



309 Task Force
for Building Renewal



309 Task Force for Building Renewal **Handbook**

April 4, 2012

Steven P. Hotovy, AIA, Administrator

(402) 471-3515

www.das.state.ne.us/309

Please Note: This Handbook is intended for those agencies that have facilities management responsibility. If your agency does not manage your facilities, please contact the managing agency to address your building renewal needs through the submission of requests in accordance with this Handbook.

309 TASK FORCE FOR BUILDING RENEWAL HANDBOOK - CONTENTS

PART A: PROCESS OVERVIEW

Process Flow Chart & Step-By-Step Explanation 3

PART B: PROCESS DETAILS

1) 309 Task Force Mission..... 9

2) 309 Task Force Funding Sources..... 9

3) Eligibility Guidelines..... 10

4) Making a Request for 309 Funds..... 13

5) Allocation Prioritization Process..... 14

6) Receiving an Allocation..... 14

7) Project Management & Approvals..... 15

8) Materials Allocations..... 18

9) Capital Construction & Renovation Projects..... 18

10) Gifts of Property, Acquisitions, & Change of Building Eligibility..... 19

11) Training Sponsored by the 309 Task Force..... 20

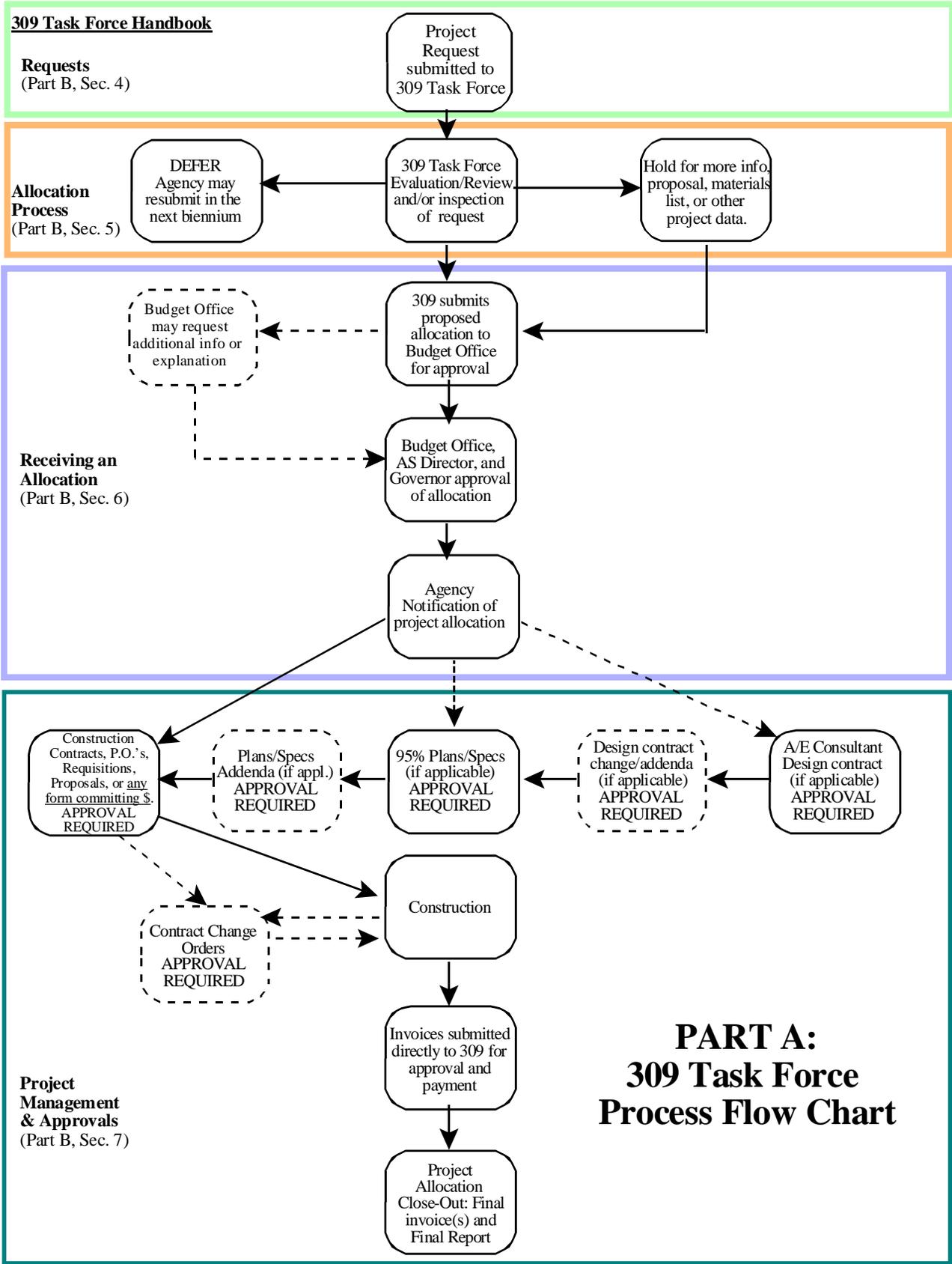
PART C: DESIGN GUIDELINES

12) Architectural/Roofing Design Guidelines..... 21

13) Mechanical/HVAC Design Guidelines 23

14) Electrical Design Guidelines..... 23

APPENDIX: FORMS & DOCUMENTS..... 25



309 Task Force Handbook

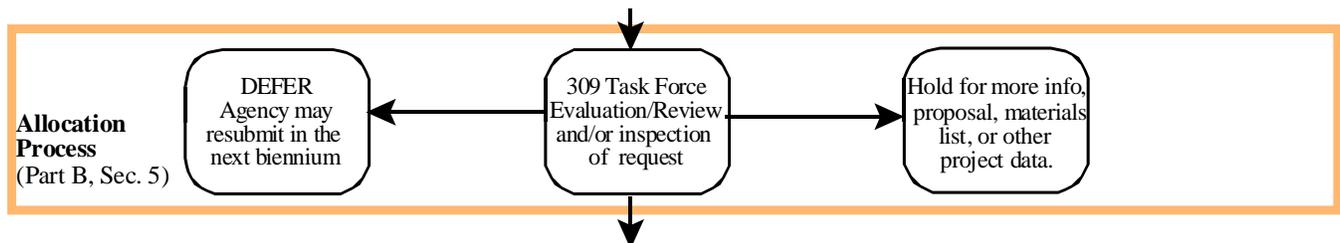
Requests (Part B, Sec. 4)

