

STATE OF NEW MEXICO Public School Facilities Authority



**- OBSOLETE -
SUPERCEDED BY
THE 2009-2010
ANNUAL EDITION**

**Checklists and
Step by Step Instructions:**

**Funding, Building and Maintaining
Schools in New Mexico
2008**

Public School Facilities Authority

Checklist and Step by Step Instruction Manual for Funding, Building and Maintaining Schools in New Mexico

Sections:

- i. Instructions for Using this Manual**
- ii Project Stage & Timeline Graphic**
- iii Summary of New Updates Page**
- iiii Acronym List**

Planning Stage:

- Box 1 Facility Master Plans**
- Box 2 Preventative Maintenance Planning**
- Box 3 Facility Assessment Database (FAD)**
- Box 4 Facility Utilization & Educational Programming**

Funding Stage:

- Box 5 Master Plan Assistance Funding**
- Box 6 Standards-Based Funding**
- Box 7 Special Program Assistance Funding**
- Box 8 Lease Payment Assistance Funding**

Project Development Stage:

- Box 9 All Procurement Processes, Including Requests for Proposals (RFP's)**
- Box 10 Design Professional (DP) Procurement**
- Box 11 The Design Process**
- Box 12 Request for Approval of School Construction (RASC)**
- Box 13 DP Access to the Construction Information Management System (CIMS)**
- Box 14 Lease/Purchase Projects**

Construction Stage:

- Box 15 Pre-Construction Meeting**
- Box 16 All Construction Contracts**
- Box 17 Construction Information Management System (CIMS)**
- Box 18 Construction Process Management, Including Change Orders & MCR's**
- Box 19 Project Closeout**

Occupancy Stage:

- Box 20 All Facilities Operations Processes**
- Box 21 Facility Information Management System (FIMS)**
- Box 22 Post-Occupancy Evaluation**
- Box 23 Out Year Agreements**

Appendix 1: Summary of All PSFA User & Training Guides

Appendix 2: Overview on Project Governance



STATE OF NEW MEXICO
Public School Facilities Authority
2019 Galisteo, Suite B-1
Santa Fe, New Mexico 87505
www.nmschoolbuildings.org

Robert A. Gorrell
Director

Telephone: (505) 988-5989
Fax: (505) 988-5933

Dear Colleagues:

Funding, building and maintaining schools is complex. This list of checklists and step-by-step instructions for PSFA processes is designed to make it easier for school districts and other stakeholders to learn about and make effective use of state resources—without having to wade through lengthy source documents.

How to Use This Manual:

The diagram on the following page is the timeline governing all facilities projects. The timeline runs from: 1) early project planning, through 2) funding, 3) project development, 4) construction and 5) eventual occupancy. A total of five stages.

Beneath each of these stages are numbered boxes for the PSFA processes which correspond to that stage. Boxes are color-coded to the stage that they fall within on the timeline.

Checklists or instruction sets have been developed for each box on the timeline. Checklists are numbered to correspond to the appropriate box, and are ordered in the manual according to the project timeline. Checklists are also color-coded to the stage that they fall within on the timeline.

How to Stay Current on PSFA Processes:

Each checklist has a *“last date of update”* and a version number in the upper right hand corner, in order to make it easy to determine if a process has changed. There’s also a *“New Updates”* page near the front of this manual, which will list all new changes to all processes.

PSFA will update this manual annually in October, and will seek to minimize (and document) mid-stream updates, in order to make it as easy as possible to keep current on agency processes.

The final section in this manual is a list of every training and user guide that PSFA publishes.

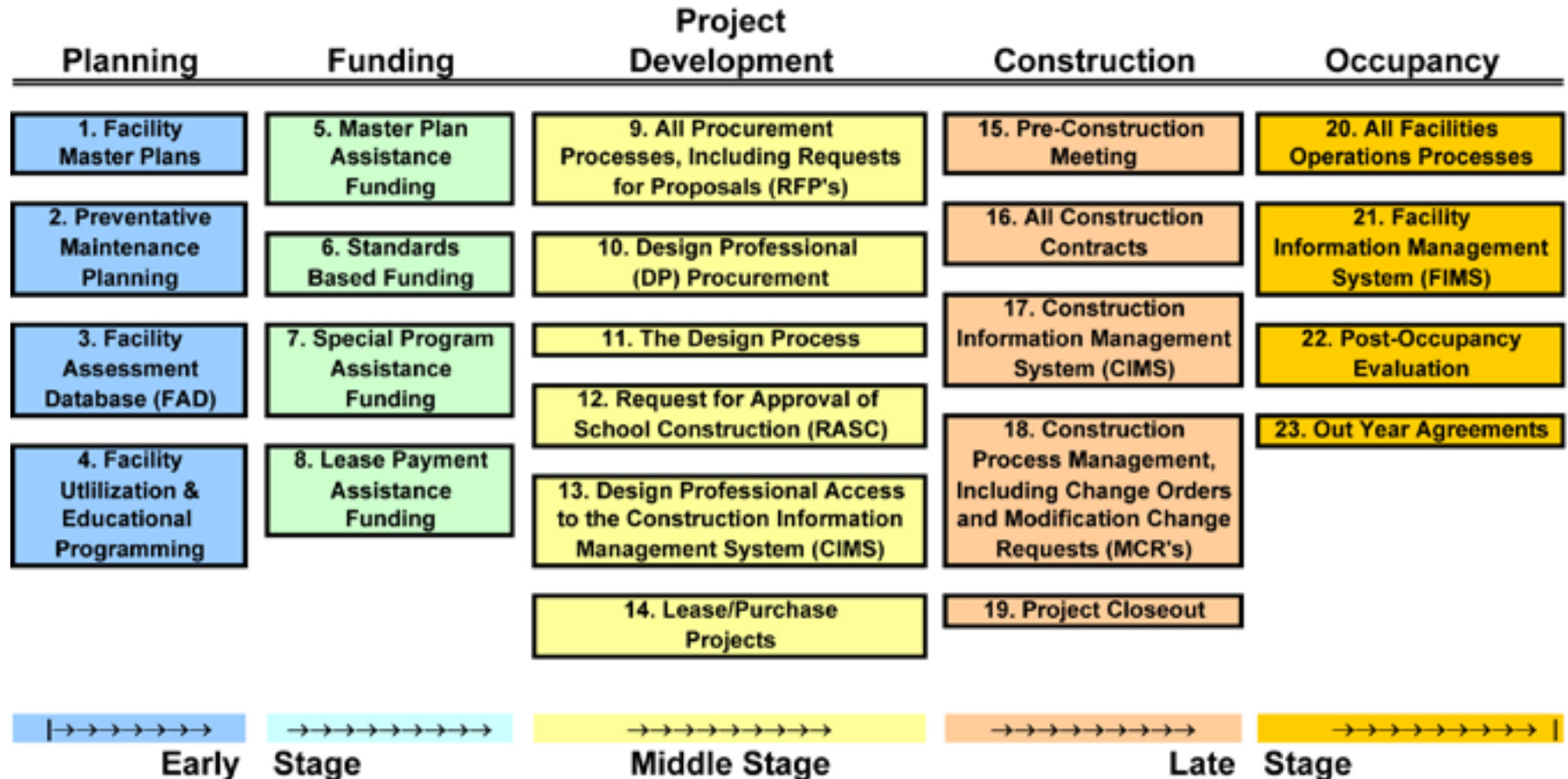
With best regards,

A handwritten signature in blue ink, appearing to read "A. Gorrell".

Robert A. Gorrell

Funding, Building and Maintaining Schools in New Mexico: Steps in the Process

Last Update: 12/14/07
Version 1



New Updates List:

This page provides a comprehensive list of any changes/updates along the five stage process of funding, building and maintaining schools in New Mexico. Any updates made to PSFA processes for funding, building and maintaining schools will be catalogued here.

Update Timetable:

PSFA will seek to update processes in *October*, and to minimize mid-stream updates except to correct errors and when absolutely necessary. Mid-stream updates will be documented here; *so please check this page on the PSFA website: www.nmpsfa.org on a regular basis to remain current.*

Planning Stage: Changes/Updates as of 12/19/07:			
Box #:	Process Box Name:	Date:	Description of Change:
			None
Funding Stage: Changes/Updates as of 12/19/07:			
Box #:	Process Box Name:	Date:	Description of Change:
			None
Project Development Stage: Changes/Updates as of 12/19/07:			
Box #:	Process Box Name:	Date:	Description of Change:
			None
Construction Stage: Changes/Updates as of 12/19/07:			
Box #:	Process Box Name:	Date:	Description of Change:
			None
Occupancy Stage: Changes/Updates as of 12/19/07:			
Box #:	Process Box Name:	Date:	Description of Change:
			None

PSFA Acronym List

Last Update: 12/26/07
Version 1.1

ASI	Architect's Supplemental Instructions	NMSA	New Mexico Statutes--Annotated
CES	Cooperative Educational Services	O&M	Operations & Maintenance
CID	Construction Industries Division	PED	Public Education Department
CIMS	Construction Information Management System	PM	Preventative Maintenance
CMAR	Construction Manager at Risk	PMD	Preventative Maintenance Direct (in FIMS)
CO	Change Order	PMP	Preventative Maintenance Plan
DCP	Deficiencies Correction Program	PO	Purchase Order
DD	Design Development	POE	Post Occupancy Evaluation
DP	Design Professional	PPD	Preliminary Project Description
DR	District Representative	PPE	Personal Protective Equipment
EMP	Energy Management Program	PSCOC	Public School Capital Outlay Council
FAD	Facility Assessment Database	PSFA	Public School Facilities Authority
FCI	Facility Condition Index	PTR	Pupil Teacher Ratio
FIMS	Facility Information Management System	RASC	Request for Approval of School Construction
FMP	Facilities Master Plan	RFI	Request for Interpretation
GMP	Guaranteed Maximum Price	RFP	Request for Proposal
GRT	Gross Receipts Tax	RFQ	Request for Qualifications
HB	House Bill	RM	PSFA Regional Manager
HVAC	Heating, Ventilation & Air Conditioning Systems	SB	Senate Bill
IGMP	Initial Guaranteed Maximum Price	SFMO	State Fire Marshal's Office
IT	Information Technology	SI	Supplemental Instructions--shorthand for ASI
ITB	Invitation to Bid	SOV	Schedule of Values
JOC	Job Order Contracting	UD	Utility Direct (in FIMS)
JPA	Joint Powers Agreement		
LCCA	Life Cycle Cost Analysis		
MACC	Maximum Allowable Construction Cost		
MCR	Modification Change Request		
MD	Maintenance Direct (in FIMS)		
MEM	Membership (meaning student enrollment)		
MOU	Memorandum of Understanding		
NMAC	New Mexico Administrative Code		
NMCI	New Mexico Condition Index		

PSFA's 5 Year Facilities Master Plan (FMP) Checklist & Step by Step Instructions:

Overview:

School districts are required by law to have a current, 5-year facility master plan (FMP) on file with PSFA in order to qualify for New Mexico Standards-Based Public School Capital Outlay awards and for all or any school construction not just Standards Based funding. Listed below are the key steps in developing an FMP.

Prerequisites:

School districts may wish to procure the services of an architectural and planning firm to prepare a facility master plan. PSFA's master planning manager can provide a list of qualified firms.

Step 1:

Layout & Design:

- Use as title: “_____ *District Five Year Facility Master Plan, Dated _____*”
- Present major ideas clearly and concisely
- Provide detailed supporting forms and analysis
- Use index tabs to separate sections
- Provide the FMP in both printed and electronic format

Step 2:

1.0 Goals/Process:

1.1 Goals – Primary information sources: the district's community FMP steering committee, and district's strategy for achieving targeted educational outcomes

- Define district's educational programs, both current and future
- Define district's level of community involvement in goal setting
- Briefly outline district's Program for Student Success, or strategy for achieving targeted educational outcomes
- Determine and explain inadequacies of district facilities according to state adequacy standards (See New Mexico Adequacy Standards under the planning & review portal on PSFA's www.nmpsfa.org website)

1.2 Process - How the district includes local feedback in its FMP

- Identify process for capital planning and decision-making
- Identify how community input is considered
- Identify steering committee involvement
- Identify how staff input is considered
- Identify how student input is considered

1.3 Acronym List – Define specialized terms

- Provide a list of definitions of acronyms and uncommon terms

Step 3:

2.0 Existing and Projected Conditions

2.1 Programs – Information source: school district/superintendent

- 2.1.1 Provide an overview of current educational programs and facilities, including:
 - o A list of the number of schools in the district
 - o A list of types of schools (including charter and alternative schools)

- Detail on how grade levels are configured
- Projected changes in programs that impact use of, and/or need for facilities
- 2.1.3 Identify any existing shared/joint use facilities with other public or private entities, including:
 - Opportunities for continuing or increasing shared/joint use of facilities in the future

2.2 Sites/ Facilities - Information source: the school district

- Provide an overview of sites and facilities
- 2.2.1 Provide map(s) to identify the district boundaries, attendance areas and location of facilities. Obtain base maps and aerials from a GIS system, Google Earth, or from NMGIS at the following website: <http://rgis.unm.edu>
- 2.2.2 Provide a table summarizing each site and facilities in the district (including charter and alternative schools) (See the PSFA website for chart templates for facility inventory sheets www.nmpsfa.org, under the planning and review portal.) The table should include *for each facility*:
 - Its name
 - State identification number
 - Physical address
 - Date of opening
 - Dates of major additions and renovations
 - Facility Condition Index (FCI) and New Mexico Facility Condition Index (NMCI)
 - Whether the site is owned or leased
 - Total building area gross sq/ ft.
 - Total site acreage
 - Total number of permanent general classrooms
 - Total number of permanent specialty classrooms
 - Total number of portable classrooms
 - Total number of classrooms overall
 - Percentage of portable classrooms compared to total number of permanent classrooms
 - Total enrollment current year (40th day count)
 - Number of gross sq. ft per student per school facility

2.3 District Growth – Information Sources: the School District, Bureau of Business & Economics at the University of New Mexico, State of New Mexico Economic Development Dept, local economic development organizations, New Mexico Dept of Health and Vital Statistics, New Mexico Dept of Workforce Solutions.

- Statement of growth trends that may impact programs and enrollment, including:
 - Demographic factors that may impact programs and enrollment
 - Economic factors that may impact programs and enrollment
 - Development factors that may impact programs and enrollment

2.4 Enrollment – Information Sources: the school district and/or the New Mexico Public Education Department (PED). The PED’s website has historic enrollment data (<http://www.ped.state.nm.us/index.html>) or call (505) 827-5800. It’s necessary to provide both tables (for the raw numbers) and charts for easier “big picture” clarity.

- Table summarizing previous 5 years of enrollment (40 day count), including:
 - Ten years 40 day count (if available, provide ten years of historic data, not only five)
 - District 40 day count each school year
 - District by each grade level 40 day count
 - Each individual school facility 40 day count
 - Each individual school facility by grade 40 day count
- Chart summarizing previous 5 years of enrollment (40 day count), including:
 - Ten years 40 day count (If available, provide ten years of historic data, not only five)

- District 40 day count for each school year
- District by each grade level 40 day count
- Each individual school facility 40 day count
- Each individual school facility by grade 40 day count

- Identify and summarize relevant factors that have influenced enrollment over the previous 5 years
- Table summarizing projected student enrollments for the next 5 years **Information Source:** Master plan contractor will prepare this information.
 - By district
 - District by each grade level
 - Each individual school by grade
- Chart summarizing projected 5 years of enrollment (40 day count) **Information Source:** Master plan contractor will prepare this information.
 - District
 - District by each grade level
 - Each individual school by grade
- Summarize and describe projection/forecasting method and assumptions with back up data. **Information Source:** The master planning contractor will prepare this information.

2.5 Utilization and Capacity – Information Source: Master planning contractor, in consultation with the school district. See PSFA’s website for chart templates for facility inventory sheets www.nmpsfa.org, under the planning and review portal.

- Identify existing/future classroom needs to accommodate the projected enrollment for each school site
- Identify special factors that influence facility use
 - Lower than state-mandated pupil-teacher ratios (PTR’s)
 - Special programs
 - Student transfers
 - Boundary areas
- Utilization study, including class schedule, teacher room assignments, room numbers, the number of times per day that the room is utilized, number of students per classroom per period (for high school)
- Identify maximum student capacity at each school site
- Identify strategies considered to meeting required needs at each school site

2.6 Technology – Information Source: the school district

- Overview of technology plan and need for equipment funded by the capital program
- Provide a table/chart of technology at each school site

2.7 Capital Funding – Information Sources: school district or the district’s bond advisor

- Provide a brief history of district’s capital funding
- Provide a table identifying resources available or expected to be available for meeting capital needs

Step 4:

3.0 Capital Improvement Plan – Information Source: The master plan contractor will prepare this section under advisement from the school district.

3.1 Total Capital Needs

- Summarize the district’s total capital needs
- Address growth or decreasing enrollment requirements

- Renewal of existing facilities requirements
- Technology requirements
- Educational and programmatic requirements

3.2 Prioritization Process – Information Source: The district and the facility master plan steering committee prioritizes projects.

- Identify the process and criteria used to prioritize capital needs, including:
 - o Rectifying any identified life, health and safety issues
 - o Housing student growth
 - o Providing suitable space for educational programs with State of N.M. benchmarks & measures, state adequacy standards and district policies.
 - o Renewing facilities
- Identify financial strategies and alternatives considered to meet capital needs—possibly provide this information in table form.

3.3 Capital Plan – Capital plan priorities worksheets are available on PSFA’s website, www.nmpsfa.org, under the planning and review portal.

- Provide a summary table of priority capital improvement for the next 5 yrs. (If priorities are different from project rankings in PSFA’s Facility Assessment Database (FAD), explain why the district priority varies from FAD)
- Identify the anticipated funding source for each project, along with expected year of implementation
- Clearly identify priorities for state funding assistance
- Identify when the five year FMP was adopted by the local school board, and include record of adoption
- Provide FAD rankings

Step 5:

4.0 Support material – Information Source: The master plan contractor will prepare this section under advisement from the school district. This section may include:

- Brief report on each school site (FAD Executive Summary Report)
- Other FAD reports, as relevant
- Information on other district facilities
- Each School site (to scale)
- Overview of facility/site condition
- Compliance with district policies
- Campus site plan to scale and labeled buildings (ensure that labeling is the same as in FAD)
- Facility floor plans to readable scale
- Illustrative photographs as appropriate (min. one exterior and one interior)
- Itemized capital needs
- District administrative and support facilities, including:
 - o Land ownership/leasing
 - o District condition assessment information
 - o Campus site plan to readable scale
 - o Facility floor plans to readable scale
 - o Photographs as appropriate (min. one exterior and one interior)
 - o Itemized capital needs

4.2 Growth/Enrollment/Utilization Detail – See 2.3 and 2.5 above, and include the following:

- Growth
- Enrollment
- Utilization specifics

4.3 Technology Plan Summary: Include the following:

- Technology plan

Additional Notes and Comments:

Additional Sources of Information:

See PSFA’s *School District Facilities Master Plan Components and Guidelines*, which can be found on PSFA’s website, www.nmpsfa.org (under the planning & review portal) for comprehensive information on how to develop a Facility Master Plan.

PSFA Process Owner:

Bill Sprick, Master Planning Manager
Email: bsprick@nmpsfa.org
Phone: 505-843-6272

End of Checklist

Facility Preventive Maintenance Planning

Overview:

New Mexico school districts are required by law to create and implement a written preventative maintenance (PM) plan, plus it is in every district's best interests to effectively maintain its facility resources, thereby providing a healthy, safe and reliable environment for its students and staff while effectively utilizing available resources.

If effectively developed and periodically updated, the PM plan can provide an excellent roadmap for charting the course of a district's maintenance program. The state's web-based Facility Information Management System (FIMS) is an excellent tool to assist school districts in executing their PM plan. (Note: See the Facility Information Management System (FIMS) Checklist for guidelines to set-up and effectively utilize this maintenance and utility management software.)

