DVD to OFPM with one (1) project per CD / DVD.
  - 5.2 All submitted CD/DVDs shall be in a format appropriate for Microsoft Windows based operating systems.
  - 5.3 Create CD/DVD with a single closed recording session on a fully readable and **non-rewritable** CD/DVD.
  - 5.4 All CD/DVD should include a drawing index in either Excel or Word.
  - 5.5 Include all other files, which may be required to create "ready-to-plot" drawings.
  - 5.6 Two steps for file conversion will be used to assure proper file creation of .DWG documents
    - 5.6.1 Bind individual drawings to include all reference files.
    - 5.6.2 Use "e-transmit" to attach all font and plot settings to the drawing file. Unzip the "e-transmit" file and place in a job folder on the CD/DVD.
  - 5.7 The CD/DVD shall contain no more than two levels of folders. Reference the figures below.

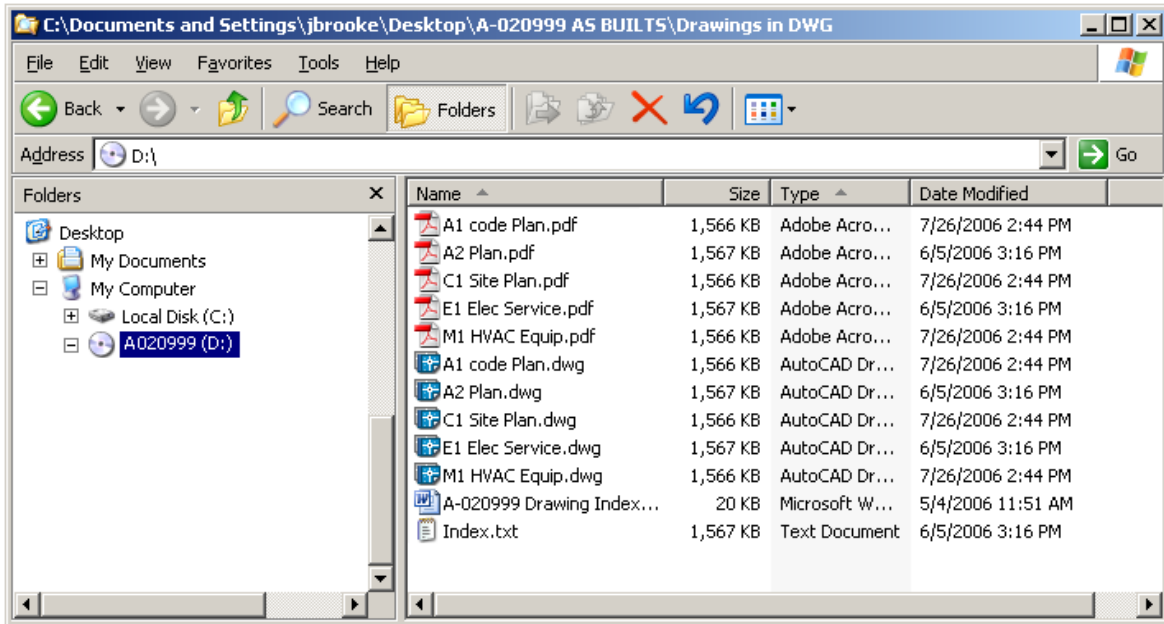


Figure 4.1 File Structure of CD/DVD for Simple Projects

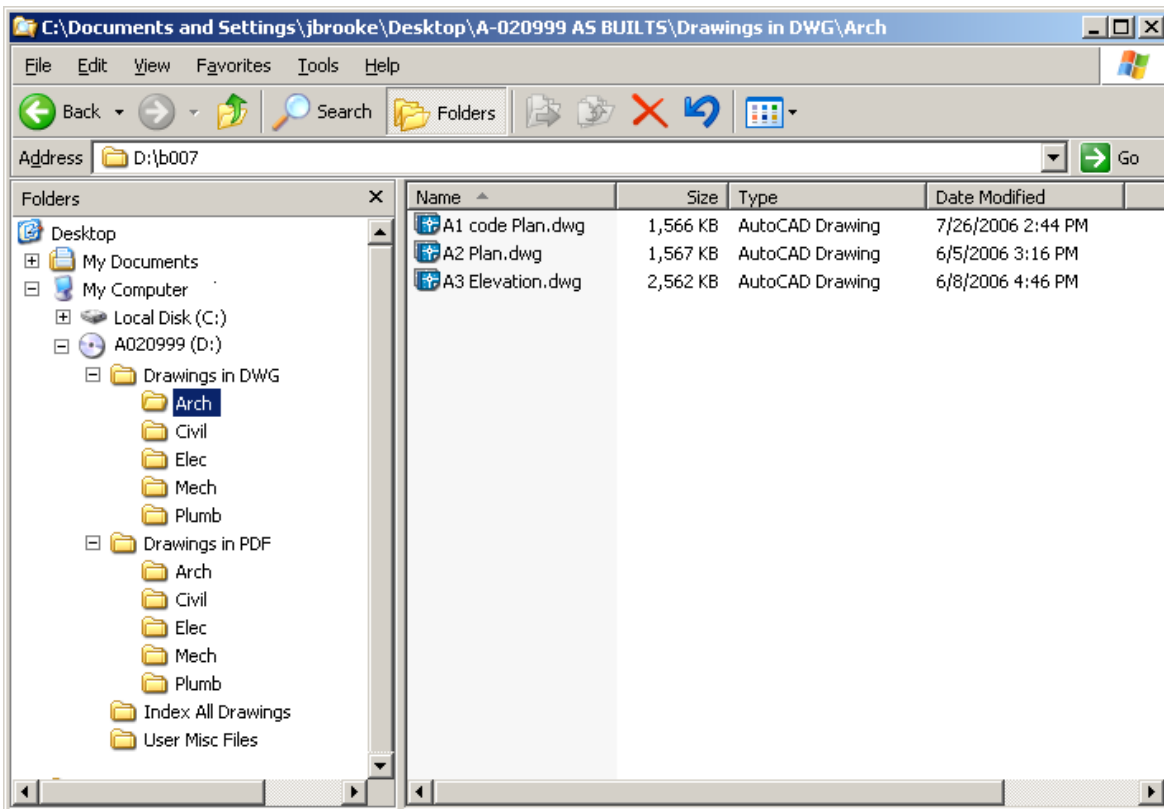


Figure 4.2 File Structure for CD/DVD for Complex Projects

## 5.8 File Naming Conventions

5.8.1 Each electronic drawing shall be submitted using a standard naming convention.

- 5.8.2 Due to the large size of.DWG files, each drawing sheet shall be a separate file document. Multiple sheets in one file document will not be accepted.
- 5.8.3 All document names begin with the OFPM project number, the sheet number followed by an abbreviated sheet title.
- 5.9 Media Labeling
  - 5.9.1 CD/DVD's shall be labeled using a computer generated pressure sensitive label, similar to Avery 5824, or printed directly to surface similar to Light Scribe.
  - 5.9.2 The following information shall be provided on the label: OFPM project number, project title, document submittal date (for record documents, use the project completion date), firm name, file format, and contents, such as final bid documents or record documents.
  - 5.9.3 If a project is large enough to be submitted on multiple CD/DVD's, each submitted CD/DVD shall have a unique electronic volume label. The label shall consist of the OFPM project number followed by the volume number.
  - 5.9.4 If more than one CD/DVD submitted, label the disk number of total number submitted (ex. "Disk 1 of 3"). The project number shall be printed with a minimum bold 12-point Arial font size.
  - 5.9.5 Hand lettering directly onto CD/DVD or onto a pressure sensitive label with a permanent marker will **NOT** be accepted. A permanent marker may deteriorate the CD/DVD dye layer rendering them unusable.

**END OF CHAPTER 17**