Project
Request
submitted to
309 Task Force



Step #1: Submit Allocation Request to the 309 Task Force. For the agency, the first step in the process is requesting 309 Task Force funds. However, it is worthwhile to check the policies in Part B, Sections 1, 2, and 3; *309 Task Force Mission, Funding Sources, and Eligibility Guidelines*. Doing so will likely save the agency time and trouble.

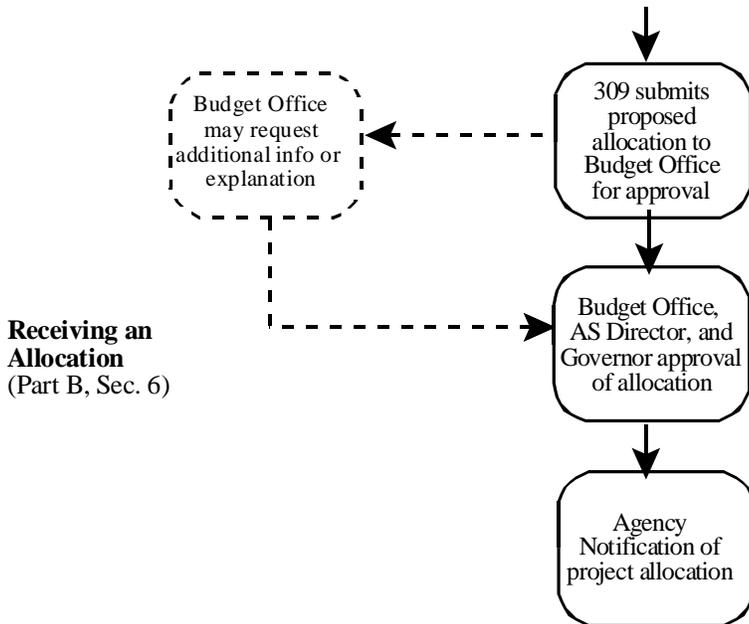
The most common form of agency request to the 309 Task Force is the state of Nebraska **biennial budget submission** made every September of even years (reference paragraph 4.1 in Part B). In general, the Task Force DOES NOT consider requests outside of the biennial submission. However, there are four exceptions: *LB1100 assessment requests, emergencies, energy conservation, and materials-only requests* (paragraph 4.2). You can find more specific information about these exceptions, the format and forms for making requests, and LB1100 requests detail, in paragraphs 4.3 through 4.8. Requests to the Task Force can be submitted electronically, through our web site (www.das.state.ne.us/309), by mail, or by fax.



Step #2: 309 Task Force Evaluation of Request. The 309 Task Force utilizes a consistent, fair, and rational process for the evaluation, prioritization, and allocation of funds for requested deferred building renewal projects. This is addressed in Part B, Section 5 (paragraphs 5.1 through 5.8). Evaluation of requests is accomplished by our team of architectural, mechanical, and electrical professionals, and **typically requires inspections of the highest priority requests of the campus, institution, or agency** (paragraphs 5.2 through 5.5). A number of factors influence 309 Task Force prioritization of the requests (paragraphs 5.6 & 5.7), but it is important to note that 309 allocations MAY NOT exactly follow the priorities of the agency. **However, the Task Force respects agency priorities and will defer to them for allocations when other factors are more or less equal.**

Step #3: Agency Cooperation During the Evaluation Process. During the request evaluation process, the agency makes itself available to submit prioritization information, arrange for on-site inspections by the 309 Task Force, answer questions about the proposed project, building, or system, or to submit additional information requested.

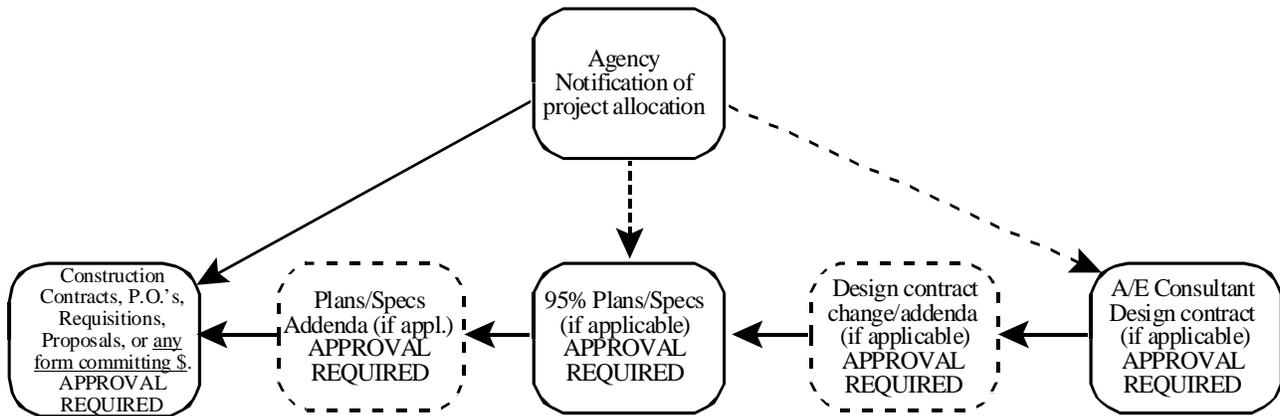
Naturally, the less there is known about a request, or the more confusion there is over it, the longer it will take for the Task Force to come to funding prioritization decisions. If a request eventually fails to become a high priority for allocation, it will be deferred to a subsequent biennium.



