

# **GUIDELINES FOR THE SMALL PROJECTS PROGRAM**

State of Wisconsin  
Department of Administration  
Division of Facilities Development

Prepared by

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# **SMALL PROJECTS PROGRAM**

## **PROGRAM OVERVIEW:**

The maintenance of facilities, utilities, health and safety of employees and facility users, protection of the environment, conservation of energy, accommodations for disabled persons, and improvements needed to support changes in program requirements are primary concerns in the management of State owned facilities. To address these concerns, the Legislature has provided an All-Agency general tax revenues (GPR) funding appropriation in the Capital Budget. The Small Projects Program is the vehicle to access this funding for small projects in state facilities.

The Division of Facilities Development (DFD) is authorized by the State Building Commission to administer the Small Projects Program. DFD periodically provides the Building Commission with small projects activity reports concurrent with requests for the release of additional All-Agency funding to continue the program.

DFD staff will work directly with campuses and other institutions to identify needed projects and provide assistance in implementing urgent maintenance and code compliance needs. The DFD Small Projects Program Manager may also consider maintenance training and other special maintenance initiatives on a case-by-case basis. In addition to Capital Budget funds, agencies may use the Small Projects Program to implement repair / renovation projects using Program Revenue or other agency funding sources.

Periodically, DFD will make changes to the Small Projects Program in response to needs, direction from the State Building Commission, or Legislative changes. Any changes will be incorporated into this document and periodically posted to the DFD website in order to promote efficiency and effective communications in administration of the program

## **PROGRAM OBJECTIVES:**

The objectives of the Small Projects Program are:

- To focus attention on maintenance, health and safety, environmental protection, energy conservation, disabled person accommodations, and facility improvement needs.
- To expedite completion of needed projects.
- To distribute funds based on priority need.
- To manage the program within policies and priorities adopted by the State Building Commission.
- To maintain accountability for completion of projects and expenditure of funds.

## **PROGRAM SCOPE:**

Projects administered through the Small Projects Program include work needed to maintain the existing level of services, to increase efficiency, or to support changes in program requirements. Project categories include the following:

- Building Maintenance / Repair / Replacement / Improvement / Remodeling.
- Utility Systems Maintenance / Repair / Replacement / Improvement.
- Health and Safety Code Compliance.
- Environmental Protection.
- Energy Conservation.
- Disabled Person Accommodations.
- Road / Walks / Support Facilities Maintenance / Repair.
- Preventive Maintenance.

## **AGENCY'S FACILITIES MAINTENANCE PROGRAM**

The following descriptions explain the relationships of All-Agency funding to the agency's facilities maintenance/management program.

### **PREVENTIVE MAINTENANCE:**

Preventive or routine inspections and maintenance is work that should be performed by agency maintenance staff to identify minor problems and repair systems and equipment before serious defects occur. Typically, activities include custodial work, repairing doors and hardware, painting walls and trim, servicing mechanical and electrical equipment, small parts replacement, and minor patching and repair of roofs and masonry, etc. Service work performed under an agency service contract is considered preventive maintenance. A fund for preventive maintenance should be included in the agency's operating budget and generally does not qualify for All-Agency funds.

### **SCHEDULED TESTING/ REPAIR OF MAJOR EQUIPMENT:**

Scheduled testing/ repair, or predictive maintenance, is work usually performed on major equipment at regular intervals to assure continued efficient operation and avoid premature failure. Typical examples include cleaning and testing primary electrical switches, inspecting and testing tubes in chillers and boilers, and turbine inspection and testing. A good testing and repair program based on manufacturer recommendations and operating experience is cost effective and will reduce the amount of unscheduled repairs required. Scheduled testing/ repair will be funded from All-Agency funds.

### **UNSCHEDULED REPAIRS AND REPLACEMENTS:**

Unscheduled repair or replacement, or breakdown maintenance is work needed to restore to service a building component or piece of equipment after it has failed or deteriorated to a point where it is no longer functional or reliable. Such repairs are usually performed on an emergency basis. Critical types of work include repair of failed roofs, water and steam line breaks, heating and ventilating equipment failures, etc. Lower priority items include repairs or replacements to floor and ceiling tile, carpeting, fixed equipment, windows, and site development. Unscheduled maintenance may be funded from either agency operating budget or All-Agency funds and is decided on a case by case basis.

### **PLANNED REPLACEMENT:**

Planned replacement occurs when a major building component or piece of equipment has reached the end of its useful life and is no longer economical to maintain. Based on experience, replacement is scheduled to occur just prior to the anticipated failure. The LCC of alternatives is carefully evaluated, and the selected component budgeted, bid and installed in accordance with a predetermined schedule. Planned replacements are usually funded from All-Agency funds or taken into account in agency long-range plans and Capital Budget requests.

### **RENOVATION / IMPROVEMENTS:**

Renovation and improvements occur when there is a need to replace worn building systems and supporting infrastructure; to upgrade to current technology in order to improve safety, performance, or efficiency; or to support new program requirements. Additionally, projects often incorporate comprehensive energy conservation, health, safety, environmental protection, architectural barrier removal, or functional improvements needed to support program changes.

### **SPECIAL NEEDS PROJECTS**

Special needs projects are implemented by DFD and are under the direct control of a DFD staff specialist who is authorized to approve expenditures. The purpose of these projects is to enable immediate response to urgent maintenance, code compliance, or chronic operational problems caused by deficiencies in building systems/ equipment. If the DFD Staff Specialist determines there is an imminent

danger to people and the environment, a potential for catastrophic loss of property, or where an economic benefit will be realized. Such projects can also accommodate other special facility needs and initiatives such as, scheduled inspection/ testing of major mechanical and electrical equipment, maintenance training, etc.

Special needs projects will be initiated by DFD and the following limits will apply:

- Individual expenditures are generally limited according to the typical activity needs, and may or may not require pre-expenditure approval of the PM.
- Work is generally implemented by a purchase order under the statutory provision for "Limited Trades".
- Funding will not be provided for work of a frequently recurring nature or work within the capabilities of the institution maintenance staff.
- Funding will only be provided for work authorized by a DFD Staff Specialist when other applicable funding is not available.

Examples may include:

- Emergency repairs to critical support systems.
- Environmental emergencies response efforts.
- Asbestos assessment for specified agencies.
- Power plant emissions testing per agency statewide
- Miscellaneous maintenance /repairs for State Historical Sites, non-program revenue roofing, road and walk maintenance, etc., with no single effort exceeding \$5,000.
- Preventive maintenance programs for agencies statewide, with no single effort exceeding \$5,000

The DFD Staff Specialist may issue additional instructions for identifying and implementing projects for specific types of work, or for special preventive maintenance programs. Contact the DFD staff specialist or refer to the DFD web site for additional information.

## **INMATE WORK PROGRAM**

Contact the DFD staff specialist or refer to the DFD web site for additional information in the directive for Inmate Labor Program Policy. A small project request then may be submitted for approval following the current policies and procedures provided in the directive for Inmate Labor Program Policy.

Prior to initiating the small project request, the hours of work, transportation, security supervision costs, and other conditions for using inmates should be worked out between the agency and the DOC correctional center that will provide the inmates.

# FUNDING SOURCES

## GENERAL FUNDING LIMITATIONS:

All small projects whether funded from All-Agency appropriations or "other" sources are limited to a maximum budget of \$600,000 including road/sidewalk maintenance and roofing repair projects.

Generally, a project may not combine similar work at several sites or buildings into a single project. A separate project request must be submitted for work on each building. Simultaneous or multiple projects under different project numbers at a common location will not be approved if the work is related, contiguous, or the multiple projects appear to be an attempt to circumvent the Small Project Program Guidelines and/or the statutes addressing the requirement for the Governor's review of projects \$600,000 or greater. Separate unrelated projects may simultaneously be authorized on the same building provided there is no impact by one on the other.

The Small Projects Program may be used to initiate a study or conceptual design provided the following conditions are met:

- Funding is provided by the requesting agency (may be reimbursed if a project is forthcoming).
- The study is an analysis or assessment of existing conditions.
- A Design Report requiring SBC review and approval is not part of the scope of work.

**See the Request/Approval section for appropriate procedures.**

**NOTE:** Any additional funding, regardless of the source, provided by an agency to be used for work on a DFD/Building Commission project must be incorporated into the project budget. This will require a revised budget and, possibly, Building Commission action. Additional cash funding may increase the project budget to cover additional work, or may enable a reduction in the bond funding (debt) required. It is imperative that all costs associated with a project be captured in order to have a complete record of the work done on state buildings for financial reporting and risk management and in accordance with Building Commission policy. Projects **MAY NOT** be phased to circumvent the Small Projects Program funding limits. Projects exceeding these cost limits must be submitted to the State Building Commission for approval.

When code problems or other problems such as asbestos, lead or PCB ballast's are encountered in the course of a demolition or remodeling project, the remedial work should be funded from the appropriate funding source as determined by the Small Projects Program Manager. Agencies are encouraged wherever possible to identify systems or installed products containing asbestos or lead PRIOR TO initiating projects. Where workable, asbestos and lead abatement should be accomplished prior to commencing a project so as not to impact schedule and cost for non-abatement work.

**NOTE:** Funding for asbestos or lead identification studies if accomplished in advance of a project, will be funded by All-agency funds.

Small Project funds remaining after the completion of a project may not be used for work not defined in the scope of work, nor may they be redirected to another project. Any remaining funds will be returned proportionately to the original funding sources at closeout.

**NOTE:** Neither small projects nor small projects funding may be used to supplement a funding deficiency for the original scope of work in a project authorized by the Building Commission.

## MINIMUM PROJECT SIZE:

Small projects costing less than \$5,000 should be funded by individual agencies. They will not be eligible for small projects All-Agency funding with the following exceptions:

- Energy conservation projects that meet payback requirements;
- Work approved under Special Needs projects.