While all New Mexico school districts have an approved PM plan, because of resource limitations many districts are challenged in the effective execution of these plans. (Note: See the Maintenance & Operations Execution Checklist for guidelines to lead an effective maintenance program.)

The following is a brief checklist covering basics of establishing and implementing an effective district facility maintenance program.

1.0. Preventative Maintenance (PM) Plan. Purpose: The PM plan documents the district's advance planning for keeping facility systems fully serviceable and reliable in support of instructional programs.

- Confirm the quality of your district PM plan? Does it:
 - Have current maintenance goals
 - List current organization and staffing responsibilities
 - List current maintenance procedures and work priorities
 - Provide a current maintenance schedule
 - List Preventive Maintenance Tasks in use
 - Include current custodian duties and responsibilities
 - List all district administrative, school, and athletic sites
 - Include a current list of planned major maintenance and repair projects
- Update the PM Plan on an annual basis for new or adjusted goals, revised procedures, new equipment or adjusted PM schedules, etc.
- Ensure all maintenance contractors receive and adhere to prescribed district PM task guidelines

2.0. Equipment Inventory. Purpose: A district needs a comprehensive inventory of all facility equipment to be maintained. This will ensure that needed recurring maintenance is accomplished in a timely basis to help avoid premature deterioration and costly replacement. Procedures should be

developed to ensure that equipment data is updated on a periodic basis, otherwise incomplete PM work will result when equipment is added or replaced.

- Conduct initial inventory of all facility equipment requiring periodic inspection and preventive maintenance. (The PSFA Invitation to Bid template should be used to advertise for contracted inventory services.)
- Import electronic equipment data into FIMS accounts to advance preventive maintenance program. (PSFA will assist using the FIMS vendor.)
- Develop written procedures to provide for regular update of equipment data following installation or replacement of equipment
- Develop written procedures that require electronic equipment lists from general contractor following completion of new construction projects. (Requirement included in PSFA construction contract general provisions.)

3.0. District Policies and Procedures. Purpose: Sound maintenance management practices ensure that available resources are used efficiently and health and safety are maintained. Documentation helps to alleviate confusion due to staff turnover.

3.1. Develop a written district Energy Management Program (EMP) policy

- Institute behavior modification policies and procedures with incentives – principles, teachers, custodians, maintenance workers, and students
- Develop program to provide continuing EMP training for building occupants
- Promote sustainability in all new construction -- create and enforce construction specifications that promote the installation of energy efficient building systems
 - Provide for the installation energy management systems to control building operations
- Institute use of Life Cycle Cost Analysis (LCCA) during project design decision making
- Determine facility spaces connected to each utility meter
- Work with available utility providers to obtain most favorable rates
- Develop procedures for the regular tracking of utility use and cost, the analysis of results, and taking action to make building modifications or procedural changes to advance savings.
- Ensure processes are in place to ensure that building systems are conscientiously operated and maintained to promote savings in utility use – teachers, maintenance workers, custodians

3.2. Provide oversight of contracted facility services.

- Create written standards of expectation for all contracted services, and ensure all district contractors are knowledgeable
- Determine appropriate use of contract services, and obtain most economical source of service
- Appoint maintenance staff member(s) to monitor and inspect all contract work and to verify quality work prior to payment
- Create processes to document contracted facility expenditures and analyze for appropriate utilization of available resources

3.3. Maintenance safety

- Identify appropriate Personal Protective Equipment (PPE) for maintenance staff, and provide to all staff members
- Conduct recurring safety training, and document. Cover use of PPE, work place safety, equipment safety, fire safety, etc.
- Periodically inspect and maintain all maintenance equipment to ensure safe operations
- Perform periodic workplace safety inspections, taking immediate action to remedy any unsafe conditions

3.4. Maintenance professional development

- Develop written professional education program for all maintenance staff members, to include custodians
- Institute training program for all new employees (district policies on conduct, appearance, customer service, safety, etc.)
- Identify opportunities for staff development, and consider incentives (salary scale) to promote personal initiative and self training/advancement.
- Develop recognition programs for maintenance staff
- Provide requisite training when new building technologies are installed

4.0. Facility Assessments. Purpose: Recurring visual assessments are recommended to confirm that established management practices are effective. Documentation validates leadership commitment to process improvement.

- Develop facility assessment checklist for site administrators and maintenance staff
- Conduct periodic (monthly) walk-through inspections of district facilities to identify potential hazards for students and staff
- Take timely action to correct all identified problems, and institute processes to prevent recurrence
- Foster superior facilities and positive customer service by conducting periodic meetings between maintenance staff and each site administrator to identify and correct long-term facility problems.
- Prioritize major facility issues for accomplishment through district Facility Master Plan.

Note: The PSFA Maintenance Division will assist school district personnel by providing guidance and training on facility maintenance and energy management topics, to include the Facility Information Management System (FIMS). Recurring training sessions are scheduled, but unlimited district training is available upon request. Training and information may be obtained by contacting Bob Bittner or any of the other Maintenance Division staff members at the PSFA Albuquerque office, 505-843-6272, or at the email address listed below.

For Additional Information:

See PSFA's *Preventative Maintenance Program Guidelines*, *Energy Management Program Guidelines*, *Sample District Preventative Maintenance Plan*, *FIMS Criteria* and other related information which can be found on PSFA's website: www.nmpsfa.org, under the "Maintenance" portal.

PSFA Process Owner:

Bob Bittner, Maintenance Coordinator
505.843.6272, bbittner@nmpsfa.org

How to Update PSFA's Facilities Assessment Database (FAD): Step by Step Instructions

Overview:

The following checklist explains how to update and keep current school district facilities data within PSFA's Facilities Assessment Database (FAD)

Do you have a password?

- Yes
 - No, please contact PSFA at: training@nmpsfa.org
-

Step 1. Attend PSFA's FAD training. See PSFA's website, www.nmpsfa.org (under the application portal) for training dates. PSFA also can provide customized training sessions/dates, upon request.

Step 2. Log on to the FAD. (Login instructions provided at FAD training), refer to the PSFA web site, www.nmpsfa.org under the training portal.

Step 3. Print the following reports:

- Facilities Assessment Worksheet
- Executive Summary
- Cost Worksheet
- Attributes Worksheet

Step 4. Mark up reports with district corrections and send to your PSFA Regional Manager (RM) for review. Your PSFA RM will then forward this information to the PSFA FAD Database Manager to be entered into FAD.

Step 5. PSFA FAD Database Manager updates FAD

- Logs assessments into the change log
- Scans original records

Step 6. PSFA FAD Database Manager informs PSFA RM of data updates via email

Step 7. PSFA RM informs district of the updated facilities data.

Step 8. District verifies that the data is correct.

- If Yes – the updating process is complete
- If No - repeat steps one through four

Step 9. PSFA's FAD Database Manager publishes school rankings, according to PSCOC Standards Based Capital Outlay Process Proposed Work Plan/Timeline.

The first draft is usually published during the months of December to January of each year.

Step 10. District to review School Rank Report, then proceed to PSCOC application process

FOR INSTRUCTIONS FOR THE PSCOC STANDARDS BASED FUNDING PROCESS, SEE BOX 6

End of Checklist

For Additional Information:

See PSFA's Facility Assessment Database (FAD) User's Guide, which can be found on the PSFA website, www.nmpsfa.org

PSFA Process Owner:

Tanya Delara

Facility Assessment Database Manager

tdelara@nmpsfa.org

505-843-6272

Facility Utilization Checklist & Step by Step Instructions

Overview:

The following is a guideline to assist in creating and submitting a utilization study and an educational programming plan as part of the design process. Facility utilization is conducted on *existing* facilities to determine requirements for the new, remodeled, and/or renovated facilities. The educational program outlines the instructional delivery requirements of the district and serves as the primary tool for the design professional in ascertaining the needs of the facilities.

Step 1 Obtain the services of a master planner or qualified design professional (DP)

- If services are under \$50,000, see “*Small Purchases*,” Section 13-1-125 of the NM State Procurement Code, available on PSFA’s website: www.nmpsfa.org (see also box 7.5)
 - If services are over \$50,000 see *Request for Proposal (RFP) Checklist*, Box 9.
-

Step 2 Work with the master planner/ DP to identify the school(s) and related project(s) the district plans to complete.

- List school(s) in order of priority
 - Verify if the district has an Education Specification for the school(s) identified
-

Step 3 Define each project and compile the following information in excel format, for each school/project: (see www.nmpsfa.org under “Planning & Review Portal,” for additional information)

- Number of students to be served per grade level
 - Programs to be served
 - Number of teaching spaces
 - Number of support spaces
 - Class schedule (schedule of classes offered/taught)
 - Floor plan w/ teacher identification, including subject type and/or use of each teaching space
 - Number of teachers
 - Utilization of new and existing classrooms, assuming the utilization of the entire campus and potential shared facilities
 - Classroom schedule
 - List the current class size per teaching space per period
 - Teacher and room assignment/ room number
-

Step 4 Submit compiled information to PSFA

- Information is to be submitted to PSFA with the District’s Request for Approval of School Construction (RASC) (see www.nmpsfa.org under “Planning & Review Portal- Forms”)

PSFA Process Owner:
Pat McMurray
Senior Facility Manager
505-843-6272
pmcmurray@nmpsfa.org

End of Checklist

Facilities Master Plan (FMP) Funding Assistance Process:

Overview:

PSFA has a program to provide funding for school districts to create a five year FMP.

Prerequisites:

If your district does NOT have a current FMP or your district's FMP will expire within one year, you meet the eligibility requirements for this program.

To apply for funding for the current PSCOC cycle, your district must meet the additional requirement of NOT currently being under contract with an FMP contractor.

STEP by STEP INSTRUCTIONS Completing the PSFA Master Planning Assistance Application:

- (1) In order to provide an accurate estimate of the total cost to develop or update the district's FMP, please obtain and include a copy of a written quote from a FMP consultant. All FMPs are required to meet the *School District Facility Master Plan Components and Guidelines*, which is available on the PSFA website at www.nmpsfa.org. **NOTE: School district shall not be under current contract with FMP contractor to be eligible for funding in this award cycle.**
- (2) No allocation shall be made unless the council determines that the school district is willing and able to pay the portion of the total cost of developing or updating the plan that is not funded with the allocation from the fund. Except as provided in Paragraph 3 (below), the portion of the total cost to be paid with the allocation for the fund shall be determined pursuant to the methodology in Paragraph (5) of Subsection B of Section 22-24-5 NMSA 1978 (state/local match percentage); or
- (3) An allocation from the fund may be used to pay the total cost of developing or updating the plan if;
 - a. The school district has fewer than an average of six hundred full-time-equivalent students on the eightieth and one hundred twentieth days of the prior school year; or
 - b. The school district meets all of the following requirements;
 1. the school district has fewer than an average of one thousand full-time -equivalent students on the eightieth and one hundred twentieth days of the prior school year;
 2. the school district has at least seventy percent of its students eligible for free or reduced-fee lunch;
 3. the state share of the total cost, if calculated pursuant to the methodology in Paragraph (5) of Subsection B of Section 22-24-5 NMSA 1978, would be less than fifty percent;
 4. for all educational purposes, the school district has a residential property tax rate of at least seven dollars on each one thousand dollars (\$1,000) of taxable value, as measured by the sum of all rates imposed by resolution of the local school board plus rates set to pay interest and principal on outstanding school district general obligation bonds.

PLEASE PROVIDE THE FOLLOWING INFORMATION:

Current Date of Existing FMP (if applicable): _____ Years Covered: _____ to _____

Estimated FMP Cost (a+e):	Total \$.00	100%	Combined Match
	a.	State: \$ _____	.00	% State Match
Local Funding Currently Pledged:	b.	\$ _____	.00	
Future Local Funding Pledged:	c.	\$ _____	.00	
Local Share Reduction Request:	d.	\$ _____	.00	
Total Local Share (b + c + d)	e.	Local: \$ _____	.00	% Local Match

IF Professional Services Fees are Less Than \$50,000

Below are the steps required to contract with a professional (architect or a qualified facilities master plan consultant) when the fee, (not including gross receipts tax) is under \$50,000 or, under the district’s threshold for small purchases of professional services per 13-1-125 of the NM Procurement Code (Note: check your Board Policy for adopted Small Purchases threshold).

Step 1. Facilities Master Plan (FMP) Funding Assistance Process:

- Locate FMP Funding Assistance Form on the PSFA website at www.nmpsfa.org under the “Planning & Review Portal” near the top of the page.
- This form must be filled out by the district. Signatures are required by the Superintendent, School Board President and your PSFA Regional Manager (RM).
- District shall contact a qualified professional (architect or qualified facilities master plan consultant) and acquire a proposal based on an understanding and agreement of the scope of work, timeline for work to be completed, and rates for the services being performed, that shall be the basis of the contract.

Step 2. Hiring a Professional (Architect or Facilities Master Plan Consultant), when proposal fee is less than \$50,000:

- District acquires a written proposal from a professional (architect or qualified facilities master plan consultant).
- District reviews proposal, if necessary, with the PSFA Facilities Master Plan Director to review scope of work, timelines and rates.

Step 3 Contract Preparation and Processing

- District prepares two (2) copies of the required PSFA Agreement for Professional Services for signatures (download from www.nmpsfa.org) and Letter of Transmittal for \$0 Purchase Order. Agreement must include the terms described in the proposal and agreed upon by PSFA, the district, and the professional.

- District issues a \$0.00 purchase order to the professional, attaches both signed agreements, the professional's written proposal, and \$0.00 PO to the Transmittal Letter and forwards all documents to the PSFA Regional Manager. Note: The proposal and signed contracts are backup for the PO.
- PSFA RM forwards the documents to the PSFA Facilities Master Planning Director for approval.
- Documents are logged in and forwarded to PSFA Santa Fe for final review and issuance of a PSFA purchase order.
- One (1) set of documents including the PSFA letter of approval is returned to the district representative.
- One (1) set of documents including the PSFA purchase order and copy of PSFA letter of approval, are sent to the professional.
- A copy of all documents are forwarded to the PSFA RM, and a copy is retained in Santa Fe.

Step 4 – Payment Procedures

- The professional, upon completion of the work, shall invoice the district. District Representative shall review and initial invoice, then forward to the PSFA RM for approval by the PSFA Facilities Master Planning Director. NOTE: 20% of the professional's contract amount shall be withheld until a copy of the final District Facilities Master Plan has been reviewed for compliance with PSFA standards and approved by PSFA.

Professional Services Fees Over \$50,000

Below are the steps required to contract with a professional (architect or qualified facilities master plan consultant) when the anticipated fee is more than \$50,000 (not including gross receipts tax) or the district's threshold for acquiring professional services per 13-1-125 and 13-1-111, Competitive Sealed Proposals of the NM Procurement Code. Note: Check your Board Policy for adopted thresholds for purchases of Professional Services.

Step 1. Hiring a Facilities Master Planner, when Fees are More Than \$50,000:

- District downloads and prepares the required PSFA Request for Proposal (RFP) for Professional Services and legal advertisement templates from the PSFA website at www.nmpsfa.org.
- Legal notice shall be advertised in a local newspaper and on Bidnet (contact PSFA IT Dept. for instructions).
- RFP shall include the scope of work desired, the anticipated timeline for the completion of the work, and a schedule of events that includes the anticipated date of award.

Step 2. Evaluation Committee

- District shall appoint an evaluation committee that includes the PSFA RM and a minimum of two, but no more than a total of five, additional members that have knowledge and/or expertise in the district's proposed five year plan.
- Committee shall review and rank the proposals and recommend award of a PSFA Professional Services contract per district policy, either to the Board of Education or District Superintendent, based upon the highest ranked proposal scored per the criteria set forth in the RFP document.
- Upon approval, the district shall notify the successful Offeror and all other Offerors of the award.

Step 3 Contract Preparation and Processing

- District prepares two (2) copies of the PSFA Agreement for Professional Services for signatures (download from www.nmpsfa.org) and Letter of Transmittal for \$0 Purchase Order. Agreement must include the terms described in the proposal and agreed upon by PSFA, the district, and the professional.
- District issues a \$0.00 purchase order to the professional, attaches both signed agreements, a copy of the RFP, committee's ranked Offerors, letter of award, and \$0 PO to the transmittal letter, and forwards all documents to the PSFA Regional Manager.
- PSFA RM forwards the documents to the PSFA Facilities Master Planning Director for approval.
- Documents are logged in and forwarded to PSFA Santa Fe for final review and issuance of a PSFA purchase order.
- One (1) set of documents including the PSFA letter of approval is returned to the district representative
- One (1) set of documents including the PSFA purchase order and copy of PSFA letter of approval, are sent to the professional

Step 4 Payment Procedures

- The professional, upon completion of the work, shall invoice the district. district representative shall review and initial invoice, then forward to the PSFA RM for approval by the PSFA Facilities Master Planning Director. NOTE: 20% of the professional's contract amount shall be withheld until a copy of the final District Facilities Master Plan has been reviewed for compliance with PSFA standards and approved by PSFA.

IMPORTANT: Final Checklist for Application and Supporting Documentation:

- Cover letter complete with all items to be addressed in **Step 3**.
- Application signed by charter school and school district superintendent.
- Copy of current lease is included with the application if not on file with PSFA.
- An application package is provided for each lease for which funding assistance is being requested.

NOTE: A grant received for the lease payments of a charter school may be used by that charter school as a state match necessary to obtain federal grants pursuant to the federal No Child Left Behind Act of 2001, provided that;

- (a) federal funds shall be used to supplement lease payments provided by the state; under no circumstances may federal funds be used to supplant payments provided by the state;
- (b) federal match will be contingent upon an amount received through state funds

End of Check List

PSFA Process Owner:
Bill Sprick
Master Planning Manager
505-843-6272
bsprick@nmpsfa.org

How to Complete the Standards Based Funding Online Application: Step by Step Instructions

Overview:

The primary school facility funding resource in New Mexico is the Public School Capital Outlay Council's Standards-Based funding program, which assesses and ranks all state school district facilities, and allocates funding by greatest need, i.e., to facilities at the top of the ranked list. The following checklist is a guide to complete the Standards Based Online Application for PSCOC funding.

Do you have a password?

- Yes
 - No, please contact PSFA at: training_support@nmpsfa.org
-

Step 1. Attend PSFA's Standards Based Online Application training. See PSFA's website, www.nmpsfa.org (under the Training portal) for training dates. PSFA also can provide customized training sessions/dates, upon request.

Step 2. Pre-Application. District logs into the online application by accessing the PSCOC Application Process Portal located on www.nmpsfa.org , and completes the Pre-Application:

- Complete or Review the General District Information tab:**
 1. Summary of Need,
 2. Facilities Master Plan information, and
 3. District Maintenance.

- Complete or Review the Master Plan Priority List:**
 1. District's priority,
 2. Facility description, and
 3. Cost/ funding source.

- Complete the Requested Projects:**
 1. District's priority,
 2. Project description, and
 3. Estimated Cost.

Note: Select the existing facility that best justifies the need for this project.

Note: District submits the Pre-Application to the PSFA Regional Manager for review and comment.

Step 3. Full-Application. District accesses the online application and completes the Full-Application: (The Full-Application is not accessible until PSFA Pre-Application review process is complete.)

- Select projects to "Add to Full-Application"**
- Complete the Adequacy Standards Worksheet**

Note: The following resources are recommended for the completion of this worksheet:

1. PSFA Adequacy Planning Guide and Adequacy Standards,
2. FAD Executive Summary Report, and
3. Facilities Master Plan

Complete Statement of Anticipated Construction Funding/Expenses Worksheet with Design Professional (DP) assistance

Note: The following resources are recommended for the completion of this worksheet:

1. Total square feet estimates for new and renewal/renovation
2. Estimates of the total Site work, Building, MACC and Construction project costs by square foot; and
3. List of funding commitments for this project.

Complete the Project Phasing Worksheet

1. Include all sources of previously phased funding (local bonds, legislative appropriations or prior PSCOC awards),
2. Alternatives (temporary relief), and
3. Schedule and management information.

Note: Repeat Step 2 for each requested project.

District submits the Full-Application to the PSFA Regional Manager (RM). RM distributes documents to PSFA's administrative review team.