Step #4: 309 Submits Proposed Allocation for Approval. The VAST MAJORITY of allocation requests to the 309 Task Force do not make it to Step #4. If a request is fortunate enough to be considered a high priority by the Task Force, and in need of an allocation, then a proposed allocation is submitted to the Governor’s Budget Office for review and approval. The analysts in the Budget Office review the proposed allocation(s) in detail, and at times ask for more information or clarification from the 309 Task Force. On rare occasions such requests or questions may be passed on to the agency. (Note that multiple allocations are often grouped into a “set” and submitted to the Budget Office, per paragraph 6.1.) Once all questions or issues are addressed, the Budget Office approves of the allocation(s) by signature of the Budget Office Administrator (often referred to as the “Governor’s Budget Director”). The allocation documents are then forwarded in succession to the DAS Director, and then the Governor, for approval signatures.

Step #5: Agency Receives Notice of Governor Allocation Approval. If there are no additional concerns or questions from either the DAS Director or Governor, each provide their approvals by signature, and the approved allocation documents are returned to the 309 Task Force. The agency is provided notice of the allocation including a narrative of both the purpose and scope of the allocation or project. In receiving an allocation, the agency agrees to cooperate with 309 Task Force processes and policies as provided in this handbook,

and agrees to certain responsibilities (paragraph 6.4). The agency is responsible for contacting the Task Force if there is any confusion about the scope of the project/allocation, or if there is any confusion about the processes for receiving approvals of draft contracts, purchase documents, or plans/specifications. It is also the responsibility of the agency/campus to accomplish the project in a reasonable time period without undue delays. Inactivity on a 309 project allocation can lead to the Task Force cancelling the allocation. Significant changes in scope MUST receive approval from the Task Force (paragraph 6.5), and allocations cannot be spent or transferred to other agency projects or requests.



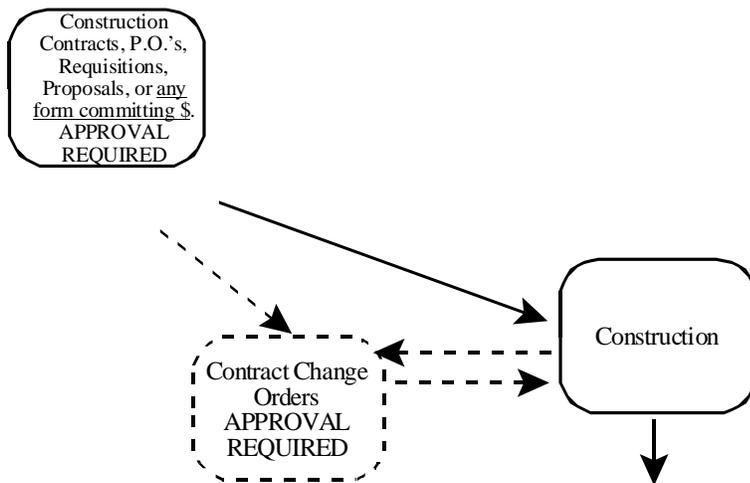
Project Management & Approvals
(Part B, Sec. 7)

Step #6: Consultant Contract Approval and Design of the Project. For the typical 309 Task Force project (requiring design by a consultant and formal bidding), the next step is to get a consultant under contract to design, bid, and provide construction administration for the project (Section 7, paragraph 7.14). Before doing so, please review paragraphs 7.1 and 7.2, for summaries of agency *project management responsibilities*, and 309 *required reviews and approvals*. Please use the Task Force *Project Status Checklist* Form! Once the agency drafts a design contract (unsigned by the agency-Owner) it is submitted to the Task Force for approval (paragraphs 7.3 through 7.6). **Only AFTER Task Force approval can the contract be executed, and design started.** Any changes – **addenda** – to the design contract **must also receive Task Force approval** before proceeding with extra services. Note that this step does not apply on projects that do not require design, or when design is provided outside of 309 funds. (See also Step #9, *Payments*.)

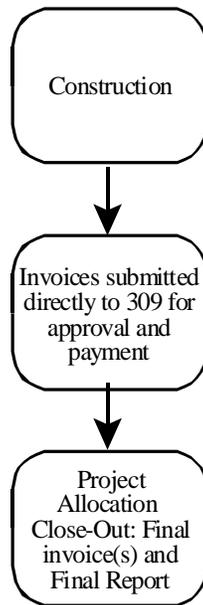
Step #7: 95% Plans/Specifications Approval. The 309 Task Force should be kept informed of significant design developments, and any significant scope change requires approval. However, the next formal approval step is for plans and specifications developed to

95% completion (paragraphs 7.10 and 7.11). The Task Force reviews the submitted plans and specifications and issues a formal approval unless questions or concerns need to be addressed. In such case approval will be delayed until the issues are resolved. If the review items are simple and easily addressed, the Task Force may provide a CONDITIONAL approval, trusting the agency to make the revisions prior to advertisement for bids. **Only AFTER Task Force approval can the plans & specifications be finalized, and publicly released for bidding.** (Please submit one copy of the 100%/final bidding documents to the Task Force.) Any changes – **addenda** – to the final plans & specifications **must also receive Task Force approval** before proceeding with bidding (paragraph 7.12). Note that this step does not apply on projects that do not require design/plans & specs/bidding. For instance, small projects may only require a contractor proposal.