## ALL-AGENCY FUNDS:

General program (tax) revenue (GPR) is available from the All-Agency funding appropriations for work in GPR funded facilities only as follows:

<b>General Fund Supported Borrowing</b>	<b>Code</b>
GFSB Facilities Repair/Renovation	Z070
GFSB Utilities Repair/Renovation	Z090
GFSB Health & Safety	Z110
GFSB Preventive Maintenance	Z190
GFSB Road Maintenance	Z240
GFSB Facilities Repair/Roofing	Z260
GFSB DNR Administrative Facilities	TV80

<b>Building Trust Funds (cash)</b>	<b>Code</b>
BTF Facilities Repair/Renovation - Small Projects	BT20
BTF Utilities Repair/Renovation - Small Projects	BT30
BTF Health & Safety - Small Projects	BTH0
BTF Preventive Maintenance	BTE0
BTF Contingency	BT70

## OTHER FUNDING SOURCES:

Projects in facilities supported from other than All-Agency funding sources (stewardship, residual borrowing authority, program revenue, federal, agency, or other institutional funds) may be implemented through the small projects program. Use of other Capital Budget funds, such as DNR stewardship funds, program revenue borrowing, and residual borrowing authority requires prior approval by the State Building Commission for that purpose. The following is a list of the most commonly used non-All-Agency funding sources:

<b>Program Revenue Supported Borrowing</b>	<b>Code</b>
PRSB University of WI Small Projects	T190
PRSB University of WI Roof Repair/Renovation	T580
PRSB Roof Repair	Y260
PRSB DOA Facilities Repair/Renovation	Y270
PRSB DOA Utilities Repair/Renovation	Y280
PRSB Historical Society Maintenance/Repair	ZE40
PRSB State Fair Park small Projects	T190

<b>Segregated Revenue Borrowing Authority</b>	<b>Code</b>
SRBA DNR Small Projects	TU50
SRBA DNR Health/Safety/Renovation	TUL0
SRBA DNR Preventive Maintenance	TUM0
SRBA DOT Admin. Facilities Maintenance	U010

<b>Stewardship Bonding Authority</b>	<b>Code</b>
STWRD DNR Maintenance & Repair	YZ20
STWRD DNR Flood Damage Repair	TZA0
STWRD DNR Trails Flood Repair	TZC0
STWRD DNR Health & Safety - Repair	TZD0
STWRD DNR Trail Development	TZE0
STWRD DNR State Park Trail Improvement	TZM0
STWRD DNR Facilities Repair/Renovation	TZN0
STWRD DNR Health/Safety & Environmental	TZQ0

<b>Other / Funding Sources</b>	<b>Code</b>
Agency Funds / Institution Funds	AGF1
Program Revenues	AGF3
Segregated Revenues	AGF4
Federal Funds	AGF5
Gifts/Grants	AGF6

**NOTE:** Projects funded from agency funds, program revenues, gift funds or other non-Capital Budget funds, and costing less than \$100,000, do not require DFD approval and submittal of a small project request. However all projects which include A/E consulting services or construction contracting services by DFD are to be submitted to DFD via the Small Projects program.

Projects funded from All Agency funds, agency funds, program revenue, gift funds or other non-Capital Budget funds, costing from \$5,000 to \$600,000, do not require Building Commission approval. However, all projects over \$100,000 are to be submitted to DFD via the Small Projects program for:

- 1) Approval of delegated authority or assignment of A/E consulting services.
- 2) Review of technical specifications and contract documents.
- 3) Compliance with applicable rules and regulations.
- 4) DFD submittal to the governor's office for approval (\$600,000 and greater).

### **COMBINED FUNDING:**

All-Agency funding may be combined with other funding sources when appropriate. In cases where the operation of a facility is funded by a combination of GPR and non-GPR funding, All-Agency funding will be provided in proportion to the amount of operating budget split or use of facility as determined appropriate by DFD. This rule does not apply to State Historical sites where qualifying projects may be funded 100% from All-Agency funds as determined by DFD.

### **OVERALL FUNDING PRIORITIES:**

Project funding priorities are as follows:

#1 Priorities: Protecting the health and safety of people; protecting the environment; maintaining integrity of the building's structural system; maintaining utility services.

#2 Priorities: Maintaining the building envelope (roof, walls, etc.)

#3 Priorities: Maintaining the mechanical, plumbing, and electrical systems; maintaining institutional roads/ walks; removing architectural barriers.

#4 Priorities: Repairing interior finishes, architectural/ fixed equipment, and other site development work; renovation or improvements to facilitate program changes.



## USE OF ALL-AGENCY FACILITY REPAIR / RENOVATION FUNDING (Z070):

### **Scope**

Facility Repair / Renovation funding may be used for:

- Maintenance of building systems and components to maximize useful life and increase dependability.  
Examples: Typical projects may include exterior patching and painting, other minor envelope repairs, door hardware replacement, flooring repair, etc. Normal day to day routine maintenance activities and costs are not eligible under the small projects program.
- Repair or replacement of building components and equipment which have failed, or having served beyond their normal useful life are anticipated to eminently fail.  
Examples: Typical projects include repair / replacement of window systems, roofing, masonry, HVAC equipment, and electrical distribution equipment, electrical lighting systems or components, etc.
- Code mandated modifications to accommodate disabled persons in existing state buildings and programs.  
Examples: Disabled person accommodations projects include access ramps, automatic exterior doors, rest room modifications, elevators and elevator control modifications, etc.
- Minor remodeling / improvement projects that are essential to support changes in GPR funded program requirements.  
Examples: Facility remodeling/ improvement projects include minor improvements to labs, classrooms, correctional facilities, social service facilities, program support facilities, etc. which are needed to accommodate changes or expansion of the agencies program. The scope and budget must maximize use of existing space and address documented program needs. An institution-wide space plan must be submitted to DFD before projects involving remodeling before space reconfiguration will be considered.

### **Additional Considerations**

Facility repair/replacement work to qualify should be beyond the scope of the agency's normal maintenance activities, and may require special tools or construction trades to complete. Replacement should be considered only when repair is no longer feasible or cost effective.

The scope of disability accommodation work should be limited to providing reasonable access to program spaces and services, not providing access to every space within an existing building. Projects must be supported by a comprehensive evaluation of program access per ADA regulations.

### **Precluded Work**

Generally, the following types of work does not qualify for Z070 small projects funding:

- Research or planning for major remodeling project.
- Moveable equipment which is generally purchased and installed separate from the building construction.
- Inspections, adjustments, and minor maintenance.
- Cleaning and painting of building components and equipment.
- Replacing flush valves on plumbing fixtures.
- Replacing bearings and seals on building system mechanical equipment.
- Replacing electrical outlets and switching devices.
- Periodic or routine maintenance work that should be performed by agency staff using operations and maintenance funds.
- Expendable items such as filters, chemicals, lubricants, small parts, tools, light bulbs, and other supplies used in maintenance activities unless an integral component of eligible work.
- Historical restorations and nonessential facility improvements.
- New buildings or building additions.

## **USE OF ALL-AGENCY UTILITY REPAIR/ RENOVATION FUNDING (Z090):**

### **Scope**

Utilities repair/ renovation funding may be used for:

- Repair/ replacement of utility systems components and equipment as needed to maintain services;  
Examples: Typical projects may include repair/ replacement of steam and condensate lines, chilled water lines, primary electric service, universal cabling systems and energy management systems. Maintenance of energy management systems may be split between maintenance and energy conservation funding.
- Heating plants and central distribution systems repairs other than minor routine inspections; repair and replacement of heating plant boiler systems and ancillary systems equipment which provide for reliability and efficiency of plants and distribution systems; and improvements needed for compliance with State and Federal regulations of air emissions, solid wastes, or liquid effluents.  
Examples: Typical projects may include repair/replacement of the following; boiler economizer or superheater tubes; combustion controls/ O<sub>2</sub> analyzers; coal or ash conveyor systems; chimney's or breaching; pumps; turbines; chillers; air compressors; deaerator tank or trays; steam safety valves; large steam or chilled water valves; cooling tower fans or tower sumps; boiler forced or induced draft fans; water treatment systems and piping; dust collector, ash silo, or pollution control equipment; boiler blowdown piping or valves; steam or condensate lines; isolation valves; steam traps or expansion joints.
- Minor utility improvements needed to accommodate program changes.  
Examples: Typical projects may include relocation or extension of existing piping

### **Additional Considerations**

Utility funding may be used on infrastructure serving UW System program revenue supported facilities up to the building exterior wall line, except the electrical service that includes the primary transformer up to the main switch. An annual program revenue assessment is paid in lieu of cost sharing on individual projects.

Expansion of utility distribution systems, power plant heating and cooling capacity are not funded from utility repair and renovation small project funds, and must be requested through the State Building Commission.

## **USE OF HEALTH, SAFETY AND ENVIRONMENTAL PROTECTION FUNDING (Z110):**

### **Scope**

Health, safety, and environmental protection funding may be used to upgrade systems or provide corrective work necessary to bring facilities into compliance with current health and safety codes and environmental regulations.

Examples: Typical projects include fire alarm and detection systems, asbestos abatement, lead and PCB removal, toxic fume ventilation, fire safety code compliance, steam safety devices, hazardous spill cleanups, underground tank removal, etc.

### **Additional Considerations**

The intent of health, safety, and environmental funding is to provide for improvements needed to protect the health and welfare of people and/or the environment. Therefore, projects such as upgrading animal housing spaces or projects to primarily protect buildings would not qualify.

## **USE OF PREVENTIVE MAINTENANCE FUNDING (Z190):**

### **Scope**

Preventive maintenance funding may be used for maintenance of key elements of building and utility systems and components to maximize useful life and increase dependability. Preventive maintenance is intended to avoid future work which is more costly and may have increased risk.

## **USE OF ROAD MAINTENANCE FUNDING (Z240):**

### **Scope**

Utilities repair/ renovation-road maintenance funding may be used for:

- Repair of institution roads, walks, bridges, GPR parking lots and other support facilities/ systems.
- Construction of drainage facilities (culverts, structures, drainage ditches, etc.) in conjunction with the road repairs or reconstruction as applicable.

### **Additional Considerations**

Road maintenance projects costing up to \$600,000 may be requested through the small projects program. Road projects over this amount must be requested through the State Building Commission. Expansions of existing roadways, walks, parking lots, etc. are not funded from road maintenance funds, and must be requested through the State Building Commission.

## **USE OF FACILITIES REPAIR/ROOFING FUNDING (Z260):**

### **Scope**

Facilities repair/roofing funding may be used for the repair or replacement of existing GPR roofing systems as determined necessary and appropriate by DFD.

### **Additional Considerations**

Roofing repair/replacement projects costing up to \$600,000 may be requested through the small projects program. Roofing systems will not be replaced for reasons other than imminent failure. Existing failed or failing systems may be replaced by alternative systems if deemed to be in the best interests of the State and approved by DFD. Replacement of insulation, flashings, counter flashings, etc. is considered part of the roofing system. Energy Conservation Funding should be used to fund additional insulation for the purpose of improving the thermal barrier.

## **REQUEST/ APPROVAL PROCEDURES**

### **PROJECT REQUESTS:**

Requests should be submitted electronically to DFD via WisBuild either through agency central offices or directly from the campuses or institutions. Roof replacement projects and road maintenance/repair, where indicated by the nature or complexity of the work, may also be initiated by the DFD project manager on behalf of the agency.

A Small Projects Coordinator should be designated at each agency or institution where small project requests are originated to facilitate submittal of requests and to coordinate the work with agency 6-year plan, program, and other planned projects. All required internal approvals should be obtained prior to the Small Projects Coordinator submitting the request to DFD or to the agency's central office.

Each individual project must have an Agency Contact person assigned who will be the primary source of contact for the project. The Contact person should be fully conversant about the project and be authorized to act on behalf of the Institution(s) requesting the project.

Agencies/institutions are encouraged to proactively coordinate with the DFD project managers assigned to the various institutions when defining a project scope and budget. This will aid in developing an appropriate project scope of work description, budget and schedule as well as aid in the request processing.

Project requests may be submitted as needs occur. However, agencies are encouraged to plan ahead and prioritize projects by degree of need or importance

### **Project Schedules**

The requesting agency is to enter a project schedule for all applicable phases of the project that allows adequate but not excessive time for accomplishment of the work. The schedule is to reflect, to the best of the requestors knowledge, the anticipated dates as provided for in the Wisbuild screen. The project "Final Completion" date is to reflect that date when all job site related construction work and equipment installation is complete whether furnished by the contractors or the agency.