Step 4. District Submits Final Revisions after reviewing comments and feedback

Edit requested projects including worksheets, based on feedback

Print Application Signature Block

Note: Obtain the following signatures:

1. School Board President, and
2. District Superintendent

Complete the Waiver/Reduction Application, if applicable

Return the revised Application, Waiver/Reduction Application, and Signature Block by the deadline indicated in the PSCOC Standards-Based Capital Outlay Process Proposed Work plan/Timeline

Step 5. District Schedules Project Site Visit with PSFA RM

- PSFA will provide available dates for the site visit, along with a checklist for data and other items that the district will need to have available during the site visit.**
-

Step 6. All Site Visit Reports Complete and Shared with Districts

Note: The Site Visit Report is not accessible until PSFA Site Visit Reports process is complete.

- Access the Site Visit Report and review for comment or recommendations**
- Submit final revisions based on Site Visit Reports**

Step 7. District Prepares for the PSCOC Standards-Based Application Presentations

- District Reviews the Application**
 - District Researches data for questions presented in the Site Visit reports**
-

For Additional Information:

See PSFA's PSCOC Standards-Based Capital Outlay Application User's Guide, which can be found on the PSFA website, www.nmpsfa.org

PSFA Process Owner:

Selena Padilla
Systems Trainer
spadilla@nmpsfa.org
505-843-6272

End of Checklist

Special Program Assistance Funding

Overview:

Acting on behalf of the Legislature, the Public School Capital Outlay Council has in the past addressed specific public school facility needs with targeted funding programs. Such programs have included deficiencies correction, roof repair, and advances to address needs related to high population growth.

Special assistance funding programs have not, in the past at least, been permanent, and can vary in their methods of implementation and corresponding requirements.

For the most current information on available special funding, please contact PSFA's deputy director.

PSFA Process Owner:

Tim Berry
Deputy Director
tberry@nmpsfa.org
505-988-5989

Lease Assistance Application Checklist

Overview:

The following checklist applies to Lease Assistance Funding for Charter Schools and School Districts that are leasing facilities that are being utilized as educational spaces.

Prerequisites:

New Mexico state law provides that the Public School Capital Outlay Council (PSCOC) may grant awards for the purpose of making lease payments for classroom facilities, including facilities leased by charter schools. The amount of a grant to a school district shall not exceed:

- (a) the actual annual lease payments owed for leasing classroom space for schools, including charter schools, in the district; or
- (b) seven hundred dollars (\$700) multiplied by the full time equivalent enrollment (MEM).

A separate application for each facility for which a lease exists and lease payment assistance must be submitted.

Step 1. Check that the following information is included in the Lease Application:

- Square footage of administrative space
 - Square footage of non-administrative/classroom space
 - Average of the 80th & 120th MEM Counts (prior school year)
 - Square footage leased space per MEM
 - Total annual lease payment
 - Maximum allowable lease payment (MEM multiplied by \$700)
-

Step 2. Check that the cover letter accompanying the lease application addresses the following:

- The need for the additional space, if anticipated.
 - If space is available in an existing school district building, why the space does not meet the programmatic needs of the school.
 - If a charter school, indicate whether or not the charter school is included in the school district's current facilities master plan. If not, provide the anticipated date of inclusion.
 - If a charter school, briefly describe the long range plan for transitioning to public space by 2010. If public space is not projected to be available in the district to meet the school's programmatic needs, describe your future leasing needs beyond 2020.
 - If you received an award in 2007-2008 and no changes to a lease have been made, you have indicated that the current lease on file at PSFA is current and correct.
-

Step 3. If this is a first time application for lease assistance, or the lease on file at the PSFA is no longer current for the leased facility, attached a copy of the lease with the application and cover letter.

First year charter schools

First year charter schools enter the estimated full time equivalent enrollment (MEM) in **Step 1**. For all others, enter the average of the 80th & 120th day full time equivalent enrollment membership count (MEM) of the prior year as reported to the Public Education Department (PED).

Step 4. Final Checklist for Application and Supporting Documentation:

- Cover Letter complete with all items to be addressed in **Step 2**.
- Application signed by Charter School and School District Superintendent.
- Copy of current Lease is included with the application if not on file with PSFA.
- An application package is provided for each lease for which funding assistance is being requested.

Step 5. Reimbursement:

Reimbursement payments will be made upon presenting to the PSFA proof of lease payments made for the quarterly reimbursement period. Proof of payment may be a copy of the check issued to the leasing entity, or an official payment voucher issued for that purpose that has the approval signatures of the fiscal officer of the charter entity, or the school districts central purchasing agent, or their designee.

Reimbursement request periods for lease payments are from July 1 through September 30; October 1 through December 31; January 1 through March 31; and April 1 through June 30, 2008. Final 4th quarter reimbursement payments may be made prior to the period end date of June 30. Please contact PSFA to receive further instructions on early 4th quarter reimbursement payments.

Process Owner:
Gerald Pertner
PSFA Financial Specialist III
505-988-5989
gpertner@nmopsfa.org

End of Checklist

Small Purchases of Materials, Construction or Services District \$0.00 Purchase Order (PO) Step by Step Instructions

Overview:

Definition: A \$0.00 purchase order is a financial instrument developed by PSFA that is used when a PSCOC/PSFA/DCP project requires the purchase of materials, construction, or services within the threshold for Small Purchases 13-1-125 NMSA 1978 of the NM Procurement Code, or the district's threshold for Small Purchases, outside of an existing construction or design professional contract. Note: Verify your district's threshold for Small Purchases adopted by your Board of Education.

The \$0.00 PO, which is created by the district, is also the tool that a district uses to track fixed assets funded by others.

The following checklist applies to those small purchases of materials, construction, or other PSFA project related services which do not require a formal bid or request for proposal. When making small purchases, district shall make a good faith effort to obtain the best price, via written quotes, that are attached to the PO for processing. If procurement exceeds thresholds, proceed with a formal invitation to bid (ITB) request for proposal (RFP), or use another government entity contract, if applicable (see Box 9 checklist re "Piggybacking").

- Step 1. Determine if the estimated materials, construction, or services needed, are within the threshold permitted by State of NM or your local procurement regulations (Board policy). Your governing body, per 13-1-125 NMSA 1978 of the Procurement Code, must adopt "regulations" or "rules" or "policy" regarding small purchases. They may adopt thresholds that are lower than the State of NM, but not higher, or, they may adopt the State of NM regulations/thresholds for small purchases. This information must be verified before proceeding.**

If purchasing services, determine if services are non-professional or professional by definition in the Procurement Code (see below):

- A. State of NM "small purchase" thresholds per 13-1-125 NMSA 1978 of the NM Procurement Code:**

- Materials, construction, or services up to \$20,000 (13-1-125 NMSA 1978)**
NOTE: Definition of "services" in 13-1-87 NMSA 1978 "means the furnishing of labor, time or effort by a contractor not involving the delivery of a specific end product other than reports and other materials which are merely incidental to the required performance".
- Professional Services, including architects and engineers up to \$50,000 (not including GRT) and landscape architects and surveyors to up to \$10,000 (not including GRT) (see 13-1-125 NMSA 1978, SB 1147 NM 2007 Legislature)**
NOTE: Definition of "professional services" in 13-1-76 NMSA 1978 "means the services of architects, archeologists, engineers, surveyors, landscape architects, medical arts practitioners, scientists, management and systems analysts, certified public

accountants, registered public accountants, lawyers, psychologists, planners, researchers, construction managers and other persons or businesses *providing similar professional services*, which may be designated as such by a determination issued by the state purchasing agent or a central purchasing office”.

OR

B. School district “small purchase” thresholds:

- Materials, construction, or services up to \$ _____.
- Professional services, including architects and engineers up to: \$ _____.

If materials, construction or services are within the thresholds permitted by the State or district, proceed to **Step 2**. If not, a \$0.00 PO is not the appropriate procurement method. If you need further clarification on this or other steps, contact PSFA at 505-988-5989, ext. 2108 (Dotty McKinney, Contracts Administrator).

Step 2. Determine the additional supporting documentation to be submitted with the \$0.00 PO

- Materials, construction or services up to \$10,000 or district threshold:
Obtain a written quote from the preferred vendor and attach to the \$0.00 PO.
- Materials, construction or services between \$10,000 and \$20,000, or district threshold:
Obtain 3 written quotes. If you do not have 3 vendors in your area that can provide the required materials, construction or services, document your good faith effort to obtain the best price, and submit with your \$0.00 PO.
- Professional services, including architects and engineers up to \$50,000, landscape architects and surveyors up to \$10,000:
Requires a written proposal from the professional attached to the \$0.00 PO (the architect or engineer could be providing a structural report, a site analysis report, a master plan report, or some other service that does not require drawings and specifications necessary for construction).

If quotes and/or proposals are obtained and the work does not include drawings and/or specifications by a design professional, proceed to Step 3.

Step 3. Prepare the \$0.00 PO as follows:

- The “To Vendor” shall be the entity providing the materials, construction or services.
- The PO shall include:
 - a. PSFA project number and name of project.
 - b. Notation that the PSFA portion of the work will be paid directly to the contractor/vendor by PSFA
 - c. Description of materials, construction or services being procured.
 - d. Breakdown/cost of materials, construction or services, reflecting the PSFA share, and the district share, if applicable.
 - e. Gross receipts tax rate and amount of gross receipts tax for PSFA share and, if applicable, district share

- f. Total amount of materials, construction or services, and GRT to be paid by PSFA
Note: If district is sharing/participating in the cost of materials, construction or services with PSFA, the district may issue a PO directly to the vendor for the amount of the district’s participation, and send copy of PO with appropriate breakdown for PSFA processing in place of a \$0 PO. PSFA will issue a PO to the vendor for PSFA share.
- g. Attach the written quote(s) or proposal to the PO
 - Prepare a PSFA Letter of Transmittal for \$0 Purchase Order, sign, and submit all documents to the PSFA Regional Manager for review.
 - PSFA Regional Manager will forward documents to Santa Fe office for final processing.
 - Santa Fe office will issue a Letter of Approval and supporting documents to the district representative.
 - PSFA will issue a purchase order to the vendor for the amount of PSFA participation, and mail to the vendor with a copy of the Letter of Approval and supporting documents.
 - PSFA will issue a copy of all documents to the Regional Manager and retain a record copy.

IMPORTANT INFORMATION:

If it is determined that that the district requires a design professional (architect, engineer) to produce drawings and/or specifications, the \$0.00 PO is not the appropriate method of procurement. In this case, the district is required to use the current PSFA Agreement Between Owner and Design Professional Part A and General Conditions for Design Professional Part B, which is available on our website at www.nmpfsa.org. The PSFA Agreement Between Owner and Design Professional and General Conditions requires a “professional liability” certificate of insurance, a design/bid schedule, and allows for amendments to the contract for additional services that may be required as the project progresses.

**SMALL PURCHASES PRIMER FOR STATE OF NM
 IF ESTIMATE EXCEEDS THESE THRESHOLDS,
 THEN PROCEED TO A FORMAL ITB OR RFP PROCESS**

Services	Threshold \$20,000	Example: electrician, plumber, painter, report or survey
Professional Services	Threshold \$50,000	Example: medical practitioner, lawyer, analyst, psychologist, planner, construction manager, etc.
Qualified		
Professional Services	Threshold \$50,000	Example: architect, or engineer to produce drawings and specifications for a construction project, use PSFA DP contract
	Threshold \$10,000	Example: landscape architect or surveyor producing drawings and specifications or technical report for a project, use PSFA DP contract

Process Owner: Dotty McKinney
PSFA Contracts Administrator
505-988-5989
dmckinney@nmpfsa.org

End of Checklist

STEP BY STEP INSTRUCTIONS: USE OF GSA OR OTHER GOVERNMENT ENTITY CONTRACTS OR 'PIGGYBACKING' FOR PURCHASES OF MATERIALS, CONSTRUCTION OR SERVICES

Overview:

The NM Procurement Code allows any NM government entity (city, county, school district, university, or State of NM) to use any other NM government entity contract for materials, construction, or services, or professional services, if certain conditions are met. It is acceptable procurement practice to inquire within another government entity to determine if they have an existing contract in place that can be utilized to meet your needs in lieu of the time it may take to develop specifications or scope of work, and go through the formal bid or request for proposal process.

Since the entity that is holding the contract has already gone through the formal invitation to bid or request for proposal process, the dollar thresholds stated in 13-1-125 NMSA 1978, small purchases, do not apply. Only the contract limitations, if any, apply. If the contract is a "definite quantity" contract, your purchase order cannot exceed the quantities remaining on the contract. Therefore, it is also good procurement practice to ask the contracting entity if you may use (that is, "piggyback") onto their contract. You must obtain a copy of their contract and bid documents, to determine if the specifications, scope of work, and terms and conditions do in fact meet your requirements, before proceeding.

If the contract you wish to use is an "indefinite quantity" contract, it is good business and procurement practice that you contact the entity that holds the contract as well as the vendor, to confirm that your procurement can be fulfilled.

13-1-129 NMSA 1978 of the Procurement Code states: "the state purchasing agent or central purchasing office may contract for materials, construction, or services without the use of competitive sealed bids or competitive sealed proposals, at a price equal to or less than a federal supply schedule (GSA), if the contractor indicates in writing that the district may do so".

Further, it states: "the government entity (district) may also procure from a business that has a current exclusive or nonexclusive price agreement (indefinite or definite quantity contract) issued by the State of NM or any other city, county, or educational institution, if the business agrees and can meet the requested quantities, etc."

The following checklist applies to those purchases of materials, construction, or other project related services through the use of an existing contract that you have determined is appropriate for your needs.

Step 1. Obtain a copy of pertinent documents issued by the procuring government entity.

- a. If "piggybacking" on another NM government entity contract, documents may vary from entity to entity, and may be any of the following: the bid documents, a blanket purchase order, a price agreement, a contract, a request for proposal, and if applicable, a notice of award, contract amendments, or contract extensions. Check the date that contract expires, and when, if applicable, the contract will be renewed to ensure you are using a valid contract.

- b. If utilizing a GSA (federal government General Services Administration) contract, you must have a letter of authorization from the contractor (not the salesman) extending the pricing, terms and conditions to your district.
- c. If utilizing a State of NM Price Agreement, you can download the documents off the State Purchasing Division (SPD) website at www.state.nm.us/spd, *Price Agreements*.

NOTE: 13-1-129 NMSA 1978, paragraph B., requires that you have a copy of the contract/bid documents in your procurement file for public inspection, for the use of auditors, to document that the procurement is valid; and for procurement purposes, to verify that you have correct pricing, shipping information, terms and conditions, etc.

Step 2. Prepare the \$0.00 PO as follows:

- a. The "To Vendor" shall be the entity contracted to provide the materials, construction or services.
Note: If district is sharing the cost of materials, construction or services with PSFA, the district may issue a PO directly to the vendor for the amount of the district's participation and PSFA's participation. The district PO would follow Steps 2b through 2e as well.
- b. The PO shall include:
 - 1) Description of materials, construction or services being procured.
 - 2) Note that the PSFA share will be paid directly to the vendor by PSFA.
 - 3) Note the contract number and expiration date of the contract you are utilizing
- c. Line showing the breakdown/cost of materials, construction or services, reflecting the PSFA share, and the district share, if applicable, exclusive of gross receipts tax.
- d. Line showing the gross receipts tax rate and amount of gross receipts tax.
- e. Line showing the grand total of materials, construction or services, and GRT.
- f. Attach copy of contract documents or proposal to the PO (Review Step 1).

Step 3. Prepare a PSFA Letter of Transmittal for \$0.00 Purchase Order, sign, and submit all documents to the PSFA Regional Manager for review.

- PSFA Regional Manager will forward documents to Santa Fe office for final processing
- Santa Fe office will issue a Letter of Approval and supporting documents to the district
- PSFA will issue a purchase order to the vendor for the amount of PSFA participation, and mail to the vendor with a copy of the Letter of Approval and supporting documents
- PSFA will issue a copy of all documents to the Regional Manager and retain a record copy

NOTE: If you find a RFP/Proposal that you want to use, double check the language and scope of work in the document to verify that you may in fact use the contract, and that the specifications or scope of work meet your requirements. When using PSCOC/PSFA/DCP funds, you cannot "piggyback" on a design professional agreement for drawings and specifications. The Procurement Code, 13-1-120, requires the scope of work stated in the RFP to be unique and specific to a project(s) and therefore is not considered open-ended. This would also apply to the construction project(s) for the scope of work/building(s) described in the RFP. They are "unique, one-time designs/projects and therefore are not open-ended.

However, you can "piggyback" on an *open-ended* construction contract, such as a JOC (Job Order Contract). See Section 16, All Construction Contracts, for further information or contact your Regional Manager or PSFA Process Owner for the particular section you have questions about.

PSFA Process Owner:

Dotty McKinney

PSFA Contracts Administrator

505-988-5989

dmckinney@nmgsfa.org

End of Checklist

STEP BY STEP INSTRUCTIONS: INVITATION TO BID (ITB) FOR PURCHASES OF MATERIALS, CONSTRUCTION OR SERVICES

Overview:

When you have determined that there is no other government entity contract that may be utilized to provide the materials, construction, or services you require, and the amount of the procurement, exclusive of gross receipts tax, exceeds the Small Purchases threshold for the State of NM or your board of education policy, then you must initiate a formal Invitation To Bid procurement. The steps below are governed by the State of NM Procurement Code, 13-1-102 through 13-1-110 NMSA 1978, and the State of NM NMAC 1.4.1. et. al.

The following checklist applies to those purchases of materials, construction, or other services through the use of a formal Invitation to Bid. NOTE: For a public works/construction project (the design fees exceed \$50,000 plus gross receipts tax), your design professional is responsible for preparation of bid documents and advertisement for bid per PSFA Agreement Between Owner and Design Professional Part A, and General Conditions Part B.

Step 1. Determine the need and timeline for procurement

- a. Prepare a “legal notice” for the Invitation to Bid which includes your district information, the title and number assigned to the bid, and the place, date and time for deadline to receive bids. A legal notice template is available on the PSFA website at www.nmpsfa.org, Contract Documents and Forms, Invitation to Bid Legal Notice.
- b. Publish legal notice one time in a newspaper of local circulation and on BidNet.
 - a. Allow a minimum of 10 calendar days (see 13-1-104 NMSA 1978) from the day the bid is advertised to the day the bids are received.
Example: If bid is advertised on a Sunday, the minimum 10- day count begins the next day, or Monday.
 - 2) You may advertise for a longer period of time, depending on the complexity of the procurement and your needs. (Industry standard for a construction project is a 30-day period).

Step 2. Prepare Invitation to Bid documents to include the following:

- a. Purpose of the Invitation to Bid
- c. Specifications and/or Scope of Work
- d. Conditions of work (General Conditions)
- e. Date, time and place bids will be received
- f. District contact information for clarification, etc.
- g. Terms and conditions which may include contract protections, insurance requirements, payment procedures, termination for cause or if funding is no longer available, subcontracting, ownership of documents, etc. See documents at www.nmpsfa.org, Contract Forms and Documents.
- h. Instructions to Bidders
- i. Bid Form
- j. Amend bid documents if required
- k. Allow corrections to bids prior to bid opening, if required

Step 3. Receipt and Opening bids

- a. Late bids must be rejected. It is the bidder's responsibility to get their bid to you at the appointed place, date and time.
- b. Date and time stamp bids received.
- c. Bids are opened publicly in the presence of a minimum of one witness.
- d. Bids shall be read aloud and recorded or tabulated on a form for evaluation purposes.
- e. After bids are opened and the "apparent low bid" is evident, reserve the right to determine if the bidder/bid is "responsible" before awarding a contract.
NOTE: 13-1-82 NMSA 1978 "responsible bidder" means a bidder who submits a responsive bid and who has furnished, when required, information and data to prove they have the financial resources, production or service facilities, personnel, service reputation and experience to adequately and satisfactorily deliver the materials, construction, or services described in the Invitation to Bid.
- f. Contract Award – notify the winner by phone and in writing.
- g. Notify the winner in writing.
- h. Issue a contract, blanket purchase order, etc. that identifies all required information, including the contract number and date of expiration, and number of extensions, if applicable.
- i. Oversee Administration of the Contract and Changes to the Contract.
Check to ensure the vendor is performing, schedules are being met, that payments are being made on time, that any certificate of insurance, if required, is current, etc...
If vendor is not performing, review your contract language for remedy of problems, contact the vendor to rectify, or terminate the contract and re-bid, if appropriate.