Step #8: Construction Contract Approval. THIS APPLIES ALSO TO ANY FORM OF AGREEMENT THAT COMMITS 309 FUNDS, SUCH AS CONTRACTOR PROPOSALS, PURCHASE ORDERS, REQUISITIONS, ETC. After bids are received (or proposal, purchase order, or requisition), a draft form of the construction contract or document unsigned by the agency-Owner is submitted to the Task Force for approval (paragraphs 7.4 and 7.6 through 7.8). When the bids come in higher than the remaining unobligated allocated 309 funds, it may be necessary to request additional funding (see the Appendix for the *Allocation Increase Request* form). Approval of the construction contract will be delayed in this case until the additional funds are approved by the Budget Office. **Only AFTER Task Force approval of the construction contract (or proposal, purchase order, or requisition) can the document be executed and the work begun.** Any changes – **CHANGE ORDERS** – to the construction contract (or proposal, purchase order, or requisition) **must also receive Task Force approval** before proceeding with the work of the change order.



Construction then proceeds until all of the work is complete. **PLEASE follow change order procedures detailed in paragraph 7.9.**



Step #9: Payments on Contracts. Through the course of construction, payments will be applied for and paid on at least a monthly basis, but small projects or contracts may have only one payment. In either case, the agency is responsible for submitting the pay application, bill, or invoice, to the 309 Task Force for payment (paragraphs 7.15 and 7.16). Payments are made directly from Task Force accounts, except for agency cooperative funding. For EVERY payment submission, a *Payment Recommendation Form* must be filled out and included as the cover sheet. See www.das.state.ne.us/309/project.html for this form, or the Appendix at the back of this handbook. Note that Step #9 is repeated for every payment on a contract, and this step also applies for consultant contracts (Step #6).

Step #10: Allocation Close-Out. As the project reaches completion, final payments are made on each contract the 309 Task Force has approved. An individual allocation may have several approved contracts associated with it. Once all contracts associated with an individual 309 allocation have been paid out through final payments, then the agency submits a *Final Report* form that reports on the completion of the contract(s), provides for a written evaluation of the consultant, contractor, or vendor performance in carrying out the terms of the contract(s), and informs the Task Force that the allocation can be closed-out (paragraph 7.18). Note that the *Final Report* form is needed for each individual allocation, as some projects have more than one allocation if, for example, a design allocation was made prior to and separate from the construction allocation.

Knowing these ten basic steps will guide you through the process to a successful 309 Task Force project!

PART B: PROCESS DETAILS

SECTION 1: 309 TASK FORCE MISSION

- 1.1 **Mission.** Based on a special committee’s findings that many state buildings were in deplorable condition, legislation was proposed and passed in 1977 creating the *Task Force for Building Renewal*. The legislative bill was LB309 – the “Deferred Building Renewal Act.” The purpose of the *309 Task Force* is to fund and oversee the highest priority building renewal projects. Over the years, **the mission of the 309 Task Force** has remained basically the same: **to address the state’s sizable need for deferred building repairs and improvements to the extent possible with available funding, utilizing those funds wisely and efficiently.** The information that follows is intended to guide agencies in our common effort to accomplish this mission.
- 1.2 **A Word Regarding Energy Conservation.** The Task Force has been funding energy conservation projects since our creation in 1977, when saving energy was every bit as important as today. In recent years energy awareness and interest has intensified, and the Task Force has responded by placing a higher priority on funding energy conservation requests. Through the years, cost savings *paybacks* of individual requests have typically determined the projects to receive funding. The Task Force will continue to place a strong emphasis on payback criteria as the State moves forward with ever increasing energy efficiency. Energy requests with a payback of less than five (5) years will be given a high priority for funding.

SECTION 2: 309 TASK FORCE FUNDING SOURCES

- 2.1 **Funding Sources.** Currently, there are two (2) general types of revenue, or funding, which make up the total of funds appropriated to the 309 Task Force. They are: a) cigarette tax; and b) “LB530” rent surcharge assessments. A third type of funding, in the form of “LB1100” depreciation assessments, was eliminated with the passage of LB380 in 2011.
- 2.2 **Cigarette Tax Funds.** Cigarette tax funds can be expended on any agency project, but it is the

general policy of the Task Force NOT to allocate such funds for buildings that are eligible for, and paying into, the LB530 rent surcharge fund.

- 2.3 **LB530 (Rent) Assessment Funds.** These funds are generated through assessments on rent paid to DAS for various facilities. It is the policy of the Task Force that only facilities paying the rent surcharges are eligible to receive allocations of these funds.
- 2.4 **LB1100 (Depreciation) Assessment Funds.** THIS PARAGRAPH APPLIES ONLY TO REMAINING ACCOUNT BALANCES SINCE THE REVENUE WAS ELIMINATED IN 2011. These funds were generated through assessments paid by agencies on new, major capital projects approved in 1998 or later. The funds were assessed and allocated to eligible facilities per the specific requirements of state statutes 81-188.01 through 81-188.06. (Note that some higher education facilities may be eligible for both LB1100 funds and cigarette tax funds.) It is important to note that **renovation projects necessitated by program changes ARE acceptable uses of LB1100 assessments, but ONLY FOR University and State College LB1100 assessment projects**, per 81-188.03(1) and 81-188.05(1). In this case only, renovation is defined from 81-188.03 as: *“renovation work means work to replace the interior or exterior systems of an existing building to accommodate changes in use of building space or changes in programmatic need for building space.”* PLEASE SEE PARAGRAPHS 4.5 - 4.7 FOR LB1100 ASSESSMENT FUND REQUESTS SPECIAL PROVISIONS.
- 2.5 **Cooperative (Match) Funds.** Portions of 309 Task Force projects may be paid by the agencies through cooperative or “match” funds. **Note that agency matching funds are NOT currently required on 309 projects/allocations.** However, agencies may offer matching funds on certain project requests whenever it is in their best interest to do so.
- 2.6 **Cooperative Match Funding Rate Policies.** Such policies will be published and implemented if and when cooperative funding becomes a requirement.