### **Attachments**

Immediately following the "Submit" entry, is a screen which will accommodate the attachment of electronic files. These may be digital pictures, scanned images, Word or Excel documents, etc. in .doc, .xls, .jpeg/.jpg, .gif, .bmp, .csu, .dwf, or .pdf formats. Prior to attaching the documents must be previously saved on an accessible drive in the computer being used to enter the request. Requestors are encouraged to attach any documentation, which further clarifies the nature or concerns of the request being submitted.

Once the request screens are completed and submitted, a project number is assigned by the system. A copy may then be printed via the "Project Overview>Submit>View Report" screens **after** submitting the project into the system.

**NOTE: Attempting to obtain a "input screen print" prior to submittal will result in rejection of the request within the program necessitating re-keying the request.**

### **Submittal Criteria**

The following criteria as applicable must be adhered to when submitting a Small Project Request:

#### **Asbestos**

All work shall be done in strict accordance with most recent edition of all applicable federal and state regulations and codes governing asbestos abatement. All work must be done with DHFS certified and DFD approved people. Where conflict exists among rules, laws, regulations or specifications, the most stringent requirement shall apply.

#### **Department of Safety and Professional Services Requirement**

For Projects that are delegated to the Agencies: the Agency is to comply with all applicable sections of the Department of Safety and Professional Services Administrative Code for Plan submittals and Approval.

#### **Record Drawings**

For Projects that are delegated to the Agencies: the Agency will be required to update their record drawings to reflect changes made by this project and make the updated drawings available to DFD on request.

#### **Funds**

In the event that funding becomes available for a project in addition to those amounts or sources identified in the original request, the Agency is to notify the Project Manager who will incorporate them via a budget revision forwarded to DOA Capital Accounting Section Supervisor

All required data entry fields in the WisBuild Small Project Request input” screen must be completed. A detailed budgeted cost must be included. If the project is agency funded, the funding source must be indicated in the appropriate field(s).

### **A/E Consultants**

Agencies are **not authorized** to contract with outside consultants. Architectural or engineering professional services may only be awarded and contracted by DFD as authorized by Wisconsin statutes. Agencies may indicate their preference for a particular firm on the project request form, however, the final determination rests with DFD.

Changes in the scope of A/E consultant services are to be initiated through the responsible DFD Project Manager, reviewed with the agency, and approved by the Project Manager. The consultant, responding to a written DFD Request for Proposal, is to provide a written proposal for the change. Following approval by the Project Manager and agency representative, the change in scope of services and associated contract cost adjustment, if any, will be authorized in writing by the DFD contracting officer.

Consultant planning, study, and facility evaluation Small Projects All-Agency funds generally are not available. However, if A/E consultant services are needed to evaluate a maintenance/ improvement problem, define or develop a scope of work, and/or develop a cost estimate, the agency may submit a Small Project Request utilizing agency funding.

**NOTE: When A/E consultant services are required which may ultimately result in a Design Report and/or project to be submitted to the State Building Commission, the requesting agency must submit a letter of request to the BAE Chief. The letter must state the scope of work, explanation of need, and the agency funding source.**

### **REVIEW / APPROVAL:**

Upon receipt of a Small Project Request by DFD, the Small Projects Program Manager will act on requests based on the information received, review comments received from DFD technical staff, and any additional pertinent considerations. The agency contact person will be informed if additional information is needed, and when necessary, DFD staff will visit the project site.

Recommendations for approval from the PM and other reviewing parties will be considered by the DFD Division Administrator or designee. Where appropriate, these recommendations will be honored.

Approved requests will be simultaneously routed to the following applicable parties' WisBuild In-Basket; Agency Contact person, Agency Approval person, DFD Project Manager, DFD Contract Officer as applicable, DFD Management Services, and DOA Capital Accounting. Denied requests will be returned to the WisBuild In-Basket of the Agency Approval person and the DFD Project Manager.

## **DELEGATED AUTHORITY**

### **GENERAL:**

Delegation of separate design, bidding, contracting, and on-site construction supervision authorities for small projects is reviewed by DFD on a case by case basis. Consideration is given to the project scope, agencies staff capability, workload, backlog of approved requests, prior performance, etc. Delegation authorization is accomplished via the DFD Request for Small Project Approval form.

### **DELEGATED DESIGN AUTHORITY:**

To qualify for delegation of any authority, the agency must provide evidence it has the staff and necessary expertise to provide the required services and complete the project in a reasonable time. DFD will determine delegation authority on an individual project basis.

Delegated design is subject to the DFD Design Standards and DFD Policy and Procedures Manual. Changes to the original scope of work as defined in the Small Project Request, which may affect the

project cost, must be approved by the DFD Project Manager **prior** to implementation. Contract/bid documents must be reviewed and approved by DFD prior to bidding for projects over \$50,000, where

Department of Safety and Professional Services review is required, where DHFS review is indicated, if the accessible path of egress is impacted (ADA), or as may otherwise be required by the Project Manager. Hard copies of the contract/bid documents are to be provided to DFD for review as required by the Project Manager. Hard copies of the final contract/bid documents shall be provided to the DFD Project Manager as required. Record drawings are to be generated following the completion of projects which alter building components or building systems. The agency shall submit record drawings as required by the DFD Policy and Procedures Manual.

### **DELEGATED BIDDING AUTHORITY:**

Bidding Authority may be delegated separately or in conjunction with other authorities. DFD delegation of Bidding Authority is dependent upon the nature and complexity of the work; the quantity of anticipated prime contracts, value per contract, and the construction contracting abilities of the agency. If delegation is approved, the agency will be responsible for bidding in accordance with applicable administrative rules, State Building Commission policies and procedures, and DFD standards.

The Standard Bidding Procedures, Chapter 21 of the Wisconsin Administrative Code, should generally be followed unless in consultation with the DFD Project Manager it is determined the "Simplified Procedures for Solicited Bid Projects" would be appropriate. Simplified Bidding Procedures may be used for projects costing less than \$600,000 where applicable. Refer to the DFD Website for the "Simplified Procedures for Solicited Bid Projects".

### **DELEGATED CONTRACTING AUTHORITY:**

A summary of laws, administrative rules, and dollar thresholds impacting on the delegation of contracting authority is provided in the **DFD DOLLAR THRESHOLD VALUES FOR CONTRACTING AND BIDDING**.

Delegated projects under \$100,000 may be implemented by construction contract or purchase order, dependent on the nature of the work. Purchase orders may only be used when work meets the definition of "Limited Trades" as defined elsewhere in this guide and in the Simplified Bidding Procedures.

When using construction contracts, procedures must comply with the DFD Policy and Procedures Manual which reflects the requirements of Chapter 16, Subchapter V, Engineering, of the Wisconsin Statutes Engineering Law.

When using a purchase order, procedures must comply with the DOA State Procurement Manual which reflects the requirements of Subchapter IV of Chapter 16 of the Wisconsin Statutes Purchasing Law.

Projects with an estimated construction cost of more than \$100,000 are governed by the bidding requirements of s.16.855 Wis. Statutes and Building Commission Policy.

Projects will usually be implemented by construction contracts. By definition, the term "construction" includes all labor and materials used in framing or assembling of component parts in the erection, installation, enlargement, alteration, repair, moving, razing, demolition, or removal of any appliance, device, equipment, building, structure, or facility. A sample construction contract (DOA - 4504) is available on the DFD web site.

### **DELEGATED CONSTRUCTION SUPERVISION AUTHORITY:**

Construction Supervision Authority when delegated is with the expectation that agency personnel with appropriate knowledge of the construction processes and scope of work will oversee the work. The agency person is acting on behalf of the DFD, and is responsible for verifying the project is constructed in accordance with plans, specifications, and all other applicable criteria. Failure to provide appropriate supervision and enforcement may result in denial of future delegation.

## **AUDIT REVIEW:**

Records and files for fully delegated projects shall be kept by the agency and provided as directed to DFD for an audit review. DFD will conduct audits of agency performance on a cross-section of selected projects and delegated activities. Audits may occur at anytime during or shortly after project completion, and will focus on the following:

- Verification of the need for the project and the suitability of the allocated funding.
- Adequacy of bid documents.
- Procurement/ contracting procedures.
- Minority business involvement.
- Contract administration/ supervision of construction.
- Accounting procedures.
- Compliance with State Building Commission Policies / Procedures and DFD Design / Quality Control Standards.
- Implementation and completion within the project schedule and budget.

A preliminary report of findings will be provided to the agency, including recommendations for corrective action. DFD may recommend cancellation of delegation where serious problems are found. The agency will be given the opportunity to respond to the recommendations, after which a final report and a deadline for corrections will be issued by DFD.

## **CLOSEOUT:**

Delegated projects are generally to be completed and closed out within 12 months of approval, unless DFD approves an extended contract period.

Upon completion, the agency must provide:

- A completed Settlement Certification form for each construction contract
- Small Project Closeout Checklist to the DFD Project Manager.

These forms can also be found at the DFD Small Project Program web site. Any remaining funds as indicated on the Capital Accounting Projects Information System will be reverted proportionately to their sources.

## **NON-DELEGATED AUTHORITY**

### **DFD DESIGN AUTHORITY:**

DFD staff may accomplish project design or under the statutes has authority to contract for A/E design services. That determination is made during the small project review process prior to approval of the request and is indicated on the request/approval form. Subsequent to the Division Administrator project approval, the project manager may not change that determination without approval of the Small Projects Program Manager, Section Chief(s) of applicable disciplines, and the Division Administrator or his approving representative.

A/E consultants may be selected from the A/E Data Record list of consultants provided the consultant has indicated interest in the Small Projects Program and uploaded a fee schedule. A/E consultants not providing the above indication/data must be approved by the Selection Committee prior to proceeding with the fee determination and contract agreement.

Design services performed by an A/E are subject to the DFD Design Standards and DFD Policy and Procedures Manual. The assigned Project Manager is responsible for ensuring Contract/Bid documents are reviewed by appropriate DFD staff, and corrections made prior to bidding. The Project Manager may

elect not to submit documents for DFD internal review on projects which meet the criteria for Simplified Bidding and are processed in that manner, **unless** they fall into one of the following categories:

- Department of Safety and Professional Services review is required;
- DHFS review is indicated;
- The accessible path of egress is impacted (ADA);
- The project incorporates ADA related revisions;
- Building support systems are impacted to the extent that capacity may be compromised and modifications may be required.

Construction oversight requirements are addressed under "DFD Construction Supervision".

Hard copies of the contract/bid documents and construction documents are to be provided to the DFD and Agency for review, reference and record as required by the DFD Project Manager.

Record drawings are to be generated following the completion of construction. The A/E consultant or DFD designer as applicable, shall submit record drawings as outlined in DFD Policy and Procedure Manual for Architects/Engineers and Consultants.

### **BIDDING BY DFD:**

The Standard Bidding Procedures should be followed unless the DFD Project Manager determines the "Simplified Procedures for Solicited Bid Projects" would be appropriate. They may be used as an alternative bidding process for projects costing less than \$600,000. See "Simplified Procedures for Solicited Bid Projects" on the DFD web site.

### **CONTRACTING BY DFD:**

A summary of laws, administrative rules, and dollar thresholds impacting on the delegation of contracting authority is provided in **DFD Dollar Threshold Values for Contracting and Bidding** at the DFD Small Projects Program web site.

When using construction contracts, procedures must comply with the DFD Policy and Procedures Manual which reflects the requirements of Chapter 16, Subchapter V, Engineering, of the Wisconsin Statutes Engineering Law.