NOTE: The State of NM NMAC Regulations 1.4.1 describe the Invitation to Bid process in great detail, including how to handle withdrawal of bids, mistakes in bids, evaluation criteria, statutory/in-state preferences, etc. It is highly recommended that you review the NMAC 1.4.1 Regulations to better manage your procurement process and resulting contract. This document is available on the State Purchasing Division website at www.state.nm.us/spd.

PSFA Process Owner:
Dotty McKinney
Contracts Administrator
505-988-5989
dmckinney@nmpsfa.org

End of Checklist

STEP BY STEP INSTRUCTIONS: REQUEST FOR PROPOSAL (RFP) FOR PROFESSIONAL SERVICES, CONSTRUCTION, FACILITY MAINTENANCE, SERVICE AND REPAIRS

Overview:

When you have determined that there is no other government entity contract that may be utilized to provide the materials, construction, service, or professional services you require, and the amount of the procurement, exclusive of gross receipts tax, exceeds the Small Purchases threshold for the State of NM or your board of education policy for professional services, construction, facility maintenance, service and repairs you require, then you must initiate a formal request for proposal procurement. The steps below are governed by the State of NM Procurement Code, 13-1-111 through 13-1-117 NMSA 1978, and the NMAC Regulations 1.4.1.29 through 1.4.1.43, and 1.4.8.1 through 1.4.8.17 respectively. These statutes and regulations must be reviewed prior to initiating this process.

Of special note here is that you may procure a construction project through the formal request for proposal process, either through a RFP for construction or Construction Manager at Risk. The proposal documents that outline this process are available on PSFA website at www.nmpsfa.org, under Contract Documents and Forms. The NMAC Regulations 1.4.8.1 governing the RFP for Construction process are available on the State of NM Purchasing Division website at www.state.nm.us/spd. And a copy of HB 303 governing the Construction Manager at Risk method of procurement is available on the NM Legislature website at <http://legis.state.nm.us/lcs/committees.asp>, under the 2007 legislative session. Please contact your Regional Manager or the Process Owner listed at the bottom of this section if you are considering this method of procurement for a construction project identified in your facilities master plan.

The following checklist applies to the procurement of professional services, construction, facility maintenance, service and repairs. This does not include procurement of ‘qualified’ professional services of architects, engineers, landscape architects or surveyors that require drawings and specifications. This type of procurement is covered under a different section of the Code and PSFA Project Development Procurement Stage, Section 10.

Step 1. Determine the Scope of Work and specifications

Per 13-1-111 NMSA 1978, the district must make a ‘determination’ or *document in writing, that the materials, construction, or services cannot be procured by formal invitation to bid* because it is either not practicable or advantageous to the district. This letter of determination shall become a part of the procurement file to which it pertains.

- a. Draft a request for proposal document: Include the scope of work and specifications, and expectations of the desired timeline for execution of the work.
- b. Pre-Proposal Conference: Determine if a pre-proposal conference will be held, if it will be mandatory or not, and the date, time, and place the conference will be held.
- c. Prepare a “legal notice” for the Request for Proposal which includes your district information, the title and number assigned to the proposal, a brief description of the scope of work, and the place, date and time the pre-proposal conference will be held, if applicable, and the date, place and time for deadline to submit proposals. A template is available on the PSFA website at www.nmpsfa.org, Contracts and Forms, Request for Proposal Legal Notice.

- d. Legal Notice: Publish legal notice one time in a newspaper of local circulation and on BidNet.
- 1) Allow a minimum of 10 calendar days (see 13-1-104 NMSA 1978), from the day the proposal is advertised to the day and time proposals are received.

NOTE: 20 days are recommended in the NMAC 1.4.1 Regulations. You may advertise for a longer period of time, or a minimum of 10 days, depending on the complexity of the procurement and your needs.

Step 2. Evaluation Committee

- a. Number of members: Committee shall be a minimum of three (3) people who have expertise in the scope of work/specification of the proposal. Committee shall be an odd number (3, 5, 7) etc. of members to avoid a “tie” which could adversely affect the process. The procurement official may or may not be a scoring member of the committee. Generally, the procurement official should be a fair and unbiased participant that is responsible for managing the procurement.
- b. Schedule of Events: Assemble the committee to map the calendar or schedule of events for the procurement.
- c. Commitment to the procurement: Ensure that your committee is available through the entire procurement process so that you don’t have to replace a committee member that has a commitment they failed to mention. Emergencies do happen, so plan to have a back-up member that can step in if needed. You have an obligation to provide a fair evaluation to all Offerors.
- d. Board members on committees: It is highly recommended that you do not allow or invite a sitting board member to participate on the evaluation committee as a scoring member, particularly if the board member will ultimately vote on the committee’s recommendation for award of a contract at a formal board meeting. This is undue influence on the outcome of the procurement that may be perceived by other Offerors as being unfair, or result in a protest that could adversely affect your procurement.

Step 3. Prepare the final Request for Proposal documents to include the following:

- a. Purpose of the Request for Proposal
- b. Scope of work and detailed specifications
- c. Final schedule or calendar of events for the procurement
 - 1) pre-proposal conference
 - 2) deadline to submit questions in writing
 - 3) date to submit proposals
 - 4) evaluation schedule
 - 5) interviews, if held
 - 6) award of contract
- d. District contact information for clarification, etc.
- e. Conditions for the work
- f. Contract protections such as terms and conditions to include insurance requirements, payment procedures, termination for cause or if funding is no longer available, subcontracting, ownership of documents, etc. See documents at www.nmpsfa.org, Contract Forms and Documents, Request for Proposal for Construction.
- g. Instructions to Offerors
- h. Method of evaluation of proposals based on points assigned to key areas and pricing

- i. Documents that may be required in proposal submission and example of weighted scoring:

Example: Company history	25 points
Resumes of individuals assigned to the project	15 points
Approach to the scope of work	10 points
Ability to meet schedule	5 points
Similar projects of record	5 points
Price/cost proposal *	<u>25 points</u>
TOTAL	100 points

*** Price/cost proposal – it is imperative/mandatory that Offerors are instructed to submit their pricing/cost proposal in a separate, sealed envelope that is easily identifiable, to be removed and stored in a secure place until proposals have been evaluated and scored. Committee must focus on qualifications before considering price/cost to perform the work.**

- j. Request all questions for clarification of RFP process or scope of work, in writing. Respond to all questions submitted in writing and distribute to everyone who has requested a copy of the RFP document. This ensures everyone is responding to current information, and that the procurement is being conducted in a fair and equitable manner.
- k. Amend proposal documents if required, prior to receipt of proposals.

Step 4. Receipt and Opening Proposals

- a. Late proposals shall be rejected. It is the Offeror’s responsibility to submit their proposal at the date and time designated in the RFP.
- b. Date and time stamp proposals received.
- c. Proposals *are not* opened publicly. Procurement official will open proposals in the presence of a witness, record the proposals received, and procurement official and witness sign the record.
- d. Procurement official will review proposals for responsiveness, or non-responsiveness and record reasons for non-responsiveness. Proposals that are clearly non-responsive will be rejected and Offeror notified in writing of the reason(s).
NOTE: 13-1-82 NMSA 1978 “responsible offeror” means an offeror who submits a responsive proposal and who has furnished, when required, information and data to prove they have the financial resources, production or service facilities, personnel, service reputation and experience to adequately and satisfactorily deliver the materials, construction, or services described in the RFP.
- e. **Procurement official will remove the cost proposal and store in a secured place until the committee has completed the evaluation of proposals exclusive of price.**

Step 5. Evaluation of Proposals

- a. Committee will review proposals and score based on the criteria set forth in the RFP document.
- b. Procurement official may ask Offerors for clarification of proposal, if required.
- c. After all proposals have been scored and tabulated, the price proposal envelopes will be opened, recorded, and points applied as set forth in the RFP document.
- d. Procurement official may ask Offerors for clarification of proposal, if required.
- e. Committee will rank Offerors and determine if interviews will be held.

- f. If interviews are to be held, procurement official will notify the ranked Offerors of the date, time, and location of same.
- g. Procurement official will distribute the same set of questions to each Offeror to be addressed in the interviews, along with the point values assigned to each question.
- h. Committee may ask other questions in interviews for clarification of the proposal.

Step 6. Interviews, and Best and Final Offer

- a. Offerors shall be scored per interview questions and those scores may be added to the existing scores and rank, or the proposals may be rescored entirely based on the outcome of the interviews, and the method described in the RFP document.
- b. If, after interviews, a clear winner is evident, the successful Offeror will be notified in writing. The other ranked Offerors shall be notified in writing as well.
- c. If, after interviews are completed, the committee is not satisfied with certain areas of the highest ranked Offeror's proposal or the price proposal, the committee may ask the Offeror for a "best and final offer" and negotiate to bring the proposal in line with the needs of the district. The Offeror shall respond to the committee's request in writing. The committee may or may not accept the Offeror's revised proposal.
- d. If negotiations fail, the district may go to the second ranked Offeror and negotiate a proposal that best meets the needs of the district, or the third ranked, if the second ranked Offeror does not negotiate a successful contract.
- e. Or, the district may determine it is in their best interest to cancel the procurement and re-advertise the RFP. This must be documented in writing and placed in the procurement file.

Step 7. Award and Administration of Contract

- a. Notify the successful Offeror in writing.
- b. Prepare a separate agreement, such as Professional Services Agreement, Contract for Construction, Contract for Maintenance Services, etc., if applicable. Contract templates are available on the State of NM Purchasing Division website at www.state.nm.us/spd. The contract shall include the scope of work, terms and conditions, and the RFP document and amendments by reference.
- c. Changes to the Contract
Check to ensure the vendor is performing, schedules are being met, that payments are being made on time, that any certificate of insurance, if required, is current, etc.
If vendor is not performing, review your contract language for remedy of problems, contact the vendor to rectify, or terminate the contract and re-bid, if appropriate.

Additional Information: The State of NM NMAC Regulations 1.4.1.29 through 1.4.1.43 describes the Request for Proposal process in great detail. It is highly recommended that you review the Regulations to better manage your procurement process and resulting contract. This document is available on the State Purchasing Division website at www.state.nm.us/spd.

PSFA Process Owner:
Dotty McKinney
Contracts Administrator
505-988-5989
dmckinney@nmpsfa.org

End of Checklist

Step by Step Instructions: Request for Proposal (RFP) For Design Professional Services For Joint District/PSCOC-PSFA Projects

Overview:

Prior to a district and the PSCOC partnering to fund a public school capital outlay project, a Joint Powers Agreement (JPA) is signed by the PSCOC and the school district. The JPA outlines the roles and responsibilities that the Owner (district) and temporary project Co-owner (PSFA/PSCOC) will assume from award of funds to project completion. The JPA requires that the district's board of education appoint a "District Representative" (DR) who is entrusted with the board's authority to enter into contracts on their behalf. The language in the JPA allows the appointed DR to move forward and expedite procurement decisions, sign contracts and approve amendments or change orders without having to wait for board approval. When project decisions are not made in a timely manner, RFP's may have to be re-advertised, or projects re-bid, which can have a extremely adverse effect on the budget and timely completion of the project to meet the facility needs of students.

Implementation of Plans: The district, in order to carry out the goals and objectives identified and prioritized in the five-year master plan, must acquire the services of a design professional (DP) or a qualified, professional architect, engineer, landscape architect, or surveyor to carry out their mission.

When you require the services of a DP, the RFP process has its own set of procurement guidelines and evaluation processes in addition to the other Procurement Code requirements for request for proposals. The professional services needed to produce drawings, specifications, maps, etc., carry a certain liability to both the district and the professional entity, and require that the entity be properly licensed so that drawings, specifications, etc. meet all of the local and/or national laws, codes, local requirements, etc. necessary to provide a safe, complete environment.

If the project(s) estimated design fees exceed \$50,000 you shall acquire DP services through the formal RFP process. Important definitions in the Procurement Code to review are: (13-1-31 architectural services; 13-1-55 engineering services; 13-1-65 surveying services; and 13-1-66 landscape architectural services). which describes "design work", plans and specifications, maps, surveys, etc. *that are required for construction*. Other key statutes to be reviewed and considered are:

13-1-66.1 NMSA 1978. Definition; local public works project.

"Local public works project" means a project of a local public body which uses architectural or engineering services requiring professional services costing fifty thousand dollars (\$50,000) or more, or landscape architectural or surveying services requiring professional services costing ten thousand dollars (\$10,000) or more, excluding applicable state and local gross receipts taxes.

13-1-119 NMSA 1978. Competitive sealed qualifications-based proposals; architects; engineers; landscape architects; surveyors; additional requirements.

"In addition to compliance with the requirements of 13-1-112 through 13-1-114 and 13-1-116 through 13-1-118 NMSA 1978, a state agency or local public body, when procuring the services of architects, landscape architects, engineers or surveyors for state public works projects or local public works projects, shall comply with Section 13-1-120 through 13-1-124 NMSA 1978.

The following steps will guide you through the “qualifications based proposal” process for architects, engineers, landscape architects, or surveyors.

Step 1 Identify the school(s) and related projects for which additional and/or new DP services are needed.

Determine if a current district DP agreement can be utilized.

- IF an existing DP agreement is in force and the proposed project(s) and related DP services were identified in the original request for proposal (RFP) and
- The existing DP is not an ‘open-ended’ agreement, then
- Amend the existing contract with the PSFA Amendment for Additional Services Form available on the PSFA website at www.nmpsfa.org, Contract Documents and Forms, Design Professional Forms, and proceed with Step 9 below.

OR

- If services are under \$50,000 (see Procurement Code 3-1-125 NMSA 1978) you may enter into a DP contract without going through a formal RFP (see Section 9, Small Purchases)
- If services are over \$50,000 (see Procurement Code 13-1-120 Qualifications-based request for proposals) proceed to **Step 2**, formal RFP for DP services process

Step 2 Define each Project and the scope of related DP services to be required including (if applicable):

- Each Project’s type, size & general description
- Each Project’s maximum allowable construction cost (MACC) & schedule constraints
- DP services (design, bid, construction administration, etc.).

Step 3 Draft the RFP to solicit proposals from the design community

- PSFA’s required RFP template available online (see www.nmpsfa.org, under “*Contract Documents & Forms- Design Professional Forms*”)
- Determine if a pre-proposal conference will be held
- Issue amendments to the RFP as needed

Step 4 Post the Legal Notice for Design Professional in newspaper of general circulation

- PSFA's required Legal Notice template for Design Professionals is available online (see www.nmpsfa.org, under “*Contract Documents & Forms- Design Professional Forms*”)
- It is **not** necessary to publish the entire RFP Scope of Work in the legal notice.

Step 5 Establish the Selection Committee, conduct the initial proposal evaluation, and develop a Shortlist, if the number of responses warrant it (review 13-1-120 NMSA 1978).

- PSFA’s interview question list is available online (see www.nmpsfa.org, under “*Contract Documents & Forms- Design Professional Forms*”)
- Committee shall be no less than three diverse, knowledgeable, and unbiased parties
- Must use the basic scoring system, items 1-7 contained in the RFP document and 13-1-120.

Step 6 Notify Responsive and Non-Responsive Offerors in writing of Shortlist results

- PSFA Finalist Interview letter and letter of rejection are available online (see www.nmpsfa.org under “*Contract Documents & Forms- Design Professional Forms*”)

Step 7 Conduct interviews with shortlisted Offerors and score interviews

- Distribute interview questions; then interview in order of Shortlist rank (see www.nmpsfa.org, under “Contract Documents & Forms- Design Professional Forms”)

Step 8 Negotiate Contract and announce the Award(s)

- Notify Successful Offeror and shortlisted Offerors of the evaluation results in writing (Sample “finalist letter & sorry letter” are available online at www.nmpsfa.org, under “Contract Documents & Forms- Design Professional Forms”)
- Negotiate contract with highest scored Shortlist interview Offeror
- If unsuccessful, negotiate with next highest scored Shortlist Offeror

Step 9 Execute PSFA Owner/Architect Agreement

- PSFA DP Agreement Part A and General Conditions Part B are available online (see www.nmpsfa.org, under “Contract Documents & Forms- Design Professional Forms”)
- Prepare and distribute a PSFA Letter of Transmittal and two (2) original contracts, including a certificate of insurance, to applicable parties for signatures and return to PSFA Regional Manager for review. Please note Page 2 of the contract must reflect breakdown of participation between the district and PSFA.
- PSFA Regional Manager will forward to PSFA Santa Fe Office for final approval, signatures, and processing
 - One (1) signed contract will be returned to the district representative with a letter of approval for the district's records
 - One (1) signed contract will be returned to the architect along with a copy of the letter of approval and a PSFA PO that reflects PSFA’s participation in the project

Step 10 Acceptance and execution of DP Proposal-(This applies only if district has existing DP Agreement)

- Prepare a PSFA DP Additional Services Proposal/Amendment and Transmittal Letter available online at (www.nmpsfa.org) under “Contract Documents & Forms- Design Professional Forms”)
- Distribute Amendment to applicable parties for signatures and return two (2) original copies to PSFA Regional Manager for review. Note: district must attach a copy of the RFP for Design Professional Services, letter of award, and DP certificate of insurance to the Amendment
- PSFA Regional Manager will forward to Santa Fe Office for final approval and processing
 - One (1) Amendment will be returned to the district representative with a letter of approval for the district's records, (1) Amendment will be returned to the architect along with a copy of the letter of approval and a PSFA purchase order that reflects PSFA’s participation in the project.

PSFA Process Owner:
Dotty McKinney
Contract Administrator
505-988-5989
dmckinney@nmpsfa.org

End of Checklist

Design Process for Joint District/PSCOC-PSFA Projects

Overview:

The following serves as a guide in the process of “defining” the awarded project in relation to its scope and budget. The design process begins by conducting a comprehensive utilization study (see Box 4), and interpreting the educational program.

- Step 1 District Representative (DR) and PSFA Regional Manager (RM) to meet with Design Professional (DP) to further define the scope and project budget of the Public School Capital Outlay Council (PSCOC) Award.**
- PSCOC Award & participation limited to meet NM Adequacy Standards
 - Verify the district’s participation per PSCOC award & other available funding such as grants, special allocations, et al.
 - Districts may choose to design and construct facilities above adequacy; in doing so, the district will bear **all** associated costs for design and construction of these spaces
-
- Step 2 Form a project design team- (e.g. current facility users, district personnel, PSFA-RM, district Rep.)**
- District to determine user representatives to participate with the DP to develop the educational program requirements and objectives
 - Team to review design schedule and set up place, time, and dates of subsequent progress meetings
 - District & PSFA to apprise the design team and DP of project scope and constraints
-
- Step 3 Defining the project**
- District to provide additional information and/or invite specific personnel as necessary, to assist the DP in the project development, ensuring that site utilities, fire protection, easements, and all other required information is being incorporated and addressed.
 - District to help prepare and review each RASC submittal and materials at every required design phase (e.g. Program Statement, Schematic Design, Design Development, Bid Documents) See Request for Approval of School Construction (RASC), Box 12
 - Continuous project team review of project budget, maximum allowable construction cost (MACC) to adequacy, and the project schedule as outlined in the Memorandum of Understanding (MOU), to ensure it is being met. Failure to meet this requirement will cause delays and potentially jeopardize the project in its entirety.
-

Process Owner:

Pat McMurray

Senior Facility Manager

505-843-6272

pmcmurray@nmpsfa.org

End of Checklist

Request for Approval of School Construction (RASC) Checklist & Instructions

Overview:

This document outlines how to process an RASC for each stage of project submission.