SECTION 3: ELIGIBILITY GUIDELINES FOR 309 TASK FORCE FUNDS

- 3.1 Property Not Eligible.** Most state owned buildings and properties are eligible for 309 Task Force funds, with the exception of those mentioned in state statute 81-183: a) buildings held in trust, b) property of the Board of Educational Lands and Funds, c) the Nebraska Department of Roads, and d) revenue bond structures.
- 3.2 New Property Eligibility & Change in Existing Building Eligibility.** It is the general policy of the 309 Task Force that a ten (10) year period of ownership must lapse before a new property, gifted property, acquired property, or existing property changing to state-supported functions, can be eligible for Task Force funds. **Please see Section 9 regarding new construction and renovation (non-309 projects). See Section 10 for property gifts, acquisitions, and eligibility changes due to a building becoming state-supported.** For Section 10 cases only, the eligibility period may be reduced to five (5) years with Task Force review.
- 3.3 Projects Not Eligible.** As per 81-173(2)(d), the 309 Task Force cannot fund **decorative finish, furnishings, and building additions (new construction)**. The Task Force considers moveable equipment, and equipment NOT directly related to HVAC/ME & utility systems, to be the same as “furnishings.” Architectural features not integral with the building structure and necessary for protection from the natural elements are considered “decorative finish.” New construction is prohibited with the exceptions of meeting ADA requirements and enclosures for, or logical extensions of, HVAC/ME & utilities equipment. Task Force funds are intended for permanent, fixed improvements to facilities and facility utility systems.
- 3.4 Eligibility for Specific Funds.** See 2.2 through 2.4 above for the eligibility policies for the specific fund sources of cigarette tax, LB530, or LB1100 assessment funds.
- 3.5 Employee Residences.** Agency owned residences used for permanent, full-time employees are currently a low priority for Task Force funding.
- 3.6 Greenhouses.** Agency greenhouses are currently a low priority for 309 Task Force funding. However, the head-house structure attached to a greenhouse can be considered a higher priority for funding if it incorporates traditional construction without overhead glass for the roof.
- 3.7 Revenue Producing Facilities.** As a logical extension of the statutory exclusion of revenue bond structures, and as per past precedent and practice, revenue producing facilities will generally not be considered for 309 Task Force funds. An exception is if the facility is contributing to either the LB530 or LB1100 assessment funds, or if it does not generate sufficient revenue to pay for deferred repair and maintenance projects.
- 3.8 Athletic Facilities.** To the degree that certain higher-education athletic facilities are “revenue producing,” they fall under paragraph 3.7 and will generally not be considered for Task Force funding.
- 3.9 Skylights.** The 309 Task Force encourages the use of skylight alternatives in state buildings. Such alternatives should be approved by the Task Force for each individual case. Requests to repair existing skylights, if considered a high priority by the Task Force, will typically be addressed with allocations to either permanently cover the skylight, or remove it and install clerestory (vertical) glass where feasible. The Task Force will generally not pay for repair or replacement of existing skylights. An exception is if the curb or flashing around the skylight is the source of the problem and can be repaired without affecting the skylight.
- 3.10 Roofs Still Under Warranty.** It is the general policy of the 309 Task Force not to consider funding for a roof that is still under warranty. The Task Force expects agencies to perform reasonable roof maintenance, and maintenance required by the warranty (including repair of leaks) on every roof. Failure of the agency to perform adequate roof maintenance can be a factor considered in the denial of a request.
- 3.11 Lack of Adequate Maintenance.** Similar to paragraph 3.10 above, the Task Force expects agencies to perform reasonable maintenance on equipment and systems. Failure of the agency to perform adequate or proper maintenance of any kind can be a factor considered in the denial of a request. Agencies should document building maintenance performed on individual buildings, and keep records.
- 3.12 Buildings Scheduled for Demolition/Buildings with Questionable Future Use.** It is the policy of the 309 Task Force to avoid investing in buildings that are candidates for removal from state

inventory. This may include buildings with little use or a questionable future. Buildings scheduled to be demolished will not be considered for funding. If a building – or a Task Force funded improvement - is demolished within ten (10) years after completion of the 309 Task Force project, then the Task Force can expect to be reimbursed by the agency a pro-rated amount of the project allocation.

3.13 Water Wells & Systems. Requests for water wells and systems that are based on bacteria or “water quality” issues may be a lower priority for funding. However, the Task Force can and will repair or replace well or water system components that are deteriorated or malfunctioning.

3.14 Hazardous Materials Requests. Asbestos, lead, mold, and environmental hazards have become issues after the creation of the 309 Task Force. It is not the intent of the Task Force to deal with environmental hazards through large scale, expensive, stand-alone abatement projects, but rather through addressing the hazards when they become present within the scope or boundaries of an existing 309 Task Force project.

3.15 Historic Structures. Historic structures, defined as any building deemed “historic” by a state or federal agency, will be considered and treated the same as any other state structure for the purpose of these *Policies & Procedures*. However, large scale historic restoration or preservation project requests are not likely to receive a high priority for Task Force funding if the improvements are considered too costly.

3.16 Exterior Brick Walls & Planters/Vines on Building Exterior. Requests to repair or replace free-standing exterior brick walls or planters are currently a low priority for Task Force funds. If the request is a safety issue, the Task Force will consider allocating funds for demolition. Agencies and designers are cautioned regarding the use of free-standing exterior brick walls in new construction. Please see 9.4. Vines should not be allowed to grow on the exterior walls of state buildings, as they contribute to deterioration.

3.17 Exterior Insulation Finish Systems (EIFS). Requests to repair or replace EIFS are generally a low priority for Task Force funds until all other insurance or legal remedies have been exhausted. Exterior hard coat plaster on substrate systems are acceptable alternatives to EIFS.

3.18 Program Related Improvements. The Task Force currently considers requests that are driven by a program-related change in the building as a low priority for funding. Task Force financial participation in each case will be at the sole discretion of the Task Force Administrator.

3.19 Laboratory Hoods and Upgrades. Requests for lab hoods and other upgrades directly related to laboratory use currently have a low priority for funding. Task Force financial participation in each case will be at the sole discretion of the Task Force Administrator.