When using a purchase order, procedures must comply with the DOA State Procurement Manual which reflects the requirements of subchapter IV of Chapter 16 of the Wisconsin Statutes Purchasing Law.

Projects with an estimated construction cost of more than \$100,000 are governed by the bidding requirements of s.16.855 Wis. Statutes.

Projects will usually be implemented by construction contracts. By definition, the term "construction" includes all labor and materials used in framing or assembling of component parts in the erection, installation, enlargement, alteration, repair, moving, razing, demolition, or removal of any appliance, device, equipment, building, structure, or facility. A sample construction contract (DOA - 4504) is available on the DFD web site.

### **DFD CONSTRUCTION SUPERVISION:**

The DFD Construction Quality Control Section provides construction supervision as applicable to the scope of work. The Section Chief assigns the appropriate Construction Coordinator and Representative for the project location. This does not relieve the A/E consultant from providing the appropriate construction observation effort as may be required by codes or other supervising authorities, or as may be specifically identified in the scope of work / AE services agreement.

Construction supervision of roofing and roadwork projects is provided by the assigned PM who is a specialist in the respective field.



## LIMITED TRADES WORK

“Limited trades” per s16.87(1)(a) is work involving the repair or replacement of existing building equipment or building components in kind, where the work is not dependent upon the design services of an A/E, and does not alter or affect the performance of any building system, structure, exterior walls, roof or exits, or the fire protection or sanitation of the buildings (16.70(7)). Materials or equipment bid under a State Purchasing Bulletin or conforming to the purchasing agencies guidelines and meeting the Limited Trades definition may utilize a Purchaser Order. Work not meeting the Limited Trades definition with project costs less than \$30,000 but meeting the agencies purchasing criteria may also utilize a purchase order. Construction projects not meeting the Limited Trades definition and \$10,000 or more will require a construction contract.

## MINORITY PARTICIPATION

In the interest of promoting minority business enterprise (MBE) participation in the bid solicitation process, at least one MBE firm shall be solicited for each project provided such MBE firm is located within a 60 mile radius of the project. For assistance in identifying MBE firms, contact the Department of Administration’s State of Wisconsin Supplier Diversity Program. Bid solicitations and contracts with MBE firms shall be indicated on the Small Project Closeout Checklist form.

## DFD ASSISTANCE/SUPPORT

DFD staff specialists are available to assist with the identification and resolution of problems and the implementation of corrective work. The DFD Contact List which provides names and phone numbers of persons in DFD and their specialties is available on the DFD website.

When problems are encountered that require advice and guidance, they may be contacted directly.

From time to time training opportunities in managing delegated projects, developing special maintenance skills, etc. will be offered by DFD. Notices will be given to alert the agencies to such opportunities. Training of agency maintenance staff may be accomplished via a Special Needs Project when approved by DFD.

## FEE GUIDE FOR DELEGATED & NON-DELEGATED PROJECTS

### GENERAL:

This document addresses the fee structure established under the Small Projects Program as applied to Delegated and Non-delegated projects. Determination of the allowable fee(s) and the application to a specific project is determined by DFD. The following criteria constitute the primary basis for fee determination / authorization:

- Delegated vs. Non-delegated authorities
- Funding source(s)
- Scope of Work / Services
- Estimated / bid construction cost

Questions regarding the application of design fees should be directed to the DFD Small Projects Program Manager.

### FEE GUIDELINES:

#### **Delegated Project Authorities**

Generally, All-Agency fees will not be authorized to fund design services provided by the requesting agency. Unique circumstances presented in writing by the requesting agency to the DFD Division Administrator if found justifiable may be given a limited written exception authorization. When exceptions

are made, the fee shall not exceed 8%-10% of the actual construction costs, i.e. material and labor costs, excluding agency FTE provided labor. Additionally the following criteria applies:

- No fees will be allowed for agencies with GPR funded design staffs. Fees will only be considered for agencies whose design and supervision staff is partially funded from fees generated. Substantiation of funding status must be provided to DFD
- Fees may only be allowed on projects implemented by construction contract. No fee will be provided for purchase of materials or limited trades work implemented by purchase order.
- A DFD management fee will be assessed against each delegated project.

### **Non-delegated Project Authorities**

Projects for which DFD retains any of the design, bidding, contracting, or construction supervision authorities a 4% management fee will be assessed against the project. The 4% fee is assessed against the total of Line 3, construction costs plus contingency, with a minimum fee of \$500.

Projects for which the scope of work is “design only” will be assessed a 2% management fee. The 2% fee is assessed against the total of Line 1, design fee, with a minimum fee of \$500. In the event such a project goes to construction, a 4% fee would be assessed and adjusted by the \$500 previous fee amount. If a “design only” project requires additional review, input and direction from DFD staff, a design fee will be assessed as required on a per-project basis.

### **Architect/Engineering (A/E) and Consultant Services**

DFD has sole authority to contract with outside A/E consultants irrespective of the funding source. All contracts for outside design and supervision services are initiated and administered by DFD. A/E consultant fees are charged to the project. The requested project budget should reflect estimated A/E fees for the services to be provided based upon the scope of work, nature of the work, project location, etc. . For additional information regarding Architect/Engineer Services, refer to the Policy and Procedure Manual for Architects/Engineers and Consultants.

## **RELATED DOCUMENTS**

The following additional documents are provided for reference and to assist with management of small projects:

- Wisconsin State Statute 13.48(10), 13.48(29) & 16.855
- State of Wisconsin Building Commission – Policy and Procedures Manual
- DFD Policy and Procedure Manual for Architects/Engineers and Consultants
- Simplified Procedures for Solicited Bid Projects Template
- Wisconsin Department of Administration - Division of Facilities Development Website

## **APPENDIX DOCUMENTS**

- Appendix A - Small Project Closeout Check List
- Appendix B - Dollar Threshold Values for Contracting and Bidding
- Appendix C - Funding Guidelines for Specific Types of Work
- Appendix D - Simplified Procedures for Solicited Bid Projects – Guidelines

**GUIDELINES FOR THE SMALL PROJECTS PROGRAM**

**APPENDIX A**

**Small Project Closeout Check List**



## Small Project Closeout Check List

Guidelines for the Small Projects Program – Appendix A

The Agency Project Coordinator is required to submit the completed check list via a WisBuild Helpdesk Ticket (Contract/ Administrative Request) upon project completion of all delegated small projects.

Agency: \_\_\_\_\_ Institution: \_\_\_\_\_

Project Number: \_\_\_\_\_ Project Name: \_\_\_\_\_

	<u>Action Description</u>		N/A	Done
• Contract documents completed			<input type="checkbox"/>	<input type="checkbox"/>
• Public bidding / solicitation accomplished			<input type="checkbox"/>	<input type="checkbox"/>
• Contract Award(s)			<input type="checkbox"/>	<input type="checkbox"/>
• _____		\$		
• _____		\$		
• _____		\$		
• _____		\$		
• MBE solicitation / contract award			<input type="checkbox"/>	<input type="checkbox"/>
• _____		\$		
• _____		\$		
• _____		\$		
• Punch List / Substantial Completion			<input type="checkbox"/>	<input type="checkbox"/>
• Project 100% complete - punch list items complete			<input type="checkbox"/>	<input type="checkbox"/>
• As-built / Record Drawings completed			<input type="checkbox"/>	<input type="checkbox"/>
• Settlement Certification form(s) completed and received			<input type="checkbox"/>	<input type="checkbox"/>
• All encumbrances / invoices satisfied			<input type="checkbox"/>	<input type="checkbox"/>
• Maintenance Manuals			<input type="checkbox"/>	<input type="checkbox"/>

LINE #	BUDGET	EXPENDED	ENCUMBRANCES and Contracts	BALANCE
2				
3				
4				
<b>TOTAL</b>				

Agency Project Coordinator: \_\_\_\_\_ Date: \_\_\_\_\_  
 (Signature)

# **GUIDELINES FOR THE SMALL PROJECTS PROGRAM**

## **APPENDIX B**

### **Dollar Threshold Values for Contracting and Bidding**

# DFD DOLLAR THRESHOLD VALUES FOR CONTRACTING AND BIDDING

## Guidelines for the Small Projects Program – Appendix B

Rev. November 11, 2013

The following guide is intended to provide a summarized overview of funding limits for contracting and bidding. For a comprehensive outline of all funding thresholds and limits, refer to WI State Statutes, SBC Policy, the *DFD Policy and Procedure Manual for A/Es and Guidelines for the Small Projects Program*.

### **Project Budget \$0: ARCHITECTURAL & ENGINEERING CONSULTANTS**

- DFD shall take charge of and supervise all architectural and engineering services performed by or for the state.
- State agencies are not authorized to solicit or hire A/E consultants.
- All A/E consulting services are to be authorized and executed under an approved DFD project, including A/E On-Call services.

### **Project Budget Under \$5,000**

- DFD will not entertain construction projects with a dollar value less than \$5,000 for submittal as a Small or Capital project request per DFD policy.
- Contracting for construction may be accomplished by agency under a written proposal from the contractor. The proposal shall summarize the scope of work, cost and be acknowledged by the agency project manager in advance of the work. A formal contract is not required, and direct payments may be made based upon vendor's invoice and approval of the agency project manager.

### **Project Budget over \$5,000 & up to \$50,000: Small Project**

- Bidding may be accomplished by soliciting bids or proposals from at least 3 separate contractors in the local area, without formal public advertising. Publically bidding through Simplified Bidding Procedures may also be used where a formal bidding process is desirable. The project manager shall determine method used.
- If appropriate, projects may be delegated back to submitted agency. If delegation is desired, agency should request delegation when submitting small project for approval.
- If A/E services are required, DFD contracts and manages A/E throughout project.

### **Project Budget over \$100,000 & up to \$600,000: Small Project**

- All project work to be publically bid through the Simplified Bidding Procedures.
- Funding limit for Small Projects. Any projects which exceed small project funding limit must have State Building Commission approval. Any proposed budget increases, which causes project budget to exceed small project limit, will require State Building Commission approval.

### **\$100,000 & Greater: Construction Contracts**

- A Performance Bond is required for all construction contracts of \$100,000 and greater.

### **\$600,000 & Greater: Construction Contracts**

- The Governor must approve all contracts and change orders greater than this amount.

# **GUIDELINES FOR THE SMALL PROJECTS PROGRAM**

## **APPENDIX C**

### **Funding Guidelines for Specific Types of Work**

# FUNDING GUIDELINES FOR SPECIFIC TYPES OF WORK

## Guidelines for the Small Projects Program – Appendix C

Rev. November 11, 2013

This document is intended to aid facility managers to identify specific work and projects that will be funded under the SMALL PROJECTS PROGRAM.

Each guideline includes a general definition of the scope of work, examples of acceptable types of projects, identification of preventive maintenance activities which will be funded, and funding priorities. These guidelines will be revised when needed to reflect current facility management problems and priorities.

To contact DFD staff in regard to specific section, refer to DFD CONTACT LIST BY SPECIALTY, available on DFD website.

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### **Scope of Qualified Work:**

Repairs other than minor routine inspections, calibrations, or lubrication of power plant boiler systems and ancillary systems equipment, which provide for reliability and efficiency of the central plants and distribution systems, and/or which affect the plant compliance with State and Federal regulations of air emissions, solid wastes, or liquid effluents.