Step 1. Obtain a Request for Approval of School Construction (RASC) form from the PSFA website www.nmpsfa.org, under the “Planning & Review” portal – see the “forms” area near the middle of the page.

- This form is required for EACH different submission stage: 1) Program Statement, 2) Schematic Design, 3) Design Development, and 4) 100% Construction Document.
- Form must be filled out by the Architect (usually) and/or the district, signed by the Superintendent, the Architect and the PSFA Regional Manager (RM). If the project does NOT contain PSCOC funding, then a signature from PSFA’s RM is not required.

Step 2. Required information for the Program Statement form includes such items as;

- Educational programming; provided by district
- Overall project and Maximum Allowable Construction Cost (MACC), provided by your design professional
- How the project serves the needs of the school and district; provided collaboratively from your design professional and the district
- Number of grade levels of students to be served; provided by the district
- Programs to be served; provided by the district
- Number of teaching spaces; provided by the district
- Number of teachers; provided by the district
- Utilization of the new and existing classrooms; support spaces and potential shared use facilities; provided collaboratively from your design professional and the district
- Provide the name of your roofing consultant and/or HVAC consultant for this project.
- Document all requirements for supplemental warranties and extended maintenance warranties required by owner are communicated to the design professional for incorporation into the project, such as roofing warranty from the manufacturer as well as the subcontractor, 3 year extended maintenance warranty (HVAC) or other

Step 2a. For existing building with additions and or renovations; include all of the above, as well as the following:

- Class schedule; provided by the district
- Teacher and room assignment/ room number; provided by the district
- Floor plan with teacher identification and type of subject taught written in each teaching space; provided collaboratively from your design professional and the district
- Current class size per teaching space/period; provided by your design professional

Step 3. Funding Sources will need to be included on the last page of each submission. The following are different sources of funding and which agency to contact to verify this information.

- District local general obligation bond – district, financial manager and/or superintendent
- School Building Act (HB-33) – district, financial manager and/or superintendent
- Capital Improvements Act (SB-9) district portion from county –district, financial manager and/or superintendent
- Capital Improvements Act (SB-9) State Match from PED – PED 827-6337
- Public School Capital Outlay- PSFA 843-6272
- Legislative appropriations, all sources – PED 827-6337
- Other

Step 4. Required information for the Schematic Design is a preliminary project form with the information needed provided by your design professional it includes such information as:

- Preliminary Project Description (PPD) that clearly indicates the extent and relationship of the project components.
- Schematic documents that include preliminary schematic drawings.
- Description of any special or unique conditions which could create an exception to Adequacy Standards.
- Proposed building type of construction and allowable area calculations.
- These documents should include a Site Plan, including drainage patterns.
- A brief description of proposed mechanical and electrical systems.
- If facility is planned to hookup to any utility, a signed affidavit by each utility provider is required describing expected capacity, such as ability to support water flow required for fire protection system. If utility is not currently present, affidavit must verify availability prior to expected facility Certificate of Occupancy.
- A brief description of fire flow.
- An overall project budget that includes a Level 1 UniFormat™ probable project cost estimate.
- Provide the name of your roofing consultant and or HVAC consultant for this project.
- Confirm that all provision for all project warranties are properly included in the project scope.

***Funding sources will need to be included on the last page of each submission.**

Step 5. Required information, provided by your Design Professional, for the Design Development Design includes such information as:

- Design Development (DD) documents that finalize and describe the size and character of the entire project, and should be approximately 60% complete.
- Project Manual and plan documents with elements, such as civil, structural, mechanical and electrical systems, special systems including alarms, fire protection systems, roofs, walls, floors fully developed and lacking only specific installation details required to construct.
- Clearly indicate which flood plain or drainage artery (if any) the site is located within.
- An overall project budget accompanied by a Level 2 UniFormat™ probable project cost estimate.
- 1 (one) copy of the Energy Minerals and Natural Resources Department's Certification Form.
- Have roofing consultant and or HVAC Performance Assurance Consultant PAC review drawings
- Confirm that all provision for all project warranties are properly included in the final Bid Documents,

*** Funding sources will need to be included on the last page of each submission.**

Step 6. Required information, provided by your design professional, for the 100% Construction Document form includes all of the items needed in the Design Development submittal as well as:

- (1) one digital set in CD-ROM format-complete plans and Project Manual, including all bid documents
- An overall project budget that includes Level 3 UniFormat™ detail estimate.
- Energy Minerals and Natural Resources Certification Form
- Provide (1) one completed NM State Fire Marshal's Office (SFMO) submittal form

PSFA Process Owner:

Martica Santistevan
Planning & Design Manager
msantistevan@nmopsfa.org
505-843-6272

Design Professional Access to CIMS

Overview:

PSFA's Construction Information Management System (CIMS) is a web-based platform that automates and integrates the complex processes involved in managing projects, programs, resources and assets across the lifecycle of a facility, and is used by PSFA as the primary project development and construction management system. This platform integrates the flow of information and communication between project team members, contractors, managers, and others. Project participants can easily collaborate with visibility into the same documents and information resulting in saving time, reducing the potential for error, and accelerating project milestones.

Step 1 Obtain CIMS user ID and Password.

1. Submit User Information to PSFA:

- Complete CIMS Contact Information Sheet (See Box 15, Page 2).

2. Submit to PSFA:

- Email the CIMS Contact Information Sheet to training_support@nmpsfa.org
-

Step 2 Obtain/Request Training.

1. Navigate to www.nmpsfa.org.

2. Select Training.

3. Locate a training session under the Construction Information Management System (CIMS) Training - Locations/Dates section.

4. Submit registration.

- a. Print the registration form and fax to 505-843-9681, or
 - b. Click on the "Register Online Now" button.
-

Step 3 Verify that the project is in CIMS.

1. Login into CIMS.

2. Click on Projects.

If the project is not listed contact your Regional Manager (RM) to initiate project setup.

Process Owner:

Julia Small

CIMS Administrator

505-843-6272

jsmall@nmpsfa.org

End of Checklist

Lease Purchase Agreement Checklist for Districts / Charters & Developers

Description & Background:

Lease Purchase Agreement between a school and a private developer, in which a private developer builds a school which is initially leased to the school district, is allowed under Sections 22-24-1 through 22-24-11 NMSA 1978. The leased school may later qualify for purchase under a Public School Capital Outlay Council (PSCOC) grant.

Prerequisites:

- A. The lease/purchase agreement must be approved by the Public Education Department (PED) prior to entering the agreement.
- B. The Public School Capital Outlay Council (PSCOC) may participate in the purchase of the school facility by the district if:
 - a. The proposed school was approved by the district prior to entering into the agreement; and,
 - b. Prior to construction, the school design was approved by the Public School Facility Authority (PSFA) pursuant to district need and to statewide Adequacy Standards; and,
 - c. The population of the school has reached 75 percent of its design capacity without drawing surrounding schools below 85 percent of their design capacity (*prior to this event, the school will not be included in the statewide NMCI ranking*).

Process Steps:

1. Developer meets with district [or charter] to determine district's [if charter, Governing Council and Authorizer], desire to have a school in a particular location.
2. School Board [if charter, Governing Council and Authorizer] determines if there is a need and desire for a new school as proposed, and if the school can be worked into the district's [or charter's] budget.
3. School board [if charter, Governing Council and Authorizer] responds to developer regarding the possible deal structure and terms that may be offered by the developer and, expected educational program of the proposed school.
4. Agreement is negotiated between the district [if charter, Governing Council and Authorizer] and the developer, defining project scope, payments, maintenance responsibilities, utility costs, etc.
5. Budget and scope of school to adequacy and above adequacy is established. PSFA is consulted on questions related to adequacy and utilization.

6. PED approves the Lease Purchase Agreement negotiated between the district and developer.
7. During specific stages of design, the developer submits approval requests to PSFA, following PSFA Request for Authorization of School Construction (RASC) requirements.
8. School is built by the developer.
9. PSFA inspects finished school for compliance to code, adequacy and to all other agreements, prior to occupancy.
10. District [or charter] disburses lease payments that may, upon application to the PSCOC, be reimbursed by the PSCOC to the district [or to the charter].
11. If school population reaches 75 percent of capacity without drawing surrounding schools below 85 percent of their design capacity, district may submit a PSCOC capital grant application.
12. Prior to the sale of the facility, the developer transfers all facility information to the district [or charter] in a form that can be readily entered into the PSFA Facility Information Management System (FIMS).
13. At sale, transfer of title to the district [or charter].

For Additional Information:

See Public School Lease Purchase Act, Laws of 2007, Ch 173, HB 843

PSFA Process Owner:

Bob Gorrell

Executive Director

505-988-5989

rgorrell@nmpsfa.org

End of Checklist

Preconstruction Meeting Notification

Overview:

This document outlines the process for the project pre-construction meeting, attendees, and required information.

SECTION I of II- This section should be sent to the district, the project design professional, and the contractor prior to the meeting.

Project: (insert the Project specific name/designation)

Meeting Location: (insert name of the School) Building: (ie, HS Library)
(insert Street address) Room No.: (ie, 104)
(insert City, NM ZIP)

Date: (insert Meeting date) Time: (Meeting time)

Directions: (insert directions on how to get there from primary roadway)

Attendance by the following Project related personnel is requested:

Primary Owner members **must** include:

- The District's Representative (DR)/ Designee
- PSFA Regional Manager (PSFA-RM)
- School's Principal
- Performance Assurance Contractor
- Roofing Consultant

Primary Owner members **may** include:

- The District's Maintenance Manager
- School/site User (e.g. teachers, custodian(s), etc.)
- District's Business Mgr
- (other, insert position title)

Primary Design Professional members **must** include:

- Architect's Project Manager
- Architect's Construction Administrator

Primary Design Professional members **may** include:

- Other applicable Project consultants (i.e. mechanical, electrical, structural, engineers)

Primary Contractor members **must** include:

- General Contractor's Project Manager
- General Contractor's Job Superintendent
- All Prime Subcontractor's representative(s)

Primary Contractor members **may** include:

- The person(s) responsible for Shop Dwg and Schedule management

Address all attendance inquiries to: (insert individual's Name and Phone Number)

CIMS Contact Information Sheet

Introduction

The Contact Information Sheet is used to collect required information to create a CIMS user account.

Contact Information

Please be prepared to provide the following information at the Pre-Construction Meeting.

Required Information													
School District													
Project Name													
Project Number													
Company Type	<table border="1"> <thead> <tr> <th>Type</th> <th><input checked="" type="checkbox"/></th> </tr> </thead> <tbody> <tr> <td>Design Professional</td> <td><input type="checkbox"/></td> </tr> <tr> <td>General Contractor</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Consultant</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Specify type: _____</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Other</td> <td><input type="checkbox"/></td> </tr> </tbody> </table>	Type	<input checked="" type="checkbox"/>	Design Professional	<input type="checkbox"/>	General Contractor	<input type="checkbox"/>	Consultant	<input type="checkbox"/>	Specify type: _____	<input type="checkbox"/>	Other	<input type="checkbox"/>
Type	<input checked="" type="checkbox"/>												
Design Professional	<input type="checkbox"/>												
General Contractor	<input type="checkbox"/>												
Consultant	<input type="checkbox"/>												
Specify type: _____	<input type="checkbox"/>												
Other	<input type="checkbox"/>												
Company Name													
Company ID Numbers													
Federal Tax ID:													
NM													
CRS:													
CID License:													
DFA Vendor Ref:													
Company Address													
User's Name													
User's Title													
User's Phone Number													
User's Mobile Number													
User's Fax Number													

End of Section

Preconstruction Meeting Agenda

School District: _____

SECTION II of II

Project: (insert Project specific designation) Meeting Location: (insert name of School or other location) (building and room number reference) Date: Time: to	Project No. - PSFA: 00-000 - PSCOC: - Fed Grant: - District: - DP Ref:
---	---

- Sign-in Sheet:** Sign, insert requested information; return form to the Design Professional (DP)
- Emergency Contact Sheet:** Contractor to create form, keep current and distribute at weekly meetings [GC 3.10.4]
- Preconstruction Meeting Agenda Distribution:** One copy to each party/individual in attendance

Introductions: [by each key Project Team member - defining their role/function]

- a. Owner** District Rep.:
- PSFA Regional Mgr.:
- (other)
- (other)
- b. DP** Project Manager:
- Construction Manager:
- (other)
- (other)
- c. Contractor** Project Manager:
- Job Superintendent
- (other)
- d. Sub-trades** (other)
- (other)
- (other)

Project Management Procedures: [see also General Conditions, [Art. 4](#) & [7](#), or latest version]

- a. CIMS** **Use CIMS – the “Construction Information Management System”** [GC 4.2.4.3 ff]
 1. Post meeting minutes, daily and site visit reports, RFI, MCR, etc via CIMS
 2. Complete CIMS Contact Information Sheet (see attached form)
- b. Contracts** **No Pay Apps will be processed until Contracts, etc, submitted and PO’s issued**
 1. If outstanding, submit all Contracts, Bonds, Ins. Ctf. & State W-9s ASAP
- c. Meetings** **Contractor to host Job Site Mtgs. & issue minutes within 3 days via CIMS** [GC 3.10.3]
 1. Job Site meeting minutes are to be prepared by the Contractor [GC 3.10.3] **Job Site construction meetings are to be held weekly** [GC 3.10.3]
 1. The CM, DR, DP, Contractor & needed Subs/Consultants to attend Job Site Meetings
- d. Schedules** **Contractor’s Project Schedule due before 1st pay request** [GC 3.10.1]; status: _____
 1. Contractor to accommodate student/teacher access within Contract constraints
 2. Determine Contractor’s work days and hours: _____

- Contractor to maintain, update and distribute project schedule, to the Project Team before each pay application** [GC 3.10.1]
 - 1. Contractor to update critical path as necessary to complete Project on schedule
 - Provide a three week look ahead schedule at each weekly Job Site Meeting** [GC 3.10.3.2]
 - e. Documents**
 - Maintain a complete set of Construction Documents on Site** [GC 3.11.1]
 - 1. Maintain copies of all Permits & Inspection Certificates on Site
 - Contractor to maintain Daily Report of trades, subs, vendors & visitors on Site** [GC 3.10.5]
 - 1. Job Superintendent to maintain Daily Log with copy available on Site
 - Record all changes on the on-site Construction Document Set regularly** [GC 3.11.1]
 - 1. Retain a copy of all ASI, MCR & CO documents on Site - if not in CIMS
 - Retain a copy of the most recent Project Schedule on Site** [GC 3.10.3.2] and [GC 3.11.1]
 - f. RFI Doc.**
 - Requests for Interpretation are to be initiated only by the Contractor** [GC 3.2.4.1]
 - 1. The Contractor is to transmit all RFIs to the Design Professional via CIMS
 - 2. Subtrade questions are to be forwarded to the DP only via a Contractor RFI
 - DP is to respond to all RFI's within 10 days – utilizing CIMS** [GC 3.2.4.2]
 - g. SI Doc.**
(a.k.a ASI)
 - DP to issue Supplemental Instructions for minor changes** [GC 4.2.8.1] and [GC 7.4]
 - 1. Contractor to proceed with SI if no time or cost is involved
 - 2. DP to issue SI via CIMS to Contractor, copying both District & PSFA
 - If cost/time involved, Contractor not to proceed; rather submit MCR first** [GC 7.1.1 ff]
 - h. MCR Doc**
 - An MCR may be initiated by the Owner, Design Professional or Contractor** [GC 7.2.1]
 - 1. Each MCR and related correspondence is to be transmitted via CIMS
 - An MCR must be processed before material cost/time changes are started** [GC 7.2.1 ff]
 - If approved, cost/time/material changes are incorporated via CO** [GC 7.3.1]
 - i. CO Doc.**
 - Time extension may be deferred until Substantial Completion** [GC 7.3.1 ff] and [GC 9.8.6]
 - j. Shop Dwg.**
 - Contractor's Shop Drawing Schedule due before 2nd pay request** [GC 3.10.2]
 - 1. Contractor to maintain Submittal Log [GC 3.10.2]
 - DP to review and return Shop Dwgs within 14 days** [GC 3.10.2]
 - k. Site Visits**
 - Site visits/observations should be scheduled weekly** [GC 3.10.3]
 - 1. District Rep, PSFA RM, DP, Contractor, relevant trades & consultants to attend
 - Contractor to host Job Site Mtgs. & issue minutes within 3 days via CIMS** [GC 3.10.3]
 - 1. Contractor to request attendance of appropriate consultants for following meeting
-
- On-site Procedures:**
 - a. Site Safety**
 - Contractor responsible for initiating, maintaining & supervising safety** [GC 10.1]
 - 1. Contractor designated safety officer [GC 10.2.6], if not the Superintendent: _____
 - b. Site Access**
 - Coordinate access routes and parking with District and Principal** [GC 10.2.1 ff]
 - 1. Restrict construction traffic and parking to approved locations
 - b. Storage**
 - Restrict on-site material/equipment storage to approved locations** [GC 10.2.1 ff]
 - 1. Secure the area behind appropriate security fencing and allow no public access

- c. Security
 - When School is occupied, Contractor to follow District's sign in/out and ID policy
 - Contractor shall ensure no less than two workers present in occupied school areas

- d. Restrictions
 - No alcohol, drugs or weapons of any kind on Site at any time [\[GC 3.13.21\]](#)
 - Do not enter, or use, any school occupied areas without permission [\[GC 3.13.21\]](#)
 - 1. Do not use School toilets unless approved by the School District
 - 2. Do not use Cafeteria, concessions, etc unless approved by School District
 - 3. Do not use and/or remove any School tools, equipment, supplies, etc
 - Do not enter any student occupied rooms if School staff is not present [\[GC 3.13.21\]](#)
 - 1. No attire deemed inappropriate by the District while on Site
 - 2. No radios or loud activities while classes and/or other School activities are in progress
 - GC to coordinate system interruptions, testing & inspection in advance with the School [\[GC 3.13.14\]](#)
 - No materials, equipment, tools, etc are to be stored in corridors or rooms that would create a safety hazard [\[GC 3.13\]](#)

- e. Utilities
 - Contractor responsible for water, heat and all other utilities per Contract [\[GC 3.4.1\]](#)
 - 1. If cell phone service not available, Contractor to coordinate with District for land line

- f. Cleanup
 - Maintain a clean Site and remove trash and debris from Site daily [\[GC 3.13.17\]](#)
 - 1. Return the School's FFE to their original locations daily if necessary

Payment Process: [see General Conditions, [Article 9](#)]

- a. Vendor PO
 - No Work shall begin until a PO is issued and PSFA/DFA PO requirements are met. [\[NMSA 1978, NM Procurement Code\]](#)
 - 1. Executed Contracts, Bonds, Ins. Cert. & State W-9 submittal required before a PO can be issued

- b. Pay App
 - Pay Apps for the 25th of each month that are fully approved by the 10th of the following month will be paid within 21 days from the end of the Pay App's progress payment period [\[GC 9.4.1\]](#) and [\[GC 9.4.3\]](#)
 - 1. Schedule meeting 2 wks before 1st construction draw to establish Pay App format
 - 2. Schedule of Values shall comply with General Conditions requirements [\[GC 9.2\]](#)
 - 3. Insert Project Closeout line item and amount in the Pay App per Contract [\[GC 9.2.2\]](#)
 - 4. Retainage shall not apply to any Work being paid by PSFA
 - 5. Insert NMGRF figures under current payment due
 - 6. Progress can be projected from the 25th to the end of each month
 - 7. Prior to the 25th Pay App deadline, schedule Pay App review as part of a Site Visit
 - Applications received after the 10th will be applied to the following month [\[GC 9.4.1\]](#)
 - The DP will process each Pay App within 5 days of its receipt [\[GC 4.2.5\]](#) and [\[GC 9.4.1\]](#)
 - 1. Contractor's and DP's signature required before District's signoff
 - 2. District signoff required before PSFA RM signoff

- Project Closeout:** [see General Conditions, [Article 9](#)]
 - a. **Procedure**
 - General Conditions, “Documentation and Close-Out,” items shall be single Schedule of Values line item** [\[GC 9.2.2\]](#)
 - No partial payments after Substantial Completion will be made on the closeout line item**
 - 1. Requires 100% completion of all items prior to Pay App line item payment [\[GC 9.10.3\]](#) and [\[GC 9.2.2.1\]](#)
 - b. **Work**
 - Complete Punch List Work** [\[GC 9.8.2\]](#) and [\[GC 9.10.2\]](#)
 - Submit one electronic and one hard copy of test & balance report to Owner** [\[GC 9.10.1.3\]](#)
 - 1. Test & balance of building systems complete & verified by the DP/Engineer [\[GC 9.10.1.2\]](#)
 - Submit one electronic and one hard copy of O&M manuals to Owner** [\[GC 9.10.1.6\]](#)
 - Submit two electronic and two reproducible sets of As-built drawings to Owner** [\[GC 9.10.1.8\]](#)
 - 1. As-built drawings complete and verified by the Design Professional [\[GC 9.10.1.7\]](#)
 - Transmit to Owner all Contract Document required Warranties & Certifications** [\[GC 9.10.1.10\]](#)
 - All keys, passes, security/control items, etc to be accounted for closed-out** [\[GC 9.10.1.11\]](#)
 - Written Owner certification of receipt of Contract required overstock** [\[GC9.10.1.9\]](#)
-

PSFA Process Owner:

Pat McMurray
Senior Facilities Manager
pmcmurray@nmppsfa.org
505-843-6272

End of Checklist

PSFA Construction Contract Approval: Step by Step Instructions

Overview:

Prior to a district and the PSCOC partnering to fund a public school capital outlay project, a Joint Powers Agreement (JPA) is signed by the PSCOC and the school district. The JPA outlines the roles and responsibilities that the Owner (district) and temporary project Co-owner (PSFA/PSCOC) will assume from award of funds to project completion. The JPA requires that the district's board of education appoint a "District Representative" (DR) who is entrusted with the board's authority to enter into contracts on their behalf. The language in the JPA allows the appointed DR to move forward and expedite procurement decisions, sign contracts and approve amendments or change orders without having to wait for board approval. When project decisions are not made in a timely manner, RFP's may have to be re-advertised, or projects re-bid which can have an extremely adverse effect on the budget and timely completion of the project to meet the facility needs of students.