3.20 Parking Lots, Structures, and Outdoor Lighting. Traditionally, parking lots, structures, and outdoor lighting have not been considered for Task Force funding due to the revenue-producing nature of most parking areas, and the fact that they house vehicles rather than people and programs, and outdoor lighting is not a building system or envelope issue.

3.21 HVAC Controls Upgrades. Requests for HVAC controls upgrades are considered energy conservation. Task Force designation of an individual controls request as a “high priority” for funding will depend on an attractive payback period of five (5) years or less, per paragraph 1.2.

3.22 Computer Hardware & Software. The Task Force will not fund individual requests for hardware or software. The only possible exception is if specific hardware or software is required for a campus fire/life safety system that is a high priority of the Fire Marshal.

3.23 Masonry & Stone Cleaning. The 309 Task Force does not do large scale, stand-alone masonry or stone cleaning projects, but will do limited cleaning within the scope of larger tuckpointing and masonry repair projects. Cleaning methods should be reviewed with the Task Force prior to the work. SANDBLASTING should NEVER be used as a method of cleaning masonry or stone.

3.24 Training Specific to a 309 Project. The 309 Task Force expects training that will optimize the full capabilities of the equipment and systems related to a specific 309 project to be provided by the certified vendor, manufacturer(s), or contractor – and should be provided within the contract for the project. Project specifications for significant Task Force funded HVAC projects should require that a training follow-up occur ninety (90) to one-hundred

and twenty (120) days after substantial completion or equipment start-up. The Task Force will NOT generally contract separately for training specific to a 309 project. For generic training programs sponsored by the Task Force, see Section 11.

3.25 Projects Already Underway/Lack of Planning/Value Engineering. The 309 Task Force will generally NOT consider requests to fund projects already underway, because of the inability to be involved at the outset of design, and because doing so would compromise at least some of the allocation procedure and approval process. Note that this does not apply when the Task Force is involved at the start of design on a project where the agency is entirely funding design, and 309 funds are requested for construction. Also note that **under no circumstances can the Task Force reimburse an agency** for payments made on completed work, or a completed project. The 309 Task Force should not be used as a substitute for the deficit request process, or to make up for a lack of planning or project management, i.e., when a non-309 capital project develops cost overruns, or requested items were “value-engineered” out of the project.

3.26 Size of Project Request. At times the Task Force may have to declare that the amount of funds being requested for an individual project is too large – or too small - to be reasonably considered, and can suggest the agency pursue capital construction appropriations, or other sources, or agency funds, to accomplish the project. For capital construction projects (or other major projects that do not involve 309 funds), see Section 9.

3.27 Renovations and Remodeling Necessitated by Program Changes. The 309 Task Force generally does not fund renovation or remodeling work necessitated by program changes, except for University and State College LB1100 Assessment projects as per Sections 81-188.03(1) and 81-188.05(1). For definition of “renovation” see Paragraph 2.4. Remodeling means the same as “renovation.” See also Section 9 for renovation guidelines for capital construction or other non-309 Task Force funded projects.

3.28 “Green” (Vegetated) and “Cool” Roofs. Requests to replace an existing roof with a “green” (vegetated) roof will be considered as an energy conservation request, and due to significantly higher installation costs, allocation consideration will depend on a reasonable cost savings payback period. “Cool” roof replacement systems (featuring

light or white surfaces) are considered on a case-by-case basis because the cost differential is not significant. However, recent research suggests that “cool” membrane roofs may not be effective in northern climates, or where the insulation R-value under the membrane is significant. See also 9.6 for capital construction and renovation (non-309 projects).

3.29 “Green” Technologies. Payback periods (per paragraph 1.2) will be used to determine funding of requests to use “green” building technologies.

3.30 Other Limited Considerations. The 309 Task Force currently chooses to limit consideration of the following types of requests:

- **Portable or temporary buildings, structures, or equipment.** However, temporary construction that is necessary for permanent improvements are acceptable.
- **Built-in Gutters**, other than to remove/cover over, or install liner.
- **Sidewalks** (ADA issues excluded) are a low priority as stand-alone projects.
- **Carpet** is currently a low priority for Task Force funds.
- **Wheelchair lifts** require Task Force approval.
- **Drives or roads or paving** beyond five (5) feet of the building perimeter.
- **Landscaping** other than ground cover torn up by the Task Force funded project.
- **Turf replacement with sod** (in lieu of seed) requires Task Force approval.
- **Window coverings/blinds**, and blinds inside window glass.
- **Telecommunications/information technology (IT)/data cable** other than part of a larger upgrade project, or for a life safety system.
- **Fencing, gates**, and other site walls/structures not associated with ADA.
- **Security/surveillance** cameras, equipment and software.
- **Cabinetry and millwork** outside of Task Force eligible renovations.

SECTION 4: MAKING A REQUEST FOR 309 FUNDS

4.1 Biennial Budget Requests. The first and primary way of requesting 309 Task Force funds is through the agency biennial budget request submission which coincides with agency Capital Construction Budget Requests (CCBR) every September of even years. The process for requesting 309 Task Force funds through the biennial budget request submission is defined in the *State of Nebraska Budget Instructions* published by the DAS Budget Division in June or July of even years. Please refer to that document on the Budget Division website (www.budget.state.ne.us) for specific information on how to submit an agency 309 Task Force biennial request.

4.2 Biennial Budget Requests General Policy. It is the general policy of the Task Force that unless a project is requested in the agency biennial budget request submission, it will not be eligible for funds until it is requested in the next biennial request. There are, however, several exceptions: **LB1100 Assessment requests** (until remaining account balances are spent), **emergencies**, **energy conservation**, and **materials-only** requests. In addition, if special situations develop regarding the need of a project **which could not have been foreseen at the time of the biennial budget submission**, then that project may be eligible for funding. The purpose of the general policy is to encourage agencies to document the true scope of known 309 projects through the biennial request process.