### **Typical Projects:**

- Boiler, economizer, or superheater tube repairs.
- Combustion controls/ O<sub>2</sub> analyzers repairs.
- Coal or ash conveyor systems repairs.
- Chimney or breeching externals or internal repairs.
- Pump rebuilds or replacements where required.
- Breakdown/ overhauls for turbines, chillers, or air compressor.
- Deaerator tank or trays repairs.
- Steam safety valve rebuilds/replacements.
- Large valves--steam or chilled water repairs/replacements.
- Cooling tower fans or tower sump repairs.
- Breakdowns of boiler forced or induced draft fans repairs.
- Water treatment systems and piping repairs.
- Dust collector, ash silo, or pollution control equipment repairs.
- Boiler blowdown piping or valves repairs.
- In-plant Steam or condensate line repairs or replacements.
- Isolation valve repairs.
- Steam traps or expansion joints replacements.
- New or repairs to underground steam, condensate, chilled water and air piping distribution systems.
- Steam, condensate or chilled water metering.

### **Qualified Preventive Maintenance:**

- Heat exchanger tube eddy current leak testing/repair statewide.
- Steam turbine (>50HP), electric generators (>100KW), and chillers (>500 TONS) inspections, as called for by equipment manufacturer recommendations or other source.
- Required stack testing and urgent plant equipment repairs may also be funded from a small project.

### **Determination of Priorities (ranked in following order):**

- Those projects which directly impact safety and/or capability of plant to produce steam, electricity, compressed air, hot water, domestic water, or chilled water.
- Those projects which impact the plant's capability to comply with DNR/EPA air emissions, water effluent, or solid waste disposal regulations.
- Those central plant projects which relate to saving energy by reason of making the repairs requested.

### **Scope of Qualified Work:**

Replacements or repairs other than routine inspections, maintenance or cleaning of chillers, refrigeration and ancillary equipment. Work that is required for code compliance, energy conservation guidelines and EPA regulations.

### **Typical Projects:**

- Major equipment replacements (compressors) due to failures.
- Compressor motor drivers
- Heat exchanger repair/replacement
- Control modifications
- Cooling towers
- Refrigerant leak detection systems

### **Qualified Preventive Maintenance:**

- Heat exchanger eddy current tube testing/repair
- Chillers and refrigeration equipment major inspections as specified by equipment manufacturer

### **Determination of Priorities (ranked in following order):**

- Emergency repair due to catastrophic failure
- Health and safety issues
- Code violation or EPA regulations
- Projects which impact ability to provide chilled water/refrigeration service
- Energy related

**Scope of Qualified Work:**

Includes repairs and replacements needed to maintain plumbing/ fire protection systems and site utilities and services in serviceable and code complying condition.

**Work Included:**

- Major Equipment Replacements Due To Failure:
  - Steam to Hot Water Heaters
  - High Output Water Heaters
  - Industrial Water Softeners
  - Pool Equipment
  - Pressure Booster Systems
- Major Piping Replacements Due To Failure:
  - Gas/ Sewer/ Site Water
  - Interior Galvanized Steel to Copper Water Supply Piping
- Site Services Upgrade Due To Failure:
  - Well Systems
  - Septic Systems
- Other: Filtration, chlorination, brine reclamation or other equipment needed to improve water quality or keep discharge effluent within limits of disposal operating permit.

**Work Excluded:**

- Minor Equipment Repairs / Replacements:
  - Conventional Water Heaters
  - Residential/Commercial Water Softeners
  - Plumbing Fixtures, Localized Plumbing Fixture Piping
  - Pump Replacements (Recirculating)
- Other:
  - Minor piping repair/replacement in buildings
  - Localized Water, Sewer, Gas In Building
  - Water Treatment Chemicals, Filters

**Qualified Preventive Maintenance:**

- Cleaning and TV inspection of sewer lines when approved by DFD on case by case basis, and urgent maintenance/ repairs to site utilities and services may also be funded from a small project.

**Determination of Priorities (ranked in following order):**

- Emergency Repair Due To Catastrophic Failure.
- Repairs To Correct Immediately Hazardous and Non-Code Complying Conditions.
- Repairs Required By Code Citation.
- General System Failures.
- Revisions Required By Facility Program Changes Or Use Changes.

### **Scope of Qualified Work:**

Repair or replacement of antiquated or obsolete equipment for which replacement parts are no longer available. Upgrading systems for energy conservation considerations where required payback can be achieved.

### **Typical Projects:**

- Major equipment replacement due to failure.
- Replacement of antiquated or obsolete equipment for which replacement parts are no longer available.
- Cleaning and repairing or replacing pneumatic control system with oil or water entrainment failures.
- Additions or modifications to Direct Digital Control (DDC) systems and/or Building Automation Systems (BAS) with proprietary equipment and software.
- Projects providing energy conservation
- Major system calibration and upgrading for systems with marginal performance requiring more than routine seasonal calibration and maintenance.

### **Qualified Preventive Maintenance:**

- Training of agency staff may be funded from a small project where judged appropriate by DFD.

### **Work Excluded:**

- Building Automation System (BAS) software revision upgrades and computer hardware upgrades are the responsibility of the agency. These are short term items that procurement rules do not allow bonded money to finance. It is strongly encouraged that the agencies maintain the current BAS software revisions and computers up to date.

### **Determination of Priorities (ranked in following order):**

- Emergency repair due to catastrophic failures.
- Repairs to correct hazardous conditions.
- Repairs or calibration required by code citation.
- Maintenance or equipment upgrade.

**Scope of Qualified Work:**

Repairs or replacements other than routine inspections, cleaning, calibration or lubrication of HVAC equipment. Work that is required for code compliance and work meeting energy conservation guidelines.

**Typical Projects:**

- Major equipment or piping replacement due to failure.
- Upgrade or replacement of systems to meet code.
- Process exhaust system or industrial ventilation deficiencies.
- Upgrade or replacement systems for energy conservation considerations where required payback can be achieved:
  - Providing energy efficient control dampers
  - System or equipment changes
  - Heat Reclaim

**Qualified Preventive Maintenance:**

- Preventive maintenance to be funded by agency.

**Work Excluded:**

- Purchase and/or install of filters, belts and other expendables
- Duct Cleaning
- Testing and balancing that is not directly associated with construction same small project.

**Determination of Priorities (ranked in following order):**

- Emergency repair due to catastrophic failure.
- Repairs to correct hazardous conditions.
- Repairs required by code citation.

### **Scope of Qualified Work:**

Includes testing and maintenance of primary (high voltage) electrical distribution systems, repair or replacement of secondary distribution and emergency generation equipment, and replacement of incandescent, obsolete or inefficient lighting systems where appropriate. Funding will not be provided for predictable routine items typically handled by maintenance staff.

### **Typical Projects:**

- Replacement of obsolete electrical distribution panels for which replacement parts are no longer available.
- Rewiring of secondary distribution systems where deteriorated wiring presents a safety hazard.
- Modifying electrical systems to comply with state electrical codes where code violations are found.
- Emergency replacement of failed components needed to restore service in the event of power outages.
- Replacement of energy inefficient lighting fixtures or lamps with energy efficient units meeting payback criteria.
- Replacement of deteriorated and unsafe lighting standards along walkways, roadways, or parking lots.

### **Qualified Preventive Maintenance:**

- Testing of primary voltage (4,160 volts and above) systems and equipment when determined by DFD to be necessary.
- Periodic maintenance of primary voltage switch gear.
- Urgent electrical system maintenance/ repairs may be funded from a small project.

### **Determination of Priorities (ranked in following order):**

- Health & Safety Hazards
- Compliance with NEC and other applicable codes
- Replacement of obsolete equipment.
- Modifications to distribution system to improve operational continuity or redundancy.
- Energy Savings

### **Scope of Qualified Work:**

Security Systems: Upgrade or corrective work to an existing system which no longer operate or meet current function requirements, or where cost of repairs are high and parts are not readily available. High incidence of nuisance alarms due to the technology used at the time of original installation shall be considered.

Telecommunication Systems: Corrective work where code violations exist, where susceptibility to EMI lightning damage is high as demonstrated by loss history, where systems no longer operate properly or meet current standards, or where cost of repairs is high and parts are not readily available.

### **Typical Projects:**

- Security Systems: Upgrade or replacement of door control, video surveillance, perimeter detection, access control, intercom and intrusion detection system equipment. Typically, replacement of existing field devices such as individual cameras, speakers, or access control stations should be funded by agency.
- Telecommunication Systems: Replacement of non-code complying cabling systems (fire rating, smoke rating), correction of shared conduit systems (high voltage with communications lines) when necessary to comply with code, replacement of telephone, video surveillance or intercom systems that are beyond their service life and no longer manufacturer-supported.

### **Qualified Preventive Maintenance:**

- Preventive maintenance and service contracts to be funded by agency.
- Urgent alarm system repairs may be funded from a Small project.

### **Determination of Priorities (ranked in following order):**

- Life Safety Systems: Personal safety call systems, Lightning protection and other protective systems where personnel safety is of concern.
- Prison security systems and security protection of vaults where firearms or munitions are stored. Perimeter security systems.
- Property Protection: Heat detection in storage areas, lightning protection on telecommunications lines, access control, video surveillance systems.
- Property protection by lightning deterrence.

### **Scope of Qualified Work:**

Fire Alarm Systems: Corrective work where systems no longer comply with State, National Electrical Code or Federal code requirements, are no longer dependable, or where maintenance costs are high and parts are difficult to locate.

### **Typical Projects:**

- Fire Alarm Systems: Replacement of box coded and A/C signal systems. Replacement of mechanical relay coded panel systems. Replacement of systems beyond useful age or where parts are not available to keep operational.

### **Qualified Preventive Maintenance:**

- Preventive maintenance and service contracts to be funded by agency.

### **Determination of Priorities (ranked in following order):**

- Replacement or repair of non-operating systems.
- Replacement of obsolete systems such as box coded or 120 VAC operating systems.
- Adding to or modifying functioning systems to comply with change in codes.



### **Scope of Qualified Work:**

Energy Conservation work meeting the payback criteria published in the Division's "Guidelines for Energy Performance Contracting" will be considered. Small energy conservation project requests must include payback calculations as an uploaded attachment.

### **Typical Small Energy Conservation Projects:**

- Reducing energy consumption by converting to higher efficiency lighting, lamp ballasts, occupancy sensor control, other lighting controls.
- Reducing utility cost by converting from electric to less costly gas fired kitchen and laundry equipment, hot water heaters, boilers, etc.
- Reducing utility cost by converting to low flow plumbing fixtures, adding faucet flow restrictor aerators, adding flow restricting shower heads, etc.
- Reducing ventilation loads by reducing exhaust and associated outside air (within code required levels), reducing number of lab fume hoods, adding lab fume hood exhaust reduction controls, adding demand controlled ventilation controls, adding heat recovery, modifying economizer controls, etc.
- Reducing energy consumption by converting constant volume fan and pump systems to variable volume.
- Capturing and reusing energy by exhaust heat recovery systems, flue gas recovery, refrigeration condensing systems, heat reclaim chiller, etc.
- Reducing energy consumption by decreasing building infiltration.
- For further energy conservation opportunities, reference the Division's "Energy Cost Reduction Plan – Energy Conservation Opportunities Form".