The following procedures apply to PSFA approval of contracts and related purchase order processing.

Step 1 District and PSFA RM to determine type of contract to be executed:

1. If PSCOC funding for work that is to be added to an existing district construction contract, prepare a Change Order for the work, see Step 2
 2. If PSCOC funding, wholly or partially, for the work requires bidding a new construction contract
 3. If PSCOC has directed that PSFA provide oversight of the project and/or the contract
-

Step 2 For PSCOC/PSFA Participation in an existing district contract for construction:

1. **Submit contract-related documents to the PSFA RM for review as follows:**
 - a. PSFA Transmittal letter for Construction Contract signed by appropriate parties
 - b. A PSFA change order form that reflects the PSFA participation by funding source, a MCR (modification change request) and appropriate documents as back-up/description of the work
 - c. Schedule of values with line items for approved PSFA work, allocated by funding source (PSCOC funds, district bond funds, etc.)
 - d. Copy of the original contract for construction to include the following:
 - Certificate of insurance
 - Performance bond
 - Payment bond
 - e. Copy of all bid information to include the following:
 - Bid tabulation
 - Low bidder's bid
 - Bid bond
 - Subcontractor's listing
 - f. A State of NM W-9 for the contractor (available on PSFA website at www.nmpsfa.org, Contract Documents and Forms
2. PSFA Regional Manager shall review documents and if in order, sign the Transmittal letter and forward to the Santa Fe office for final approval by the Deputy Director.
3. At final review, an approval letter will be prepared and attached to the signed documents.

PSFA distribution of documents as follows:

- a. District Representative receives original approval letter and signed documents
- b. Design Professional (DP) copy is mailed with the District Representative documents. *It is PSFA policy that the District Representative is then required to forward the DP their copy of the documents.*
- c. Contractor receives PSFA PO that reflects PSFA's participation, a copy of approval letter, and original signed contract
- d. RM copy is uploaded into the Construction Information Management System (CIMS)
- e. PSFA retains a copy of record

OR

Step 3 For PSFA participation in a new contract for construction:

1. Submit contract-related documents to the PSFA RM for review as follows:

- a. PSFA Transmittal letter for Construction Contract signed by appropriate parties
 - b. Two (2) copies of the PSFA Agreement Between Owner and Contractor for Construction with original signatures by the contractor and the district representative
 - c. Contract to breakdown % of participation by PSFA and the district, and by funding source
Certificate of insurance
Performance bond
Payment bond
Agent's affidavit & Power of Attorney
 - d. Copy of all bid information to include the following:
Bid tabulation
Low bidder's bid
Bid bond
Subcontractor's listing, Anti-trust signatures and DOL registration numbers
 - e. A State of NM W-9 for the contractor
2. PSFA Regional Manager will review the documents and if in order, sign the Transmittal letter and forward to the Santa Fe office for final approval by the Deputy Director.
 3. At final review, if documents are in order, an approval letter will be prepared and sent to the district with a copy of all documents.

PSFA distribution of documents as follows:

- a. District Representative receives original approval letter and signed documents
- b. Design Professional copy is mailed with the District Representative documents. *It is PSFA policy that the District Representative is then required to forward the DP their copy of the documents.*
- c. Contractor receives PSFA PO that reflects PSFA's participation, a copy of approval letter, and original signed contract.
- d. RM copy is uploaded into CIMS
- e. PSFA retains a copy of record

PSFA Process Owner:
Dotty McKinney, Contracts Administrator
dmckinney@nmpsfa.org
505-988-5989

End of Checklist

STEP BY STEP INSTRUCTIONS FOR USING CES JOB ORDER CONTRACTING (JOC)

BACKGROUND:

Cooperative Educational Services (CES) began offering Job Order Contracting (JOC) in May 2006 with the intention of simplifying and speeding up the procurement process for small to medium sized, multi-traded maintenance and repair¹, and/or minor new construction projects.

PURPOSE:

JOC's can be used for one or a series of PSFA or joint PSFA/district-funded projects that either require, or that do not require design. Procurement of Design Professional (DP) Services through JOC's for PSFA or joint PSFA/district-funded projects is NOT APPROPRIATE².

PREREQUISITES:

PSFA policy states that JOC's should typically be less than \$500,000 not including gross receipts tax (GRT), and are not appropriate as a first course of action for building new schools, additions, or for major renovations.

PSFA policy requires a determination letter from districts for any PSCOC-funded³ JOC project that exceeds a \$500,000 threshold, not including GRT. The determination letter must document why a JOC should be utilized rather than putting the project out to competitive bid.

PSFA policy requires written approval from PSFA's Director for any PSCOC-funded JOC project that exceeds a \$500,000 threshold, not including GRT.

PROCEDURE STEPS:

1. District identifies project(s) size and scope, and if design services are required, what timeline to meet (start through completion of project). In consultation with PSFA's regional manager (RM), district determines appropriateness of JOC for execution of the project.
2. District and PSFA's RM consult with the JOC and CES to determine if Design Professional (DP) services for drawings and specifications, and permits for the project will be required. District and PSFA's RM acquire any necessary DP services, per the State's qualifications-based process.
3. District completes PSFA's Request for Approval of School Construction (RASC) form, and submits to PSFA for approval, along with the Design Documents and Project Manual. Once approval is obtained, district and PSFA's RM determine if Wage Rates are required. If so, district applies for Wage Rates with the State of NM Dept. of Labor at www.dol.state.nm.us.
4. District contacts CES or the JOC (Gordian Group) representative to provide a proposal, based on project scope and CES/PSFA contract terms and conditions. District may specify their preference regarding the contractor, if more than one contractor is an approved JOC vendor in their region. The JOC (Gordian Group) will facilitate site visit with the contractor, and will send written notice of a request for a quotation from the contractor.

¹ Licensed repairs, including HVAC, electrical, plumbing etc. Routine maintenance would NOT be included.

² Per PSFA's interpretation of statute. CES and Gordian may interpret statute differently, but PSFA policy takes precedence.

³ Meaning for any JOC project that is funded in full or in part by PSCOC dollars.

5. Upon review, CES creates a 3-Party Agreement that includes the contractor's price, the JOC fees, CES fees, and appropriate taxes. The contract is based on PSFA's version 2.0 Contract for Construction and General Conditions. The 3-Party Agreement is signed by: 1) the Owner⁴, 2) the Job Order Contractor and 3) CES.
6. District prepares \$0.00 Purchase Orders (PO) as appropriate: 1) \$0.00 PO shall be issued to CES for the JOC (Gordian Group) management fees, 2) \$0.00 PO shall be issued to CES for the PSFA portion of the contractor's work, 3) PO (NOT A \$0.00 PO) to CES for district's portion, if required. In all cases, the district shall reference the appropriate CES Job Order Contract number on each PO, a description of the work and the PSFA project number. The JOC proposal and Three-Party Agreement must be attached to the Purchase Order to CES.
7. PSFA's RM submits a signed transmittal letter, the \$0.00 PO, 3-Party Agreement and JOC proposal (from Step Six) to PSFA's Santa Fe office for log in and review. If the documents are NOT found to be in order after review, PSFA's Santa Fe office will return the documents to PSFA's RM for correction. PSFA's RM corrects and resubmits the documents.
8. PSFA's Santa Fe office creates a letter of approval for the JOC, which is signed by PSFA's deputy director.
9. PSFA's Santa Fe office creates a PO to CES and mails the PO, letter of approval, 3-Party Agreement, and JOC Proposal to CES; and mails one copy to the district.
10. CES issues a PO to the Job Order Contractor.
11. Per the terms of the 3-Party Agreement, the Job Order Contractor obtains the appropriate bonds and insurance upon receipt of their CES-issued PO, and provides evidence thereof to PSFA.
12. District and PSFA, upon execution of PO's and appropriate documents, issue the Notice to Proceed to begin the work.
13. In the event of a change order, the job order contractor processes the change request for the project utilizing PROGEN. The change proposal is approved by the Owner and the Regional Manager. The owner generates an amendment to the original PO, attaches the change order generated by the Contractor to the PO and submits, per steps 6 through 12 above.

PSFA PROCESS OWNER:

Casandra Cano
Financial Auditor
Phone: 505-988-5989
Email: ccano@nmpsfa.org

⁴ Meaning the District. The Three Party Agreement uses the term "Owner."

STEP BY STEP INSTRUCTIONS FOR USING CONSTRUCTION MANAGER AT RISK (CMAR) PROCUREMENT

Overview:

School districts in NM, per HB 303 passed in the 2007 legislative session, can now procure a construction project using the “Construction Manager at Risk” (CMAR) method of project delivery. The contractor is hired through a formal Request for Proposal (RFP) rather than via the traditional design/bid/build, or Invitation to Bid (ITB) method of project delivery. The general contractor is brought “on board” at the early stages of a project to provide input and assistance to the district and the design professional on materials, means and methods, and to generate estimates on the cost of construction that are adjusted as the project progresses to the point that it is ready for construction. The general contractor then provides a “guaranteed maximum price” to construct the facility. If the district and the general contractor are in agreement, the general contractor proceeds to obtain bids from subcontractors, and build the facility at the agreed-upon, or “guaranteed maximum price.” The general contractor provides bonds and insurance, and is “at risk” for the success of the project.

HB 303 provides a two-step process for small projects estimated to be under a \$500,000 threshold, and a three-step process for projects estimated to be over \$500,000. Both processes are covered here.

The draft proposal documents that outline this process are available on PSFA’s website at www.nmpsfa.org, under Contract Documents and Forms. A copy of HB 303 governing the Construction Manager at Risk is available on the NM Legislature website at <http://legis.state.nm.us/lcs/committees.asp>, under the 2007 legislative session. Please contact your PSFA Regional Manager or the PSFA Process Owner listed at the bottom of this section if you are considering this method of procurement for a construction project identified in your facilities master plan.

For complete information, please review the Procurement Code 13-1-124.1 through 13-4-124.5, Effective April 2, 2007, and 13-1-111 through 13-1-117.1, and 13-1-119.1, NMSA 1978 statutes governing the RFP Process. The NMAC Regulations 1.4.1 should also be reviewed. The Regulations clarify and amplify the RFP process in the Procurement Code. The Regulations are available on the State of NM Purchasing Division website at www.state.nm.us/spd. You should also review PSFA Section 9, Request for Proposal process, as well.

Once you’ve determined that you are going to utilize the CMAR method of project delivery, it is imperative that you check the PSFA web site prior to execution of any documents, to insure you are using the most current version of PSFA’s templates and forms.

SUMMARY OF TWO-STEP CMAR PROCURMENT PROCESS – Under \$500,000

If your project construction is estimated to be under \$500,000 and you have a DP on contract, download the CMAR Two-Step documents available on PSFA’s website at www.nmpsfa.org, Contract Documents and Forms, and review the steps for projects under this threshold.

You will prepare a legal notice and advertise for a Request for Qualifications for the purpose of determining up to three (3) Offerors that are most qualified to be interviewed by the Evaluation Committee. The Evaluation Committee shall conduct interviews with up to three (3) Short-Listed

Finalists to determine a Finalist for the purpose of entering into negotiations and execution of a final contract for the Pre-Construction services designated by the District/Owner.

Upon completion of the drawings and specifications, the District/Owner may then enter into a Contract for Construction with the CMAR which shall include a Guaranteed Maximum Price (GMP) to execute the Project and the Percentage of the Guaranteed Maximum Price for construction that the CMAR will perform with its own forces. It is noted here, that if the CMAR and district cannot agree on a GMP, the district may then execute another RFP or ITB for construction of the project.

The RFP for Qualifications (RFQ) questionnaire allows the District to consider various contractor qualification and performance factors that add value to a procurement contract. Qualifications such as past performance, bonding capacity, current workload, scheduling, etc. are evaluated. Once a Finalist is determined, the district will negotiate the pre-construction services to be performed, such as working with the district architect from design through bidding documents, project estimating and value engineering. The Construction contract would include the preparation and coordination of bid packages, scheduling, cost control, construction, closeout, and warranty period of the project.

A determination, per the Procurement Code, *requires that the district document in writing* that it is either not practicable or advantageous to procure the general contractor for the project through the traditional design/bid/build or formal ITB method. The letter shall become a part of the procurement file to which it pertains.

Step 1 Download the following 2-part CMAR documents from the PSFA website at www.nmpsfa.org:

- a. Request for Qualifications (RFQ) for Construction Manager at Risk
- b. General Contractor Qualifications Questionnaire
 - Section 1 – Business Information and Attachments
 - Section 2 – Management Plan and Attachments
 - Section 3 – CMAR Pre-construction Fees and Initial Guaranteed Maximum Price (IGMP)
- c. Mandatory Check List Requirements for procurement official
- d. Score sheet for individual committee members
- e. Interview score sheet
- f. Final score sheet and rank of Offerors

Step 2 Evaluation Committee:

Assemble a committee which shall be a minimum of three (3) experienced/qualified people. Committee shall be an odd number (3, 5, 7) etc. of members to avoid a “tie” which could adversely affect the process. The procurement official may or may not be a scoring member of the committee. Generally, the procurement official is responsible for managing the procurement.

Step 3 Define the CMAR Scope of Work, Project & Procurement Schedules, and prepare the CMAR Request for Qualifications (RFQ) documents for the procurement:

- a. Determine the services to be performed by the CMAR
- b. Define the procurement schedule and tentative project schedule for the work to be executed
- c. Review Request for Qualifications Questionnaire

Step 4 Advertise and publish the legal notice for the Request for Qualifications for General Contractors

- a. Prepare a “legal notice” for the Request for Qualifications which includes your district information, the title number assigned to the RFQ, a brief description of the scope of work, and the place, date and time the pre-RFQ conference will be held, if applicable, and the date, place and time for deadline to submit qualifications. A template is available on the PSFA website at www.nmpsfa.org, Contracts and Forms, Legal Notice.
- b. Publish legal notice one time in a newspaper of local circulation and on BidNet. Allow a minimum of 10 calendar days (see 13-1-104 NMSA 1978), from the day the RFQ is advertised to the day and time the RFQs are received.

Step 5 Evaluate qualifications and interview 3 finalists

- a. Committee will score questionnaires using the criteria set forth in the RFQ
- b. Procurement official will notify finalists in writing
- c. If interviews are to be held, distribute written questions to all finalists, and the date, time and place interviews will be held
- d. Procurement official will also notify non-responsive Offerors in writing of the results. PSFA sample finalist letter and letter of rejection are available online at www.nmpsfa.org under Contract Documents & Forms.

Step 6 Negotiate Pre-Construction Services Contract and announce the Award

- a. Negotiate contract for pre-construction services with highest ranked Finalist
- b. If a contract is not negotiable, then proceed with negotiations with the second-ranked Finalist
- c. If a contract with the second-ranked Finalist is not negotiable, then the district may cancel the procurement and start the process over until a successful contract is executed.
- d. District will prepare two (2) original contracts for CMAR that lists the services to be performed and a breakdown of PSFA and, if applicable, district participation
- e. Prepare a PSFA DP Transmittal Letter for Construction available online at (www.nmpsfa.org) under “*Contract Documents & Forms, Construction*”
- f. Distribute documents to applicable parties for signatures and return two (2)

original copies to PSFA Regional Manager (RM) for review. Note: district must attach a copy of the RFQ, proposal bond, letter of award, and certificate of insurance to the contract.

- g. PSFA RM will forward to Santa Fe Office for final approval and processing PSFA Distribution of documents:
- 1) District Representative (DR) receives original approval letter and signed documents
 - 2) Design Professional (DP) copy is mailed with the District Representative documents. *It is PSFA policy that the District Representative is then required to forward the DP their copy of the documents.*
 - 3) Contractor receives PSFA PO that reflects PSFA's participation, a copy of approval letter, and original signed contract.
 - 4) RM copy is uploaded into the Construction Information Management System (CIMS)
 - 5) PSFA retains a copy of record

Step 7 Construction Services

Once the CMAR has completed the tasks defined in the pre-construction contract and the drawings and specifications are complete and ready for bid, the district shall finalize the Guaranteed Maximum Price for construction of the project. If in agreement, the CMAR will proceed with the bidding process for subcontracts to perform the work.

- a. Prepare a PSFA CMAR contract for construction and PSFA Transmittal Letter available online at (www.nmpsfa.org) under "*Contract Documents & Forms, CMAR 2-Step Process*)
- Contract to include the following:*
- Contract to breakdown % of participation by PSFA, the district, and funding source
 - Certificate of insurance
 - Review and Approval Form for Bonds signed by district representative
 - Performance bond
 - Payment bond
 - Agent's affidavit & Power of Attorney
 - List of subcontractors to include antitrust signatures and DOL registration numbers
 - General conditions of the work
- PSFA distribution of documents:
- 1) District Representative receives original approval letter and signed documents
 - 2) Design Professional copy is mailed with the District Representative documents. *It is PSFA policy that the District Representative is then required to forward the DP their copy of the documents.*
 - 3) Contractor receives PSFA PO that reflects PSFA's participation, a copy of approval letter, and original signed contract.
 - a. RM copy is uploaded into CIMS
 - 4) PSFA retains a copy of record

If your projected construction budget exceeds \$500,000 you will initiate the Three Step process for Construction Manager at Risk that follows.

SUMMARY OF THREE-STEP CMAR PROCUREMENT PROCESS – Over \$500,000

If your project construction is estimated to be over \$500,000 and you have a DP on contract, download the CMAR Three-Step documents available on PSFA's website at www.nmpsfa.org, Contract Documents and Forms, and review the steps for projects over this threshold.

Overview:

The Three Step process varies slightly from the Two Step process. Once you have issued a Request for Qualifications (RFQ) and select three Finalists, a third step is added that requires issuing a Request for Proposal to the three Finalists which allows you to evaluate their forces, approach, etc. to executing your project..

Three-Step Process Summary:

Step 1 of 3

Issue a RFQ, Request for General Contractor Qualifications Questionnaire

Step 2 of 3

Evaluate the RFQ's to determine a shortlist of 3 finalists

Step 3 of 3

Issue a Request for Proposal that the 3 finalists will respond to for evaluation. Interviews may be held as well.