4.3 Emergency & New Requests. In the two years after an agency biennial request submission, it may be necessary to request an emergency or new request to the Task Force office. In general, “new” requests are not eligible for funding unless they meet one of the exceptions mentioned in paragraph 4.2. Emergency or new requests are submitted directly to the Task Force office using a letter, memo, fax, or electronic submission (www.das.state.ne.us/309), and includes the following specific information found on the *Request for Allocation* form in the Appendix:

- Agency Name
- Project Location
- Building Number (DAS assigned)
- Building Name
- Narrative Description Explaining Scope
- State if the Request is an Emergency
- If Materials-Only, State & Provide

- Description
- Will Design be In-House or by Consultant?
- Detailed, Estimated Total Project Cost

4.4 Requests for “Insurance Related” Events. Severe storms, or other events, causing building damage or failures may be eligible for Task Force funding to the degree that repairs/replacements are not fully paid for by insurance funds. The process for such requests is for the agency to make a claim to their third party administrator (TPA) for insurance, and work with TPA representatives to get the best possible compensation for the claim. If the insurance compensation falls short of the required construction costs, including design, then the agency can request that amount from the Task Force. However, the Task Force will not be the replacement for insurance, and will not allocate funds before the insurance compensation is determined. The 309 Task Force will NOT consider paying agency deductibles for co-insurance. However, such deductibles may count towards the agency cooperative matching funds.

4.5 LB1100 Assessment Fund Requests. Requests for LB1100 funds can be made at any time, until the remaining account balances are spent.

4.6 Renovation Requests for LB1100 Assessments & CCPE Review/Approval. Applicable University and State College remodeling or renovation projects will require Coordinating Commission for Postsecondary Education (CCPE) review and approval per Section 85-1414. Such CCPE review and approval, if applicable, should be completed PRIOR to the renovation request for LB1100 Assessment funds from the Task Force. Please see state statute 85-1414 to determine whether a renovation project applies to CCPE review & approval.

4.7 LB1100 Assessment Funds Allocation Policy. In accordance with LB380 passed and approved in 2011, there are no limitations on the amount of allocations per year from LB1100 accounts. Allocations will continue to be made until LB1100 accounts are exhausted.

4.8 Eligibility of Specific Requests. Please see Section 3, Eligibility Guidelines, before submitting specific requests. If you have any questions about Section 3, or the eligibility of a specific building or request, please contact the 309 Task Force.

SECTION 5: ALLOCATION PRIORITIZATION PROCESS

- 5.1 Emergencies.** True emergencies, as determined by the 309 Task Force, have the highest priority for allocation of funds. Emergencies typically are when a building component or system fails and no longer functions, when there is a sudden penetration of water through a failure in the building envelope, or when a code authority has determined a code deficiency with respect to an aspect of the building that is eligible for Task Force funds. If an emergency comes about through the neglect of an agency, or could have been reasonably prevented by the agency, the Task Force may not consider the request. Emergencies that require funding within forty-eight (48) hours can be expedited through the Governor's approval process, but in some cases, the Task Force may recommend utilizing agency emergency funds instead.
- 5.2 Campus or Site Priorities.** Due to limited funding, it may be necessary for the Task Force to request a list of highest priority project requests at particular campuses or sites. Campus prioritization helps determine subsequent inspections.
- 5.3 Inspections of High Priority Requests.** The 309 Task Force makes inspections of the highest priority requests through scheduled visits to the campuses or sites. However, in a given year or biennium, budget constraints may determine the availability of Task Force inspections.
- 5.4 General Inspection & Allocation Policy.** It is the general policy of the 309 Task Force that a project will not receive an allocation of funds until it has been inspected by the Task Force, assuming there are conditions visible that make the inspection worthwhile. In some cases, agency photos (or videos) may eliminate the need for an inspection by the Task Force, or other information/data/studies can justify the need for a project allocation.
- 5.5 Projects Discovered by the Inspections.** The Task Force may, while visiting a campus or site, discover a building condition that requires an allocation. Although the project may not have been requested by the agency, it still may receive an allocation simply by being discovered by the Task Force and determined to be a high priority.
- 5.6 Prioritization by the 309 Task Force.** Based on the inspections, the data and evidence associated with

each request, and the judgment of the Task Force staff, projects will be identified as statewide "high priorities" for Task Force funds. The designation of "high priority" for certain projects by the Task Force may not necessarily be consistent with the agency, campus, or site priorities, but are determined by various factors such as **statewide need, availability of funds in comparison to the size of the request, the relative importance of the building, reasonable planning practices, professional judgment, energy savings payback periods, State Fire Marshal priorities**, and other considerations. However, the Task Force respects agency/campus priorities, and will defer to them if there are no other factors to determine otherwise.

- 5.7 Prioritization & Limited Funding.** Once the "high priority" project requests are determined for a season – or for a year – by the Task Force, the projects will be allocated to the degree that available funding allows. Because of funding limitations, certain "high priority" requests may be deferred until funding levels allow an allocation. Deferment of certain "high priority" requests may also be the result of seasonable influences and the desire to bid or construct a project at the best possible time of the year, or at a time that is more appropriate for the campus or agency.
- 5.8 Types of Allocations.** 309 Task Force allocations may be for one of three purposes, or a combination of these three purposes: a) a consultant *study* to define the problem, possible solutions, and likely costs, b) funds to *design* the project for the purpose of bidding, or c) *construction* or installation of the project. The Task Force will make a judgment on the best possible way to proceed with an allocation based on information and input from the agency or campus.

SECTION 6: RECEIVING AN ALLOCATION OF 309 FUNDS

- 6.1 Allocation Approval by Governor.** The process by which the Governor approves allocations starts with a submission of a project - or projects - recommended for allocation by the 309 Task Force. For the sake of efficiency, the Task Force often groups as many projects as possible into one allocation submission. However, emergency submissions are made as needed. The submissions are first reviewed by the Budget Division, and the Budget Administrator approves of the allocation(s) only after any questions or issues are resolved.