Note: Energy conservation obtained by building automation scheduling changes or similar adjustments to existing systems is the facility's responsibility and will not be considered.

### **Determination of Priorities:**

- Priority will be given to energy conservation projects with the shortest payback period as funding permits.

### **Scope of Qualified Work:**

Underground Tanks: Remedial work or tank replacements needed to comply with the federal EPA requirements for underground fuel storage tanks and the new Wis. Admin. Code SPS Chapter 310. Flammable, Combustible, and Hazardous Liquids.

Elevator/hoist hydraulic cylinders: Site investigation and remediation associated with leakage from hydraulic fluid cylinders as required by DNR code.

Spill Cleanup: Environmental consulting services and cleanup measures associated with fuel spills from leaking underground tanks and other sources of soil and groundwater contamination as required by DNR or other code authorities.

RCRA-associated TSDFs: Environmental consulting services and hazardous waste contractor services associated with compliance upgrade or de-commissioning of permitted RCRA facilities.

Site Assessments: Environmental consulting services associated with performing Phase I and Phase II site assessments in conjunction with property evaluations or transactions.

Storm Water Discharge: Construction of containment and/or conveyance facilities and other needed improvements for facilities impacted by Wisconsin Discharge Control Program.

Spill Prevention, Control, and Countermeasure (SPCC) Plans: Environmental consulting services associated with the preparation and updating of SPCC plans and training modules, in accordance with EPA regulations in CFR 40 Part 112.

### **Typical Projects:**

- Integrity testing of underground fuel tanks that will continue in service, and removal or closure of tanks with a confirmed leak and tanks no longer in service.
- Testing, excavation, and disposal/treatment of contaminated soils from a leaking underground or other source of contamination such as a prior on-site disposal pit. Treatment methods may include application of biotechnology, soil vapor extraction, or other alternative decontamination techniques.
- Installation of monitoring and/or extraction wells; installation and operation of pumping equipment; removal of contaminants from groundwater.
- Replacement or upgrade of underground storage tanks, piping, and leak detection and fuel dispensing equipment when replacement/upgrade is required for regulatory compliance.
- Closure of RCRA hazardous waste storage facilities, landfills, treatment tanks, or incinerators.
- Construction of material storage facilities to prevent exposure of storm water to hazardous substances to the environment.
- Construction/repair of curbs, culverts, gutters, sewers, retention ponds, secondary containment, etc., needed to control and minimize contamination of storm water runoff from facility operations or upgradient sources of pollutants.

### **Qualified Preventive Maintenance:**

- Preventive maintenance to be funded by agency.
- Emergency spill responses may be funded from a small project.

**Determination of Priorities:**

- Priority will be given to environmental contamination problems which present an imminent threat to groundwater resources or human health.
- Priorities for underground tank compliance work will be based on the age groups and compliance deadlines given in the federal EPA guidelines and SPS Chapter 310. Regardless of age, tanks with known leaks will receive top priority.

**Scope of Qualified Work:**

Asbestos abatement is required where there is a demonstrated risk to employees and the public. Typically, projects must be evaluated on a case by case basis using this guide for arriving at appropriate response. Many asbestos projects are necessitated by other work involving mechanical changes, remodeling and other building changes and should be funded by the corresponding assigned project funds.

**Types of asbestos containing materials (ACM):**

- Surface ACM:
  - Spray-on material / Fire Proofing
  - Troweled on material / Acoustical Plaster
- Thermal System ACM:
  - Covering on pipes, fittings, boilers, tanks and other mechanical systems
- Miscellaneous ACM:
  - Floor tile, mastics, ceiling tile, transite product (siding, panels, pipe)

**Work Included:**

- Surface ACM that is damaged or has potential for damage.
- Thermal ACM that is damaged or where maintenance persons have regular contact.
- Miscellaneous ACM that is damaged and poses a health threat.

**Work Excluded:**

- Where ACM is undamaged, not accessible and where it creates no health hazard.
- Development of management plan and follow up inspections except where required by law.

**Qualified Preventive Maintenance:**

- Preventive maintenance to be funded by agency.

**Determination of Priorities (ranked in following order):**

- Emergency abatement due to catastrophic failure.
- Abatement required to correct hazardous health conditions.
- Abatement required to correct violations and code citations.

### **Scope of Qualified Work:**

Funding will be provided for testing, cleanup, disposal, and in some cases, replacement of PCB equipment containing PCB fluids with a contamination level of 51 parts per million (PPM) or greater to comply with EPA and DNR regulations. Funding will not be provided for replacement of PCB equipment used directly for academic or research purposes, or for fluids or equipment contaminated at levels less than 51 PPM. Most electrical PCB or PCB contaminated equipment has already been identified and disposed. Check with DFD staff specialist to determine if the equipment is already listed for disposal under an existing project.

### **Typical Projects:**

- Fluid or surface PCB contamination testing by a qualified laboratory or testing company.
- Removal and disposal of PCB or PCB contaminated fluids, equipment or other material by a DNR permitted Full Service PCB disposal contractor.
- Restoration of the surface removed for disposal.
- Replacement of selected PCB or PCB contaminated equipment if the equipment is in service or spare status at the time of disposal.
- Reclassification to a lower classification of selected equipment. Note: This will have limited application as DFD policy is generally to dispose of PCB equipment contaminated at 51 PPM or above.

### **Qualified Preventive Maintenance:**

- Preventive maintenance to be funded by agency.

### **Determination of Priorities (ranked in following order):**

- Direct or imminent threat to the environment or human health.
- EPA or DNR required deadlines.
- Equipment contaminated to a level greater than 500 PPM and with a secondary voltage 480 volts or greater.
- Equipment contaminated to a level greater than 500 PPM and with a secondary voltage less than 480 volts.
- Equipment contaminated to a level less than 501 PPM.

## **ROOFING MAINTENANCE**

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Guideline No. 13

### **Scope of Qualified Work:**

**Roof Repair:** The repair of selected, isolated portions of the roof system necessary to maintain a watertight condition. Repairs may involve the removal of wet materials along with correction of the original cause of the problem.

**Roof Replacement:** The removal of all roof system components down to the structural roof deck followed by installation of a completely new roofing system.

DFD roofing specialist should be consulted on all roofing projects, and DFD minimum roofing design guidelines shall be followed.

### **Qualified Preventative Maintenance:**

- Preventive maintenance/ repair projects on roofing costing less than \$5,000 may be implemented by purchase order and is funded through a small project managed by the DFD specialist. Contact DFD specialist for more information regarding the preventive maintenance program.
- Determination of Priorities:
  - Repairs shall be given highest priority.
  - Replacement projects will be prioritized by the DFD specialist.
  - If it can be documented that repairs will not put the roof back in serviceable condition, total roof replacement projects will be funded. Project requests involving replacement must have a DFD Roof Specialist's report attached.

### **Funding:**

- Projects for roofing repair or maintenance are implemented through the Small Projects Program where appropriate. Program Revenue buildings will be funded using program revenue funds and split funding will be evaluated on a per case basis for combination PR/GPR buildings.

### **Scope of Qualified Work:**

Includes maintenance/ repairs and needed investigations by an A/E or specialty consultant to maintain masonry, building structure, and related elements (ie entrance steps, loading dock components, etc) in a safe and water tight condition in accordance with the priorities listed below. Maintenance of the exterior envelope/ building structure is a high priority use of small project funds.

### **Qualified Preventive Maintenance:**

- Urgent maintenance/ repairs on masonry may be completed through a small project.
- Highest priority for preventive maintenance will be given to projects where a small expenditure now will prevent a high future repair cost, or where structural integrity must be maintained.

### **Determination of Priorities (ranked in the following order):**

- **Structural or Safety Concern:** Potential structural collapse and/or danger of masonry or appurtenances falling from the building. Repairs will typically be funded, and contact DFD if emergency measures if necessary.
- **Water Penetration Through The Building Envelope:** Damage to contents, equipment, interior finishes, and/or the wall envelope from water penetration. Repairs will usually be funded whenever maintenance dollars are available for use.
- **Water Penetration Into the Building Envelope:** Potential rapid deterioration of the wall envelope from water penetration without leakage into the building. Repairs will typically be funded after a priority comparison with other specialty items of work, but may be temporarily deferred if sufficient funds are not currently available.
- **Excessive Energy Consumption or Loss of Comfort:** Excessive heat loss/gain, air leakage, sound transmission and/or cold walls. Repairs may be funded from small project funds where appropriate.
- **General Deterioration, Adverse Appearance and Nuisances:** Age deterioration, graffiti or pollution remnants and insect invasion. Repairs may be funded from small project funds where appropriate.

### **Scope of Qualified Work:**

Maintenance/ repairs needed to correct problems related to protecting the envelope and extending the useful life of the building. Projects should be limited to work which is beyond the capability of ordinary maintenance procedures, requiring special tools or construction trades to correct. The work is necessary to protect the building and extend its useful life.

### **Work Included:**

- Repair or replace any exterior wall component which is a structural or safety concern or allows water penetration, including needed survey or study by A/E.
- Repair or replace rotted or rusted windows, rain gutters/ downspouts, or other cladding components.
- Recaulk or replace sealants.
- Replace deteriorated exterior doors and worn hardware.
- Repair/ replace building hardware including new cylinders as determined by DFD on a case by case basis.
- Paint exterior metals or other exterior surfaces where difficult to access or as determined necessary by DFD.
- Replace wall cladding when supported by LCC over useful life of replacement.

### **Work Excluded:**

- Replacing windows which can be repaired, painting windows, or replacing hardware when parts are still available.
- Replacing any exterior system, assembly or component that ordinary maintenance can correct.
- Changing existing openings to meet a new program requirement or replacing doors because they do not meet current code except required fire separations not caused by a use change, or providing handicapped access.
- Replacing cladding because it is dirty, unsightly or colors don't match.

### **Qualified Preventive Maintenance:**

- Preventive maintenance work to be funded by agency.
- Smaller urgent building envelope maintenance/ repairs may be funded from a small project.



### **Scope of Qualified Work:**

Repair and replacement work over and above that provided by a service contract needed to maintain elevators in a serviceable and code complying condition.

### **Typical Projects:**

- Modify control panels to comply with handicap accessibility codes.
- Installation of "Firemans Service".
- Replacement of ropes, brakes, rail guides, and/or rails.
- Replacement or recondition door operating systems including hangers, closers, locks, gibs, and door safety edges and light rays. (Generally will not be considered unless system is 20 years old).
- Replacement of elevator control system. (Generally will not be considered unless 25 years old).
- Replacement or reconditioning of drive machine or piston.

### **Qualified Preventive Maintenance:**

- Preventive maintenance to be funded by the agency either under a service contract or by trained staff. Each elevator should be assigned a level of preventive maintenance service based on use, type of elevator, etc. Service contracts for three levels of service are bid through State Purchasing (lube only, maintenance & repair, complete maintenance).

### **Determination of Project Priorities (ranked in following order):**

- Health & safety hazards and other applicable work required to keep the elevator in safe operating condition.
- Compliance with IBC and Wisconsin Administrative Codes, including handicap accessibility requirements.

### **Scope of Qualified Work:**

Alterations to existing facilities needed to provide access to program services and activities as required by the Americans with Disabilities Act (ADA) of the 2010 ADA Standards, and the DFD Accessibility Design Guidelines.