The CMAR procurement basics are the same once you award a contract for pre-construction services and a construction contract for execution of the plans and specifications. The district enters into a Pre-Construction contract for the negotiated services. Upon completion of the drawings and specifications, the Owner may then enter into a Contract for Construction with the CMAR which shall include a Guaranteed Maximum Price (GMP) to execute the Project and the Percentage of the Guaranteed Maximum Price that the CMAR will perform with its own forces. It is noted here, that if the CMAR and district cannot agree on a GMP, the district may then execute another RFQ and RFP, or ITB for construction of the project.

Again, the RFQ for Contractor Qualifications Questionnaire allows the District to consider various qualification and performance factors that add value to a procurement contract. Qualifications such as past performance, bonding capacity, current workload, scheduling, etc. are evaluated. Once a Finalist is determined, the district will negotiate the pre-construction services to be performed, such as working with the district architect from design through bidding documents, project estimating and value engineering, and may then move into a negotiated construction contract for the, preparation and coordination of bid packages, scheduling, cost control, construction, closeout, and warranty period of the project.

The district needs to document in writing that it is either not practicable or advantageous to procure the general contractor for the project through the traditional design/bid/build or formal invitation to bid method. The letter must become a part of the procurement file to which it pertains.

Step 1 Download the following 3-part CMAR documents from the PSFA website at www.nmpsfa.org:

- a. Request for Qualifications (RFQ) for Construction Manager at Risk
- b. General Contractor Qualifications Questionnaire
 - Section 1 – Business Information and Attachments
 - Section 2 – Management Plan and Attachments
 - Section 3 – CMAR Pre-construction Fees and Initial Guaranteed Maximum Price (IGMP)
- c. **Request for Proposal** for CMAR
- d. Mandatory Check List Requirements for procurement official
- e. Score sheet for individual committee members
- f. Interview score sheet
- g. Final score sheet and rank of Offerors

Step 2 Evaluation Committee:

Assemble a committee which shall be a minimum of three (3) experienced/qualified people. Committee shall be an odd number (3, 5, 7) etc. of members to avoid a “tie” which could adversely affect the process. The procurement official may or may not be a scoring member of the committee. Generally, the procurement official is responsible for managing the procurement.

Step 3 Define the CMAR Scope of Work, Tentative Project & Procurement Schedules, and Prepare the CMAR Request for Qualifications documents for the procurement:

- a. Determine the services to be performed by the CMAR
- b. Define the procurement schedule and tentative project schedule for the work to be executed
- c. Review Request for Qualifications Questionnaire

Step 4 Advertise and publish the legal notice for the Request for Qualifications for General Contractors

- a. Prepare a “legal notice” for the Request for Qualifications which includes your district information, the title number assigned to the RFQ, a brief description of the scope of work, and the place, date and time the pre-RFQ conference will be held, if applicable, and the date, place and time for deadline to submit qualifications. A template is available on the PSFA website at www.nmpsfa.org, Contracts and Forms, Legal Notice.
- b. Publish legal notice one time in a newspaper of local circulation and on BidNet.

Allow a minimum of 10 calendar days (see 13-1-104 NMSA 1978), from the day the RFQ is advertised to the day and time the RFQs are received.

Step 5 Evaluate qualifications and select 3 finalists

- a. Committee will score questionnaires using the criteria set forth in the RFQ
- b. Notify 3 finalists in writing
- c. Notify non-finalists as well, in writing, of the results. PSFA sample finalist letter and letter of rejection are available online at www.nmpsfa.org under Contract Documents & Forms.

Step 6 Prepare the Request for Proposal (RFP) for CMAR documents:

- a. Determine the services to be performed by the CMAR
- b. Require that the CMAR provide a proposal bond with their response
- c. Refine the Scope of Work to include the PSFA Division 1 documents, schedule of values, etc., and general conditions, and changes in the work

Step 7 Evaluate the Request for Proposals and schedule interviews, if required

- a. Based on the outcome of the proposal scoring, the committee may hold interviews with the finalist(s) that are most qualified
- b. Notify non-finalists as well, in writing, of the results. PSFA sample finalist letter and letter of rejection are available online at www.nmpsfa.org under Contract Documents & Forms.

Step 8 Negotiate Pre-Construction Services Contract and announce the Award

- a. Negotiate contract for pre-construction services with highest ranked Finalist
- b. If a contract is not negotiable, then proceed with negotiations with the second-ranked Finalist
- c. If a contract with the second-ranked Finalist is not negotiable, then the district may cancel the procurement and start the process over until a successful contract is executed.
- d. Prepare two (2) original contracts for CMAR that lists the services to be performed and a breakdown of PSFA and, if applicable, district participation
- e. Prepare a PSFA DP Transmittal Letter for Construction available online at (www.nmpsfa.org) under "*Contract Documents & Forms, Construction*
- f. Distribute documents to applicable parties for signatures and return two (2) original copies to PSFA Regional Manager for review. Note: district must attach a copy of the RFQ, proposal bond, letter of award, and certificate of insurance to the Amendment
- g. PSFA RM will forward to Santa Fe Office for final approval and processing PSFA Distribution of documents:
 - 1) District Representative receives original approval letter and signed documents

- 2) Design Professional copy is mailed with the District Representative documents. *It is PSFA policy that the District Representative is then required to forward the DP their copy of the documents.*
- 3) Contractor receives PSFA PO that reflects PSFA's participation, a copy of approval letter, and original signed contract.
- 4) RM copy is uploaded into CIMS
- 5) PSFA retains a copy of record

Step 9 Construction Services

Once the CMAR has completed the tasks defined in the Pre-construction contract and the drawings and specifications are complete and ready for bid, the district shall finalize the Guaranteed Maximum Price for construction of the project. If in agreement, the CMAR will proceed with the bidding process for subcontracts to perform the work.

- a. Prepare a PSFA CMAR contract for construction and PSFA Transmittal Letter available online at (www.nmpsfa.org) under "*Contract Documents & Forms, CMAR 2-Step Process*)

Documents to be included are as follows:

- Contract to breakdown % of participation by PSFA, the district, and funding source
- Certificate of insurance
- Performance bond
- Payment bond
- Agent's affidavit & Power of Attorney
- List of subcontractors to include antitrust signatures and DOL registration numbers
- General Conditions of the Work

PSFA Distribution of documents:

- 1) District Representative receives original approval letter and signed documents
- 2) Design professional's copy is mailed with the DR documents. *It is PSFA policy that the District Representative is then required to forward the DP their copy of the documents.*
- 3) Contractor receives PSFA PO that reflects PSFA's participation, a copy of approval letter, and original signed contract.
- 4) RM copy is uploaded into CIMS
- 5) PSFA retains a copy of record

PSFA Process Owner:

Dotty McKinney

Contracts Administrator

505-988-5989

dmckinney@nmpsfa.org

End of Checklist

Construction Information Management System (CIMS) Usage

Overview:

PSFA Construction Information Management System (CIMS) is a web based platform that automates and integrates the complex processes involved in managing projects, programs, resources and assets across the lifecycle of a facility, and is used by PSFA as the primary project development and construction management system. This platform integrates the flow of information and communication between project team members, contractors, managers, and others. Project participants can easily collaborate with visibility into the same documents and information resulting in saving time, reducing the potential for error, and accelerating project milestones.

Step 1 Obtain CIMS user ID and Password.

1. Submit User Information to PSFA:

- Complete CIMS Contact Information Sheet (See Box 15, Page 2).

2. Submit to PSFA:

- Email the CIMS Contact Information Sheet to training_support@nmpsfa.org
-

Step 2 Obtain/Request Training.

1. Navigate to www.nmpsfa.org.

2. Select Training.

3. Locate a training session under the Construction Information Management System (CIMS) Training - Locations/Dates section.

4. Submit registration.

- a. Print the registration form and fax to 505-843-9681, or
 - b. Click on the “Register Online” Now button.
-

Process Owner:

Julia Small

CIMS Administrator

505-843-6272

jsmall@nmpsfa.org

End of Checklist

Construction Process Management for joint District/PSCOC-PSFA Projects

Overview:

The following is a checklist outlining the steps for key construction management processes, including Modification Change Requests (MCR's) and Change Orders (CO's).

SECTION I of II

Step 1 Identify members of the Project Team, establish the lines of communication to be utilized during the project, and clarify each member's role. [GC 2.1], [GC 3.1], and [GC 4.1]

Primary members *must* include:

- The District's Representative (DR)/ Designee
- PSFA Regional Manager (PSFA-RM)
- The General Contractor of the project
- The Project Architect/Engineer of Record (DP)

Primary members *may* include:

- The District's Facilities & Operations Construction Manager (if different from the DR)
 - School/site User (e.g. the school's principal, teachers, etc.)
-

Step 2 Hold a Pre-Construction Meeting (see suggested Pre-Construction Meeting Agenda in BOX 15)

- Review and clarify the procedures for the construction phase. (e.g. Use of CIMS, training, special meetings, et al)
 - Establish a scheduled day and time for weekly project progress meetings [GC3.10.3]
-

Step 3 Attend Scheduled Project Progress Meetings (see attached Suggested Project Progress Mtg. Agenda) [GC 3.10.3]

The meetings shall include, but not be limited to:

- Adoption of previous week's meeting notes that include list of attendees
 - New business
 - Old business
 - Items requiring action with those assigned to action and expected action date
 - Outstanding Requests for Interpretation (RFI's)
 - Outstanding submittals
 - Each month, at the regularly scheduled weekly meeting that is just prior to the Contractor submitting the Payment Application for that month; the Contractor shall present a Progress Report [GC 3.10.3.1]
 - Contractor prepared three-Week-Look Ahead Schedule [GC 3.10.3.2]
-

Step 4 Field Observations and Quality Control- Site Visits [GC 3.3.1] and [GC 4.2.2]

- Design Professional clarifies interpretation issues related to the construction documents [GC3.2.4] and [GC 3.10.3]
- Discuss concerns or potential issues project team members may have [GC 3.10.3]
- It is the responsibility of the General Contractor to achieve the required levels of quality by completing the Work in accordance with the Contract Documents. [GC 1.1.3]

Weekly Project Meeting Agenda

Contractor Name
Address

Project Name PSFA Project #:
Address

Purpose: End Time:
Date: Start Time:

ATTENDANCE RECORD

NAME	PHONE	REPRESENTING	SIGN-IN

Subcontractors/Suppliers/Visitors

Item Meeting	Item Description	Resp	Status	Due Date	Compl'd	Cls'd
--------------	------------------	------	--------	----------	---------	-------

General Business

Old Business
1-1 Resolve Old Business

Schedule
1-2 Discuss current and future work

Submittals
1-3 Discuss status of all open submittals: ___ Total

RFI's

1-4 Discuss status of RFI's: __ Total

SI's (aka - ASI's)

1-5 Discuss status of ASI's: __ Total

MCR's

1-6 Discuss status of MCR's: __ Total

Civil

1-7 Discuss Civil issues

Concrete

1-8 Discuss concrete issues

Structural/Architectural

1-9 Discuss structural/architectural issues

Mechanical/Plumbing

1-10.1 Discuss mechanical/plumbing issues

Electrical

1-10.2 Discuss electrical issues

Critical

1-10.3 Discuss critical issues

Safety

1-10.4 Discuss safety issues

Action Items

1-1 Assign Tasks

Open

2-1

Modification/Change Requests (MCRs) & Change Order (CO) Procedures

SECTION II of II

Step 1 Verify the type of Changes in the Work [GC 7.1.1]

- Changes occurring after the execution of the contract without invalidating the contract
 - Modification/ Change Request (MCR)**- Any material change in the Work creating cost or time to the project
 - Supplemental Instructions (SI)**- Minor changes in the Work without creating cost or time to the project, ordered by the design professional (skip to step 4)
-

Step 2 Prepare a MCR [GC 7.2.1]

- Initiated by the Contractor, Owner(s), or Design Professional- change in the Contract Sum or Time, or both, and identifies why and how the change should take place
 - The Owner must agree to the MCR's content and feasibility and if in agreement, may authorize the MCR to proceed with estimates of costs only; or proceed with the Work with estimates of costs to follow.
 - The Owner(s) will consider proposal(s) from the contractor for adjustments to the Contract Sum or Contract Time, if any; and, shall authorize the Work to proceed if not previously authorized and authorize adjustment to Contract Sum or, shall reject the MCR and replace with another or, stop all action on the MCR.
-

Step 3 Prepare a Change Order [GC 7.3]

- Incorporate previously approved MCR's prepared by the DP and signed by the Owner(s), Contractor, and Design Professional
 - Identifies the Work, Contract Sum, and/or Time to be modified as finalized in the MCR(s) that has been previously approved by the Owner
 - Submitted to the Owner(s) for processing once approved and signed by all parties
-

Step 4 Supplemental Instructions (SI's) (aka - ASI's) [GC 7.4]

- The DP has the authority to order SI, for minor changes in the work that do not involve an adjustment to the Contract Sum or Time, and are not inconsistent with the intent of the Contract Documents
- Changes will be made in writing and are binding on the Owner and Contractor
- The Contractor is responsible for carrying out these written changes promptly.

PSFA Process Owner:
Pat McMurray
Senior Facility Manager
505-843-6272
pmcmurray@nmpsfa.org

End of Checklist

Project Closeout

Overview:

The following is a checklist to assist during the Project Closeout Process, including Substantial Completion, Closeout, and Final Acceptance.

SECTION I of III – SUBSTANTIAL COMPLETION: the stage in the progress of the Work when the Work or designated portion thereof is complete and in compliance with the Contract Documents, except for minor items, so that the Owner can completely occupy or fully utilize the Work for its intended use.

Step 1 When the Contractor considers that the Work, or a portion thereof which the Owner agrees to accept separately, is substantially complete, the Contractor shall promptly prepare and submit to the Design Professional a comprehensive Contractor's Punch List that identifies specifically the contracted Work not yet complete: [\[GC 9.8.1\]](#)

- Prepare a preliminary Contractor's Punch list [\[GC1.1.8\]](#)
- The Contractor will notify in writing; to the Design Professional (DP), the District's Representative (DR), and the Public School Facilities Authority Regional Manager (PSFA-

RM)

that a Substantial Completion inspection is requested by the DP.

Step 2 DP Confirmation of Substantial Completion

- Within ten (10) days of receiving the Contractor's Punch list, the DP will schedule and make an inspection to determine whether the Work or designated portion thereof is substantially complete. [\[GC 9.8.3\]](#)
- The DP will confirm or reject the Contractor's Substantial Completion request
- If the DP does not feel the Contractor has met the requirements for Substantial Completion, the DP will advise the Contractor in writing, the reasons for his/her determination [\[GC 9.8.3\]](#)
- When the Work or designated portion thereof is substantially complete, the DP will prepare a Certificate of Substantial Completion, with the owner's prior approval, which will establish the date and time for a Substantial Completion. [\[GC 9.8.4\]](#)

Step 3 Punch List modifications- Punch list items *may* be removed if:

- The Contractor completes an item of Work as required and confirmed by the DP
- The Contractor proves that the item of Work is outside of his/her contracted Scope of Work
- The Owner waives the item of Work and an MCR is created documenting the change in Work.

Step 4 Release of Payment(s) due the Contractor at Substantial Completion

- Upon issuance of the Certificate of Substantial Completion, the Contractor may submit an application for payment for monies due at Substantial Completion. [\[GC 9.4.2\]](#) and [\[GC 9.8.8\]](#)

End of Section

SECTION II of III- CLOSE OUT

- Step 1 Close out requirements- Before Final Completion can be achieved all Work must be complete and accepted including the following: [GC 9.10.1]**
- Work associated with the Punch List(s)
 - Testing, balance or performance operations complete in accordance with the Contract Documents and as verified by the DP
 - One (1) hard copy and one (1) electronic copy in pdf. format of final approved test, balance or performance reports
 - Operation and Maintenance (O&M) Manuals complete and verified as such by the DP
 - Owner sign-off receipt of O&M Training on proper use, care and operation of all systems as required by the Contract Documents
 - One (1) hard copy set and one (1) electronic copy in pdf. format of final O&M Manuals Submitted to the Owner and uploaded by the Contractor into CIMS
 - As-Built drawings converted to accurate Record Drawings and verified by the DP
 - Two (2) reproducible sets and two (2) electronic copy in .dwg & .pdf formats of final approved record Drawings submitted to the Owner and uploaded by the Contractor into CIMS
 - Written Certification signed by the Owner of delivery and stocking of extra material, equipment, or components required by the Contract Documents at a location specified by the Owner
 - Delivery of all warranties required by the Contract Documents
 - All keys, passes, codes, software or other methods or components of control or security have been correctly accounted for and closed-out
 - Uploading of all Close-out documents into CIMS including scans of Building Code Approvals and other code certifications, Substantial Completion documents, Punch Lists, Warranties, O&M Manuals, Training sign-off, etc.
 - Contractor to upload the Equipment Inventory List into FIMS.
For a complete listing of required closeout submittals reference the project specifications Division 01 7800 - Closeout Submittals.
 - Uploading of Final Completion, Correction or Work Period, and 11th Month Inspection documents will be loaded into CIMS **within seven (7) days of availability.**

Step 2 Close-Out Punch List

- The Contractor will prepare a separate Close-Out Punch List outlining all requirements of [GC 9.10.1] and status of each with expected completion dates.
- The Close-Out Punch List will be a separate part and a subset of the Contractor's Punch List required for Substantial Completion in accordance with [GC 9.8.2]
- At completion of the List, the Contractor will state in writing to the DP that the Close-Out Punch List is complete, and request a Close-Out meeting with the DP & Owner.
- The DP will schedule a meeting within ten (10) days of the request, or otherwise provide a written explanation why the request is premature.
- DP with concurrence of from the Owner, will verify all requirements at the Close-Out meeting
- Upon acceptance of the completed Work, the DP will provide written approval of the Contractor's completion of Close-Out requirements within five (5) day of the Close-Out meeting. [GC 9.10.2]

End of Section

SECTION III of III- FINAL COMPLETION & FINAL PAYMENT

Step 1 Final Inspection

- Upon completion of the Punch List(s) the Contractor will notify the DP, DR, & PSFA-RM in writing, and request a Final Inspection
- Upon notifying the DP of the Final Inspection, the Contractor will submit his/her final application for payment to DP for certification and review. [GC 9.11.1]
- Once notified, the DP will promptly make an inspection to determine if a Certificate of Final Completion may be issued

Step 2 Final Payment will not be released until the Contractor submits to the DP the following:[GC 9.11.2]

- An affidavit that payrolls, bills for subcontracts, materials and equipment, and other indebtedness connected with the Work have been paid or otherwise satisfied
- A certificate evidencing that insurance required by the Contract Documents to remain in force after final payment is currently in effect and will not be canceled or allowed to expire at least 45 days following notice to the Owner
- A written statement that the Contractor knows of no substantial reason that the insurance would not be renewable to cover the period required by the Contract Documents
- Consent of surety, if any, to final payment
- Releases and waivers of claims of all Subcontractors and suppliers
- If required by the Owner, other data establishing payment or satisfaction of obligations arising out of the Contract, to the extent and in such form as may be designated by the Owner. If a Subcontractor or other entity refuses to furnish a release, the Contractor may furnish a bond satisfactory to the Owner to indemnify and protect the Owner.

Process Owner:
Pat McMurray
Senior Facility Manager
505-843-6272
pmcmurray@nmgsfa.org

End of Checklist

Facility Maintenance & Operations Execution

Overview:

New Mexico school districts are required by law to implement a written preventative maintenance (PM) plan, plus it is in every district's best interests to effectively maintain its facility resources, thereby providing a healthy, safe and reliable environment for its students and staff while effectively utilizing available resources. The following is a brief list of check-off items and step-by-step instructions addressing the basics of executing an effective facility maintenance program. School districts are encouraged to obtain the services of PSFA's Maintenance Group for assistance.