The goal of ADA is that each service, program, or activity, when viewed in its entirety, be readily accessible and usable by individuals with disabilities. Where access can be provided by alternate means or in another facility, it may be considered as an accessible alternative. Therefore, remodeling or structural modifications should only be considered when feasible alternatives do not exist or when primary function spaces are planned to be altered.

Agencies need to perform an evaluation of services, policies and practices as they relate to ADA. Part of this evaluation involved assessing the status of existing facilities and identifying needed remodeling or structural modifications. Cases where no feasible alternatives exist may require structural modifications provided unless such changes would result in an undue administrative or financial burden, or would destroy the historical significance of an historical property. Remodeling or structural modifications for access will be viewed on a case by case basis and implemented on a priority basis as funding becomes available.

### **Work Included:**

- Parking, curb cuts, and ramps needed to provide accessible route from mode of transportation to the accessible building entrance, and alterations needed to provide accessible route between accessible facilities on the same site.
- Accessible entrance, interior ramps, and removal of obstructions to provide an accessible route to program and activity spaces and elements within the facility
- Elevators must be provided when facility modifications to a primary function on non-accessible floors are made for access to program services and activities when no other alternative exists. There is no exemption for state owned facilities. In lieu of an elevator, the program/activity may be made accessible by relocating to another accessible location or by changing policy(i.e. issuing fishing and hunting license by mail).
- Reasonable number of accessible restrooms, accessible telephones, accessible drinking fountains (hi/low), accessible elements such as storage and alarms, and similar accommodations should be provided in existing facilities, to be determined on a case by case basis. As an alternative to renovating men's and women's restrooms for accessibility, a family style toilet room with floor mounted urinal on the primary level of the building could be added to provide accessibility.
- Signage at inaccessible entrances directing users to an accessible one, and other signage needed to identify accessible spaces and elements.

### **Work Excluded:**

- Alterations to existing facilities, except work needed to provide access to program activities where alternatives do not exist. Otherwise, facilities will be upgraded to International Building Code (IBC), Wisconsin Commercial Building Code, American National Standard A117.1 when other future remodeling or facility renovation work is completed.
- Alterations which would alter the fundamental nature of a service, program, or activity, or result in undue financial or administrative burdens.
- Alterations which would threaten or destroy the historic significance of an historic building.

### **Determination of Priorities:**

- Priority will be given to work needed to provide access to program services and activities, when no other alternatives exist.
- Priority will be given to project requests supported by the agency master facility accessible assessment plans.

### **Scope of Qualified Work:**

Includes repairing, resurfacing and/or replacing sports flooring to provide a safe and useable surface and to extend its useful life.

### **Work Included:**

- Sports surfaces failing after the 20th year will be replaced, resurfaced or repaired, assuming the flooring has been properly maintained per manufacturers recommendations.
- Replace, resurface or repair sports surfaces when existing conditions pose a safety hazard or the material is no longer serviceable.
- Since the technology for these types of surfaces has improved significantly in the last 30 years, consideration should be given to materials with improved performance characteristics when replacing entire surfaces. Increased costs for such an improvement will be paid by the agency.

### **Excluded Work:**

- Sports surfaces which are covered by a manufacturers and/or installers guarantee will not be repaired, resurfaced or replaced unless approved by the building commission.
- Entire rooms or areas of sports surfaces will not be replaced if repairs, resurfacing or partial replacement would be an acceptable solution.
- Excludes seating, equipment, backboards, moveable equipment.

### **Funding:**

- DFD will evaluate each project on a case by case basis. Qualified projects for Athletic Facilities for UW Systems Campuses shall be an 85% GSF / 15% PR split on funding, except for UW-Madison. UW-Madison funding split will be determined on a case by case basis.

### **Scope of Qualified Work:**

Includes repairs to tennis courts, running tracks, athletic fields and other outdoor sports surfaces needed to maintain them in a safe and serviceable condition and extend their useful life. Upgrades or improvements to outdoor sports facilities must be funded by the agency.

### **Typical Projects:**

- Crack repairs
- Asphalt/ base patching.
- Asphalt overlays.
- Rubber urethane surface repairs.
- Slurry seals.
- Color system/stripping repairs as part of surface repair.
- Wind screen/fencing repairs.
- Artificial turf repairs not covered by warranty.
- Irrigation system repairs.
- Site Drainage
- Security/ safety fencing.

### **Qualified Preventive Maintenance:**

- Preventive Maintenance is to be funded by the agency.

### **Excluded Work:**

- Sports surfaces which are covered by a manufacturers and/or installers guarantee will not be repaired, resurfaced or replaced unless approved by the building commission.
- Entire sports surfaces will not be replaced if repairs, resurfacing or partial replacement would be an acceptable solution.
- Excludes seating and equipment.

### **Determination of Priorities:**

- Repair of outdoor sports surfaces is a low priority use of All-Agency funding.
- Typical outdoor running track maintenance will cover only 85% of a structural spray for a paved in place urethane track. Cost of maintenance and replacement of full pour for synthetic sheet good running tracks in excess of the above shall be funded by the owner agency.

### **Funding:**

- DFD will evaluate each project on a case by case basis. Qualified projects for Athletic Facilities for UW Systems Campuses shall be an 85% GSFB / 15% PR split on funding, except for UW-Madison. UW-Madison funding split will be determined on a case by case basis.

### **Scope of Qualified Work:**

Includes repairs and replacements needed to maintain institutional walkways, roadways, parking lots, and associated site drainage in a serviceable and safe condition, and to provide preventive maintenance to maximize their useful life. Roads and walks serving program revenue funded facilities do not qualify.

### **Typical Projects:**

- Repair aged and distressed pavements
- Correct load capacity inadequate for intended use.
- Upgrade for use change:
  - Bus route
  - Trash pick-up routes
  - Delivery routes (coal, etc.)
- Repair concrete surfaces which have raised, settled, etc. and are tripping hazards.
- Repair gravel surfaces.
- Repair curb and gutter settlement which causes problems in adjacent pavements.
- Correct drainage problems which contribute to pavement defects.

### **Qualified Preventive Maintenance:**

- Preventive maintenance/repairs to roads and walks for the following types of work:
  - Crack repairs
  - Base patching
  - Radiant heat patching
  - Slurry seals
  - Structural
  - Thin overlays
  - Mud-jacking
  - Site Drainage
  - Gravel shouldering, and paving.
- Urgent maintenance items may be funded from a Small project

### **Determination of Priorities:**

- Priorities are assigned based on an annual statewide inspection program of all agencies, except for agencies which have program revenue (PR) for available.
- Preventive maintenance activities receive high priority.

### **Scope of Qualified Work:**

Repair/ replace critical built-in equipment/ components needed to continue operations where the agencies could not foresee failure nor budget for. To qualify for funding, the agency must demonstrate that they have provided a reasonable level of preventive maintenance on the failed equipment and the program utilizing the equipment will continue on a long term basis.

### **Work Included:**

- Food service equipment, freezer or refrigeration components.
- Lab equipment, detention equipment, waste handling equipment, and institutional laundry equipment.
- Main theater curtains, built-in stage equipment or lighting controls.
- Auditorium seating.
- Auto hoists, compressors, loading docks, overhead doors, etc.
- Any piece of built-in equipment necessary to an agencies mission, not mentioned, but meeting these conditions may be requested and approved based on its priority and availability of funding.

### **Excluded Work:**

- Ordinary loose equipment which does not require a construction trade contractor to hook-up.
- New equipment to accommodate or support a new or expanded program.
- Built-in equipment deemed an enmity or convenience or very infrequently used.
- Replacement/ updating obsolete equipment still useful and working.
- Required periodic maintenance and/or service contracts for inspection, adjusting, and minor repairs.

### **Qualified Preventive Maintenance:**

- Preventive maintenance to be funded by the agency.

### **Determination of Priorities (ranked in the following order):**

- High priority shall be given to repair alternatives.
- Replacement of architectural equipment is a low priority use of small project funds.

### **Scope of Qualified Work:**

Limited repair and/or replacement of interior finishes, carpet, and other flooring materials needed to provide a safe and serviceable surface.

### **Work Included:**

- Only carpet originally installed in a Building Commission approved project will be considered for replacement or repair. Carpet failing after the tenth year following installation will be replaced or repaired, assuming the carpet has been properly maintained per manufacturers recommendations.
- Carpet or other flooring materials will be replaced, repaired, or partially replaced when existing conditions pose a safety hazard or when DFD determines they are no longer serviceable. When replacing, careful consideration shall be given to utilizing appropriate flooring materials for the use and locations required.
- Interior painting of spaces with high ceiling heights such as gyms and armories.
- Repairs to damaged interiors caused by water penetration.

### **Work Excluded:**

- Carpet which fails prior to the 10th year following installation will not be funded for replacement.
- Other floor materials cannot be replaced with carpet, unless the Building Commission determines that replacement is justified and that carpet is an acceptable alternate.
- Entire rooms or areas of carpet will not be replaced if repairs, partial replacement or a partial change to a resilient surface would be an effective solution.
- Interior painting, acoustical ceilings, wall coverings, drapes, blinds and other interior finishes will not be funded except when related to other qualified work.

### **Qualified Preventive Maintenance:**

- Preventive maintenance to be funded by agency.

### **Determination of Priorities:**

- Work in this category is a low priority for use of All-Agency GSFb funds.

# **GUIDELINES FOR THE SMALL PROJECTS PROGRAM**

## **APPENDIX D**

### **Simplified Procedures for Solicited Bid Projects – Guidelines**



# **Simplified Procedures for Solicited Bid Projects - Guidelines**

## **Guidelines for the Small Projects Program – Appendix D**

Rev. November 11, 2013

### **Overview & Origin**

The 1997-99 Budget Bill included language that allowed the Building Commission to prescribe “Simplified Procedures for Administration of Small Projects” to be used in lieu of standard bidding procedures provided in s.16.855. In January 1999, the Building Commission adopted a general policy for this purpose, which is part of the Building Commission Policy and Procedure Manual and directed DFD to develop appropriate guidelines for implementing projects. The procedures provided herein may be used by either DFD or by an agency for administering solicited bid projects under the Building Commission policy.

### **DFD Small Projects Documentation**

This document is intended as a supporting document to aid project managers, agency representatives and A/E's in the use of simplified bid procedures for small projects. This document is not intended to be a stand-alone document. Refer to the Small Project Program section under the DFD website for additional supporting documentation.

### **When to Use Simplified Procedures**

Simplified procedures may be used for most small projects, but they may not be appropriate for all. The project manager must review each project if Simplified Bidding Procedures are appropriate. If Simplified Bidding Procedures are not appropriate, standard advertising and bidding under s. 16.855 can be used.

#### Simplified procedures work best for:

- Projects involving a limited scope of work (typically in-kind repair or replacement or minor improvements) that can generally be accomplished under a single prime contract, however, additional contracts may be employed if needed.
- Projects with a relatively short construction time schedule, generally not more than a few months.
- Projects involving a single or minimum number of payments (preferably not more than two).

#### Simplified procedures allow:

- The use of abbreviated bid documents and a simplified "Conditions of the Contract for Small Projects".
- Waive requirements for advertising bids and a bid bond and provide for direct solicitation of bids from area contractors.

#### Project Costing \$100,000 and Greater:

- All project work to be publically bid through the Simplified Bidding Procedures..

#### Project Costing \$100,000 and less:

- Bidding may be accomplished by soliciting bids or proposals from at least 3 separate contractors in the local area, without formal public advertising. Publically bidding through Simplified Bidding Procedures may also be used where a formal bidding process is desirable. The project manager shall determine method used.

A performance bond may be required. A measure of payment and performance assurance can also be accomplished by making a single payment upon completion of work. Requirements for sole source notification, minority participation, and wage rates (when applicable) have not been waived either.

## **Abbreviated Project Documents**

As long as it is clear what is being contracted for, what it will cost, who is to do what and when, the documents used for simplified solicited bids may be kept to a minimum. Project documents may be abbreviated as follows and arranged in the following order within the simplified front end of the specification:

**Notification of Bid Solicitation** – Project requiring public bidding should be solicited via the DFD. Page A-1, Invitation to Bidders, along with Specification Table of Contents and Specifications and Drawings should be posted on the DFD web page. The DFD Project Manager is responsible for posting the documents to the DFD web page.

**Letter of Solicitation** - A cover letter that provides information and instructions to the bidder and invites a bid should be prepared. This letter should describe the project requirements including location, scope, and schedule for completion, person to contact for site inspection, time and location for submittal of the bid. Information about site access or other site requirements, payment and performance assurance requirements, wage rate requirements, provisions for minority business participation, method of award of contract, bidding addendum, as-built drawing and maintenance manual requirements, etc. may be included as part of this letter or as part of the attached specifications.

**Bid Solicitation and Bid Form** – Publically solicited projects should always use a bid form to promote consistency in bids and to avoid bid irregularities. Projects which do not require public bidding may use a bid form, or submittal of a bid on a contractor's bid form is also acceptable. The project documents should provide a clear understanding of the basis for submittal of bid and the method of award of contract. Bids based upon a defined scope of work will generally be awarded to the lowest total bid. In some cases bids submitted might be evaluated on additional criteria other than rather cost alone, and this must be made clear to the contractors in the project documents. Bid form to be on its own page and not

**Sealed Bid Envelope Label** – The template envelope label may also be included to aid the bidder, but is not a bid requirement. The Letter of Solicitation provides the bidder instructions for the sealed bid envelope.

**Bid Bond Form (DOA-4506)** – The bid bond form shall be included on projects where bid surety is required.

**Performance Bond Form (4505)** – The performance bond form shall be included on projects where performance bond surety is required.

**Construction Contract (DOA-4504)** – To be included on all projects where DFD is executing the construction contract.

**Conditions of the Contract for Small Projects** - "Conditions of the Contract for Small Projects" may be used for all solicited bid projects, and should be included as part of the project documents.

**Request for Submittal Approval (DOA-4523)** – To be included on all projects where drawings, product data, samples or other information to be submitted by General Contractor to the A/E for approval before fabrication or installation per 2.G of the conditions of the contract for small projects.

**Submittal Log** – Optional document to be included with projects that have multiple submittals.

**Request for Subcontractor Approval (DOA-4225)** – Include with all projects per section 15.B. of the conditions of the contract for small projects.

**Affidavit of Compliance MBE / DVB Provisions (DOA-4266)** – Included with projects that qualify per section 13.C of the conditions of the contract for small projects.

**Wage Rates** – Wage rate rules apply to work completed under these simplified procedures. The project manager (DFD or Agency if delegated) has the responsibility to determine if wage rates are required as prescribed by the Department of Workforce Development. If wage rates apply, the appropriate information is to be included in the "Letter of Solicitation".

**General Requirements** – General Requirements are to be included on all projects.

**Agency Specific Requirements** – Agency specific requirements are to be included where necessary per agency requirements. The most common agency requirements are for the Department of Corrections (DOC) and Department of Health Services (DHS). These documents are located on DFD's website. The DFD Project Manager or A/E is responsible for having the agency complete the agency response form. The agency's responses are to be incorporated into the agency requirements document. The agency response form is NOT to be included in the bid documents.

**Technical Specifications and Drawings** - Drawings and specifications may be in the form of a technical spec or narrative of required work and/or simple sketches or diagrams as needed to clarify the scope and intent of the project. Plans may be bound herein, or bound separately. Plans bound herein should not exceed 11"x17" sheet size.

### **Payment and Performance Assurance**

- All contracts over \$100,000 require that the contractor maintain a list of all subcontractors and suppliers performing labor or furnishing materials under the contract.
- For contracts between \$10,000 and \$100,000, assurance of payment and performance can be accomplished by limiting contract payments to a single payment for all work upon completion of the project. The contractor should provide a final settlement certificate certifying that all claims have been settled and payments made. Circumstances such as seasonal work may allow for a partial payment. (s 779.14(1m)(c)1)
- For contracts \$100,000 and greater, payment and performance is required per s. 779.14(1m)(c)2.b

The "Conditions of the Contract for Small Projects" reflect these requirements. The need for and the method of providing payment and performance assurance should be defined in the Letter of Solicitation for each project.

### **Sole Source Procurement**

While use of a sole source is discouraged, requirements for publishing a class 1 notice for procurement of materials or equipment from a sole source per s.16.855 apply to work completed under these simplified procedures..

### **Minority Business Participation**

The agencies and DFD have a responsibility to encourage MBE participation in state construction projects. It is recommended that bids be solicited from at least one minority business if available within a 60 mile radius of the job site, and 5% bid preference may be given to a qualified responsible bid submitted by a minority business. If a bid preference is being used, this should be identified in the "Letter of Solicitation".

### **As-Built Drawings/Maintenance Information**

Provisions for as-built drawings, operating instruction, and maintenance manuals and other pertinent information should be included in the project documents. In many cases as-built drawings will not be an issue, but information such as wiring diagrams, or any changes in existing systems or equipment resulting from the execution of the work should be documented by the contractor. Operation and maintenance manuals should be provided for all new equipment or systems installed.

## **Distribution of Bidding Documents**

Bidding documents for projects which require public bidding are available electronically via DFD's public bidding website. In general, this requires designers to provide the DFD Project Manager with one hardcopy set of bid final documents, along with separate PDF format files for final Project Manual/Technical Specifications and Drawings. DFD staff will post these documents to the website. In general, Small Project bidding documents will only be available as downloadable files from the DFD website.

## **Tabulation of Solicited Bids**

The DFD project manager or the agency for delegated projects shall open and record bids received using the "Solicited Bid Proposal Tabulation" form. Indicate on the form if the contractor is a MBE firm or not. The bid tabulation will be posted to the DFD bidding website once the bid tabulation form is complete. The project manager is should also communicate the bid results to all bidders. The results of the bid solicitation should be made available to anyone who requests this information.

## **Award of Contract**

Contracts are generally awarded to the lowest qualified and responsible bidder, and this or an alternative method should be indicated in the "Letter of Solicitation". Following receipt of bids, the DFD project manager, or the agency for delegated projects, shall be satisfied that bidders involved are qualified and responsible per Wis. Admin. Code Adm. Ch. 21. The low bidder shall have suitable financial status to meet obligations incident to the work, appropriate technical expertise, and a record of satisfactorily completing past projects. They shall not be listed as ineligible by the Department of Administration for noncompliance with equal employment opportunities and affirmative action requirements, or not be on the list of debarred firms maintained by the Department of Workforce Development for noncompliance with wage rate requirements.

## **Contract Form and Approvals by DFD**

While bids may be solicited either locally by the agency, by an A/E, or by DFD, contracting and approval procedures are the same as for contracts executed under s.16.855. If contracts are bid and issued by DFD, then DFD administrative policies and procedures apply. All contracts are processed by the DFD contract administrator. Contractors cannot be given authorization to begin work until the contract administrator provides the "Notice to Proceed".

## **Contract Form and Approvals by Agency**

The standard DFD contract form may be modified as needed when executed by the agency under a delegated project and signed by an agency administrator. The agency should follow similar procedures for projects awarded by them under a delegated project.

Documentation and forms for this purpose include:

- Notice to Proceed.
- Payments and Change Orders.
- Punch list and Letter of Substantial Completion.
- Settlement Certificate.

# SIMPLIFIED PROCEDURE FOR SOLICITED BID PROJECT - CHECKLIST

Project Information	
Project Number	
Project Title	
Building / Institution	
City, State	
DFD Project Manager	
Bidding Information	
Bid Date	
Bid Time	2:00pm
Bid Location	DOA/DFD 101 E. Wilson St., 7 <sup>th</sup> Floor Madison, WI 53703
Less Than 30-Day Bid Solicitation Period ?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, notify DFD manager
Pre-Bid Tour	
Optional Pre-Bid	<input type="checkbox"/> Yes <input type="checkbox"/> No
Mandatory Pre-Bid **	<input type="checkbox"/> Yes <input type="checkbox"/> No
** (2) Tours Req'd / Mandatory Tour Not Recommended	
Tour Date/Time	
Agency Contact	
Address	
Phone Number	
Required Notice Time for Attendance (2 Days DOC Standard)	
Work By State	
Work by State	<input type="checkbox"/> Yes <input type="checkbox"/> No
Brief Description	
Bid Form	
Alternates Required	<input type="checkbox"/> A/E Verify <input type="checkbox"/> Yes <input type="checkbox"/> No
Unit Prices Required	<input type="checkbox"/> A/E Verify <input type="checkbox"/> Yes <input type="checkbox"/> No

Table of Contents Section	To Be Included
Notification of Bid Solicitations	<input checked="" type="checkbox"/> Yes
Table of Contents	<input checked="" type="checkbox"/> Yes
Letter of Solicitation	<input checked="" type="checkbox"/> Yes
Bid Solicitation and Bid Form	<input checked="" type="checkbox"/> Yes
Sealed Bid Envelope Label	<input type="checkbox"/> Yes <input type="checkbox"/> No
Bid Bond Form	<input type="checkbox"/> Yes <input type="checkbox"/> No
Performance Bond Form	<input type="checkbox"/> Yes <input type="checkbox"/> No
Construction Contract	<input checked="" type="checkbox"/> Yes
Conditions of the Contract	<input checked="" type="checkbox"/> Yes
Request for Submittal Approval	<input type="checkbox"/> Yes <input type="checkbox"/> No
Submittal Log	<input type="checkbox"/> Yes <input type="checkbox"/> No
Subcontractor Approval	<input checked="" type="checkbox"/> Yes
Affidavit of MBE/DVB	<input type="checkbox"/> A/E Verify <input type="checkbox"/> Yes <input type="checkbox"/> No
Prevailing Wage Rates	<input type="checkbox"/> A/E Verify <input type="checkbox"/> Yes <input type="checkbox"/> No
General Requirements	<input checked="" type="checkbox"/> Yes
Agency Requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specifications and Drawings	<input checked="" type="checkbox"/> Yes
Terms and Requirements	
Payment Terms:	
<input type="checkbox"/> Single Payment (OR) <input type="checkbox"/> Progress Payments	
Project Start:	
<input type="checkbox"/> (7) Days from NTP - (Standard)	
<input type="checkbox"/> Specified Start Date:	<input style="width: 100%;" type="text"/>
Project Completion:	
<input type="checkbox"/> Consecutive Calendar Days:	<input style="width: 100%;" type="text"/>
<input type="checkbox"/> Specified Completion Date:	<input style="width: 100%;" type="text"/>

**Other Project Information:**