1.0. Preventive Maintenance (PM) Plan. Purpose: The district PM plan should be used to execute the daily operations of the district's facility maintenance staff, thus ensuring that available resources are efficiently used. (Note: See the Facility Information Management System Checklist for guidelines on implementation and use of FIMS).

- Execute the latest update of the district PM plan:
 - Create action plans with milestones for achieving maintenance goals, track progress, adjust as needed, and document success
 - Adhere to established maintenance procedures and priorities to provide the best possible customer service while protecting facilities and equipment
 - Adhere to established preventive maintenance schedules on all facilities and equipment
 - Track progress on planned major maintenance and repair projects
- Update the PM Plan as needed for new or adjusted goals, revised procedures, new equipment, adjusted PM schedules, etc.
- Provide PM task lists to contractors providing PM services
- Use FIMS and/or other automated processes for executing the PM plan
- Ensure indoor air quality is maintained and that environmentally safe cleaning products are always used

2.0. Equipment Inventory. Purpose: A district needs a comprehensive inventory of all facility equipment to be maintained. This will ensure that needed recurring maintenance is accomplished in a timely basis to help avoid premature deterioration and costly replacement. The equipment inventory needs recurring update to ensure the continued effectiveness of maintenance actions.

- Update facility equipment data records following installation or replacement
- Obtain electronic equipment lists from general contractors following the completion of new construction projects.

3.0. District Policies and Procedures. Purpose: Sound maintenance management practices ensure that available resources are used efficiently and health and safety are maintained. Documentation helps to alleviate confusion due to staff turnover.

3.1. Develop a written district Energy Management Program (EMP) policy

- Reinforce behavior modification policies and procedures with incentives – principles, teachers, custodians, maintenance workers, and students

- Provide continuing EMP training for building occupants
- Promote sustainability in all new construction -- create and enforce construction specifications that promote the installation of energy efficient building systems
- Utilize Life Cycle Cost Analysis (LCCA) during project design decision making
- Install and maintain energy management systems, and monitor utility use
- Track utility use and cost, analyze results, and institute building modifications or make procedural changes to advance savings
- Ensure building systems are conscientiously operated and maintained to promote savings in utility use – teachers, maintenance workers, custodians

3.2. Provide oversight of contracted facility services.

- Inspect all contracted maintenance work for quality and timeliness
- Follow-up on all warranty provisions associated with newly installed building systems and equipment
- Obtain O&M manuals from contractors for all newly installed building systems and equipment
- Verify all contractor invoices for accuracy
- Document contracted facility expenditures and analyze for appropriate utilization of available resources

3.3. Maintenance safety

- Ensure that all staff members wear their provided Personal Protective Equipment (PPE)
- Conduct recurring safety training, and document. Cover use of PPE, work place safety, equipment safety, fire safety, etc.
- Periodically inspect and maintain all maintenance equipment to ensure safe operations
- Perform periodic workplace safety inspections, taking immediate action to remedy any unsafe conditions

3.4. Maintenance professional development

- Track progress with professional education program for all maintenance staff members, to include custodians
- Conduct introductory training sessions for all new employees (district policies on conduct, appearance, customer service, safety, etc.)
- Whenever a new building or system is installed, follow-up to ensure that requisite maintenance training on new technologies is provided
- Periodically recognize maintenance personnel for their accomplishments to improve district programs

4.0. Facility Assessments. Purpose: Recurring visual assessments are recommended to confirm that established management practices are effective. Documentation validates leadership commitment to process improvement.

- Conduct periodic (monthly) walk-through inspections of district facilities to identify potential hazards for students and staff
- Take timely action to correct all identified problems, and institute processes to prevent recurrence
- Conduct periodic meetings between maintenance staff and each site administrator to identify and correct long-term facility problems
- Update major facility issues for accomplishment through the district Facility Master Plan

Note: The PSFA Maintenance Division will assist school district personnel by providing guidance and training on facility maintenance and energy management topics. Recurring training sessions are scheduled, but unlimited district training is available upon request. Training and information may be obtained by contacting Bob Bittner or any of the other Maintenance Division staff members at the PSFA Albuquerque office, 505-843-6272, or at the email address listed below.

For Additional Information:

See PSFA's *Preventative Maintenance Program Guidelines*, *Energy Management Program Guidelines*, *Sample District Preventative Maintenance Plan*, *FIMS Criteria* and other related information which can be found on PSFA's website: www.nmpsfa.org, under the "Maintenance" portal.

PSFA Process Owner:

Bob Bittner
Maintenance Coordinator
505.843.6272
bbittner@nmpsfa.org

End of Checklist

Facility Information Management System (FIMS)

Overview:

New Mexico school districts are required by law to implement a written preventative maintenance (PM) plan. Furthermore, it is in every district's best interest to effectively maintain its facility resources, thereby providing a healthy, safe and reliable environment for its students and staff while effectively utilizing available resources. FIMS is an effective tool for implementing a district maintenance program, and will provide continuity during periods of personnel turnover.

FIMS software is made available to all New Mexico public school districts. It is scalable to the size and capability of each district, and consists of three web-based modules:

- **Maintenance Direct (MD)** – provides capability to document all facility maintenance work and generate reports for data analysis and process improvement
- **Preventive Maintenance Direct (PMD)** – provides capability to automatically generate preventive maintenance work at a prescribed frequency on installed equipment.
- **Utility Direct (UD)** – provides capability to track and analyze district utility consumption and cost

The following is a brief checklist addressing the basics of the implementation and use of FIMS. School district personnel needing additional information are encouraged to contact the PSFA's Maintenance Division for assistance. (Note: See the Facility Maintenance and Operations Execution Checklist, Box 20, for guidelines on the application of FIMS to improved maintenance programs).

1.0. Implementation of Facility Information Management System (FIMS). A district seeking to implement FIMS for the first time must submit an application to PSFA. The following areas must be included on the application:

- Confirm district leadership commitment** to utilize FIMS for data entry and analysis of maintenance work orders and utility invoices:
 - a. Has the School Board been advised of the FIMS process, and are they committed to support its use?
Yes No
 - b. Is the District Superintendent committed to utilize the FIMS software, and to ensure all district staff members acquire needed training and complete data entry?
Yes No
 - c. Is the District Business Manager committed to utilize the FIMS software for data entry and cost analysis?
Yes No
- Establish an appropriate hourly maintenance labor rate** for assigning to maintenance work orders to district staff. The District Maintenance Labor Rate is \$_____/Hour. (Note: The labor rate should be an average maintenance employee wage rate plus district overhead/burden.)
- Identify/Appoint a FIMS Administrator and Alternate** who have computer literacy skills, to include internet navigation and office document production such as Word and Excel files, and who are given access to gather and input district facility and maintenance data.
- Identify a "Champion" from within the District Maintenance Staff** who is willing to foster process improvement. He/she will provide information/feedback to the FIMS Administrator/Alternate.

- Have an established Technology Infrastructure** with at least T1 (1.5 megabits/second) connectivity to the Internet for the FIMS Administrator/Alternate. Computer requirements are:
 1. Internet Explorer 6.0 or Netscape 7.0, or higher. (5.1 if using a MAC)
 2. Adobe Acrobat Reader 5.0 or higher
 3. Macromedia Flash.
 4. Adobe SVG Viewer (Requirement for graphs in Utility Direct)
 5. Laser or desk jet printer

Note: At larger districts, all key Maintenance Department personnel should also have similar computer capability and access.

Once the completed application is received by PSFA, they will coordinate an initial training date for district personnel. During the initial training, the FIMS vendor, SchoolDude, will provide district personnel with system passwords. SchoolDude will thereafter provide unlimited follow-on training. The PSFA will also assist district personnel in applying the FIMS processes to the district's resources and capabilities.

2.0. Use of Facility Information Management System (FIMS). Once trained on each module, each district is allowed to advance with FIMS at their own pace; however, there is an expectation that timely progress will be made so that the district's oversight of their maintenance and utility management programs will be improved. As needed, SchoolDude and PSFA will provide follow-on assistance and training. The PSFA will periodically track district proficiency in each module, and districts are encouraged to self-assess their progress using a PSFA provided matrix.

2.1. Maintenance Direct

- Set-up district Maintenance Direct (MD) account for schools, buildings, building areas, and work codes (craft codes, purpose codes, employees, etc.)
 - May also be used for vehicle maintenance (district option)
 - May be used for IT work (district option)
- Make use of MD to schedule and document the completion of all facility maintenance work.
- Schedule requested work for timely completion, entering appropriate craft and purpose codes.
- Once completed, enter labor, material, and contract costs associated with each work order.
- Run MD reports and analyze maintenance data to improve resource utilization and decision making
- Use available data for budget preparation and contracted maintenance cost estimates
- Periodically self assess district proficiency with MD and request additional training as needed
- Provide initial and follow-on FIMS training for customers and employees

2.2. Preventive Maintenance Direct

- Make use of Preventive Maintenance Direct (PMD) to automatically schedule preventive maintenance work as prescribed in PM plan
 - PSFA's Preventive Maintenance Tasks are included as templates in all district FIMS accounts
 - Current district equipment data should be entered into district FIMS accounts (see Para 3.0 below)
- Create PM schedules for district equipment, assigning work to staff or contractors.

- Enter and update equipment data
- Periodically self assess district proficiency with PMD and request additional training as needed
- Analyze preventive maintenance data to improve resource utilization and assess staff and contract expenditures, replacing worn out equipment as needed

2.3. Utility Direct

- Make use of Utility Direct (UD) to document utility use and cost.
- Set-up district UD account for metered locations and utility vendors
 - Electric
 - Natural Gas and/or propane/butane
 - Water & Sewage
 - Telephones (district option)
 - Trash collection (district option)
- Collect and enter historical utility data(as much as available)
- Enter utility cost and consumption each month as utility invoices are received
- Run UD reports analyze utility data to identify opportunities for reduced utility use and cost savings
- Periodically self assess district proficiency with UD and request additional training as needed

3.0. Equipment Inventory Data. Accurate equipment data should be stored in the district's FIMS accounts. This will ensure that needed recurring maintenance is accomplished on all installed equipment in a timely manner to help avoid premature deterioration and unwarranted replacement cost. This will also document completed actions and can assist on decision making for equipment replacement. The equipment inventory needs recurring update to ensure the continued effectiveness of maintenance actions.

- Import electronic equipment inventory data into FIMS accounts
- Update facility equipment data records following installation or replacement
- Obtain electronic equipment lists from general contractors following the completion of new construction projects.

4.0. FIMS Training and Self Assessment. Newly assigned maintenance personnel and other district staff members should receive initial FIMS training soon after initial assignment. More experienced personnel should also receive recurring training on available reporting techniques and data analysis. To determine training needs, the PSFA recommends use of the FIMS Proficiency Matrix for assessing the skills of assigned personnel. FIMS training may be obtained through the district's FIMS Administrator, or individual training may be obtained from the FIMS vendor. The PSFA also provides FIMS training during periodic meetings and regional training sessions.

- Provide initial and recurring FIMS training for district staff
- Contact the FIMS vendor, SchoolDude, with day-to-day questions and to schedule training
- Attend regional FIMS training sessions, and refer to training handouts provided by PSFA
- Attend annual CES Facility Managers Training workshops and quarterly Maintenance Advisory Group Meetings for FIMS updates and training

- Request PSFA assistance to schedule on-site training.

Note: The PSFA Maintenance Division will assist school district personnel by providing guidance and training on all facets of the Facilities Information Management System and how it may be effectively used as a tool to improve maintenance work. Recurring training sessions are scheduled, but unlimited district training is available upon request. Training and information may be obtained by contacting Bob Bittner or any of the other Maintenance Division staff members at the PSFA Albuquerque office, 505-843-6272, or at the email address listed below.

For Additional Information:

See PSFA's *Interactive Preventive Maintenance Task List Index; FIMS Levels of Proficiency; Meaningful Maintenance Measures; and FIMS Self Assessment Matrices* and other related information which can be found on PSFA's website: www.nmpsfa.org, under the "Maintenance" portal.

Process Owner:

Les Martinez
Maintenance Specialist
505.843.6272
lmartinez@nmpsfa.org

End of Checklist

Post Occupancy Evaluation (POE) Step by Step Instructions

Overview:

This document outlines Post Occupancy Evaluation Requirements.

Step 1. Create an itemized scope for the Post Occupancy Evaluation (POE)

- Select from examples of scope criteria; health, safety, security, building function, building efficiency, energy consumption, work flow, psychological impact, educational environment, social environment, cultural environment or other
 - Determine data collection and or tracking process required
 - Set project schedule for POE delivery
 - Establish budget for POE
-

Step 2. Procurement of Professional Services for POE if professional services are anticipated to be less than or equal to \$50,000.

- Contact the Public School Facilities Authority Procurement Office or refer to Box 9, for guidance on procuring POE services under the Small Purchases Threshold section of the NM Procurement Code (13-1-125NMSA), if no Board Policy exists.
 - Request proposal(s) from professional service contractor(s) for POE in accordance with local district and NM Procurement Code Policy
 - Select POE contractor and execute contract
-

Step 3. Procurement of Professional Services for POE if professional services are anticipated to be more than \$50,000.

- Contact the Public School Facilities Authority Procurement Office or refer to Box 9, for guidance on procuring POE services under the Small Purchases Threshold section of the NM Procurement Code (13-1-125NMSA), if no Board Policy exists.
 - Review proposals, proceed with POE contractor selection, and execute contract.
-

Step 4. POE contract implementation

- Hold initial project coordination meeting with POE contractor to review schedule and procedures.
 - Hold pre evaluation conference with POE contractor, PSFA, district and school administration, facility personnel, original designer, and other required parties.
 - Confirm POE schedule with all parties
 - Confirm distribution list for POE drafts with POE contractor and PSFA...
 - Receive draft POE from POE contractor
 - Review draft POE and forward comments to POE contractor with copy to PSFA
 - Receive final POE from POE contractor
-

Step 5. POE follow up

- Develop new guidelines, project scope or facility adjustment plan based upon POE findings

PSFA Process Owner:

Andre Larroque

PSFA Building Standards Coordinator

505-843-6272

alarroque@nmpsfa.org

End of Checklist

Out Year Agreements: Checklists and Step by Step Instructions

Overview:

This document covers the key steps in managing project warranties and out year tasks.

Step 1. Program Statement Phase Requirements; document all all requirements for supplemental warranties and extended maintenance warranties required by owner are communicated to the Design Professional for incorporation into the project.

- Roofing warranty - manufacturer
 - Roofing warranty – subcontractor
 - 3 year extended maintenance warranty (HVAC)
 - Other
 - Other
-

Step 2. Schematic and Design Development Phase requirements;

- Verify that all requirements for all required warranties are included in the project scope by the Design Professional.

* see Step 1 for the list.

Step 3. 100% Contract Document Phase requirements;

- Confirm that all provision for all project warranties are properly included in the final Bid Documents by the Design Professional

* see Step 1 for the list.

Step 4. Construction Phase requirements;

- Verify that all required construction phase warranty inspections have been completed an issues satisfactorily addressed in accordance with the Contract Documents
- Record complete listing of start date for all warranties, including length of term and expiration date for each.
- Up-load all completed warranty documents into PSFA electronic project information and communications system.

* see Step 1 for the list.

Step 5. Project Closeout requirements;

- Verify that all specified final submittal of written warranties are received from the Contractor through the Design Professional
- Record complete listing of start dates for all warranties, including length of term and expiration date for each.

- Up-load all completed warranty documents into PSFA electronic project information and communications system.

* see Step 1 for the list.

Step 6. Warranty Period requirements;

- For all warranties, distribute written procedures regarding responsibilities of all parties on warranty issues such as Owner's notification to Contractor, Contractor action and response, manufacturer's responsibilities, and documentation of warranty related issues and actives

* see Step 1 for the list.

Step 7 Extended Maintenance Warranty Periods

- Verify that all requirements outlined in the PSFA HVAC & Controls Performance Assurance Program (Appendix G – Maintenance Requirements) are followed by all parties.
-

Step 8. Other Post-Occupancy tasks:

- Verify that Facility Data Base is updated to include new project information after completion.(See box 3 for instructions)
 - Verify update of on-line project design portfolio with new project information after completion
 - Determine if Post-Occupancy Evaluation report is to be performed 1 year after final completion, or as otherwise required
 - Complete procedures outlined in the PSFA POST OCCUPACY EVALUAION (POE) CONTRACT MANAGEMENT GUIDE AND CHECKLIST, if POE required
 - Suggest new projects to execute any facility adjustments recommended by Post-Occupancy Evaluation, if performed
 - Recommend changes to standards and guidelines based upon adjustments recommended by Post-Occupancy Evaluation if performed
-

PSFA Process Owner:

Andre Larroque
Building Standards Specialist
505-843-6272
alarroque@nmpsfa.org

End of Checklist

PSFA User & Training Manuals:

All user and training manuals are available on PSFA's website: www.nmpsfa.org

Planning Stage Assistance:

For Box 1: School District Facilities Master Plan Components & Guidelines

**For Box 2: Preventative Maintenance Program Guidelines
Sample District Preventative Maintenance Plan**

For Box 3: Facilities Assessment Database (FAD) User's Guide

Funding Stage Assistance:

**For Box 6: PSCOC Capital Outlay Application User's Guide
Capital Outlay Pre-Application User's Guide (for prior years)
Capital Outlay Final Application User's Guide (for prior years)**

Project Development Stage Assistance:

For Box 10: User's Guide For Posting Bid Opportunities on Bid Net

**For Box 11: Adequacy Standards Planning Guide
Adequacy Standards Worksheet for High Schools
Adequacy Standards Worksheet for Middle Schools
Adequacy Standards Worksheet for Elementary Schools
Adequacy Standards Worksheet for Combined Schools**

For Box 12: Guidelines for PSFA School Construction Contracting

**For Box 13: Construction Information Management System (CIMS) Set Up Guide
Construction Information Management System (CIMS) User Guide**

Construction Stage Assistance:

For Box 16: Guideline for PSFA School Construction Contracting

**For Box 17: Construction Information Management System (CIMS) Set Up Guide
Construction Information Management System (CIMS) User Guide**

Occupancy Stage Assistance:

For Box 21: User's Guide to Facilities Information Management System (FIMS) Modules

Miscellaneous:

Charters: Charter Schools: How to Get a Handle on Facilities

A Brief Summary of The Legal Relationship Between School Districts and the PSCOC/PSFA During Project Funding, Development & Construction

Overview:

A combination of laws, rules, and mutually-agreed upon contracts between school districts, the Public School Capital Outlay Council (PSCOC) and the Public School Facilities Authority (PSFA) have been developed to provide clear parameters and specific roles and responsibilities during all stages of project funding, development and construction—and thereby, to better assure project success. Here’s a short overview:

Laws:

Project governance and the legal relationship between school districts and the PSCOC/PSFA is broadly defined in the Public School Capital Outlay Act (Section 22, Chapter 24, NMSA 1978). There are also rules defined in Title 6, Chapter 27 of the New Mexico Administrative Code (NMAC) that provides additional details.

Joint Powers Agreement (JPA):

*Prior to a school district and the PSCOC partnering to fund a public school capital outlay project, a Joint Powers Agreement (JPA) is signed by the PSCOC and the school district. The JPA outlines the roles and responsibilities that the Owner (school district) and temporary project Co-owner (PSFA/PSCOC) will assume from award to project completion. **The PSFA/PSCOC role of co-owner terminates when a project is complete.***

Memorandum of Understanding (MOU):

When a district accepts a PSCOC award, they agree to partner in funding a school capital outlay project. A Memorandum of Understanding (MOU) executed between the district and the PSCOC serves as a project roadmap with details on scope, funding, oversight, and schedule.

Execution of Project Contracts & Procurement:

When project contracts are entered into by the district and PSFA, they are entered into *via the school district’s procurement office*. Project contracts must utilize PSFA’s standard contract templates and the “*general conditions*” defined therein. Projects are subject to laws and regulations governing public works projects; additional local (school board) procurement regulations may also apply to the school district’s procurement.

PSFA Process Owner:

Jeff Eaton
Chief Financial Officer
505-988-5989
jeaton@nmpsfa.org