After that, the DAS Director approves after any other questions or issues have been addressed. Finally, the Governor approves of the allocation(s) if there are no additional questions or issues. The submission is returned to the Task Force with the approval signatures. The process typically takes two to three weeks, depending on availability of the signature authorities. However, if significant questions or issues arise, the process may take longer.

- 6.2 **Notice of Allocation.** Immediately following return of the allocation(s) approved by the Governor, the agency or campus is notified by the Task Force, and receives a copy of the allocation narrative and purpose for each project.
- 6.3 **No Assumption of Approvals.** Although an agency or campus may have submitted draft contractor proposals, materials only requisitions, purchase orders, vendor price quotes, or consultant contracts attached to the request for funds, notice of allocation DOES NOT assume that any such documents are also approved. Official approval of certain documents (see Section 7) comes in the form of specific approval memos from the 309 Task Force. **If an agency or campus proceeds with a contract, requisition, purchase order, or proposal that was not specifically approved through a memo separate from the allocation notice, the agency may have to take responsibility for payment.**
- 6.4 **Agency/Campus Responsibility.** Once an agency or campus receives notice of an allocation, it is their explicit responsibility to read the narrative and purpose of the allocation and to contact the Task Force if they do not fully understand the scope of the proposed project funded by the allocation. It is also their explicit responsibility to contact the Task Force if there are any questions regarding the procedure for draft contract or plans/specifications approvals, or to inquire as to whether it is necessary to re-submit for approval any draft documents previously attached to requests. It is also the responsibility of the agency to accomplish projects without undue delay. If a project is not progressing in a reasonable amount of time (no activity for 12 months), then the allocated 309 funds may be reclaimed. (See also 7.18).
- 6.5 **Change in Project Scope & Allocation Transferability.** Any change of scope must be approved by the Task Force regardless of whether

the change will require an increase in allocation or not. Failure to obtain Task Force approval on a change in project scope may have the effect of the agency taking financial responsibility for the change. All allocations assigned to an agency or campus from Task Force funds are project specific, and fund balances cannot be used or transferred to another project.

SECTION 7: PROJECT MANAGEMENT & APPROVALS

- 7.1 **Project Management Responsibilities.** The agency receiving the allocation from the Task Force is responsible for the day-to-day management of the project as Owner, and is responsible for keeping the project within the scope of the allocation. Any problems or issues that may impact the scope must be communicated to the Task Force as soon as possible after discovery. The agency is the contracting party, and is responsible for adherence to terms of contracts, and for agreeing only to terms that are consistent with the laws of the State of Nebraska. The Task Force is responsible for overseeing the project progress, and for paying its share of billed amounts on work satisfactorily performed. Because the Task Force provides funding for specific purposes, it must review and approve certain documents to ensure that the project is not growing in scope, and that funds are being spent in the manner appropriate for successful completion of the project.
- 7.2 **Required Reviews & Approvals.** For projects that receive ANY amount of 309 Task Force funds, the Task Force reserves the right to review and approve ALL contracts and ALL bid plans/specifications, as well as any contract change orders and addenda to bid plans. Failure to pursue or to obtain contract or bid plan/spec approval may have the effect of releasing the Task Force from obligation to pay bills on the project. Task Force approvals must be obtained prior to the documents being signed or executed by the Owner. It is highly recommended that agencies utilize the Task Force *Project Status Checklist* form as a cover sheet for all review/approval submissions.
- 7.3 **Contract Approvals.** The Task Force must approve any document that obligates the agency (owner) to pay for materials and/or labor on a 309-funded project regardless of whether the 309 funding is partial or 100%. This requirement cannot be waived. The Task Force reviews contracts primarily for: a) whether the contract amount is appropriate

for the project allocation, and b) whether the services, work, or materials are appropriate for the scope of the project. At times the Task Force may make suggestions to terms and conditions that in our opinion will be in the best interest of the agency, but in no case do these suggestions constitute a legal review. The Task Force in no case assumes any liability for the legal terms and conditions of the contract, even when we suggest revisions. The various types of contracts that require approval are:

- Consultant Design (or Study) Contracts
- Construction Contracts
- Proposals from Consultants, Contractors, or Vendors
- Requisitions/Purchase Orders
- ANY Letter Agreement, Form or Document which commits funds
- ANY Revisions, additions, or change orders to the above documents

7.4 Contract Approval Procedures. The draft contract document must be sent to the Task Force, along with a statement requesting review and approval. A draft contract document is one that is unsigned by the Owner. The submission can be via fax, mail, or by electronic means. The Task Force will endeavor to respond to the submission within one calendar week (or less) of receiving the complete document(s) including all necessary information. This one week period does NOT necessarily include time spent resolving issues or questions with the agency, and it does not include time spent seeking an allocation increase approval. Once the draft contract is approved, the Task Force is to receive a copy of the executed contract signature page.

7.5 Consultant Design Contracts Special Provisions. Because of the nature of Task Force projects, it is not unusual to have a large change to a project after it has been bid. The Task Force recommends that consultant design contracts include provisions that limit the fee for design of change orders. Provisions should also provide that the consultant is NOT entitled to a fee when proposed changes do not require design, drawings, alterations, additions, or deletions by the consultant, OR when the proposed change is due to the consultant's error or omission.

7.6 Contracts Special Provisions. The 309 Task Force highly discourages agencies from entering into contracts that either: a) limit the liability of the other party, or b) holds another party "harmless." Also, if

agencies propose using AIA standard contract documents, they should be appropriately modified for state use; i.e., incorporate the Nebraska Prompt Pay Act, eliminate arbitration provisions because they are not consistent with state law, revise insurance provisions, etc.

7.7 Proposals Procedures. Consultant, contractor, or vendor proposals are often used as attachments to standard agency contracts. In such cases, both the proposal and draft contract must be submitted for review and approval. In other cases where the proposal is the sole contracting document, the agency should alert the Task Force to that fact and submit the proposal in draft form (unsigned by Owner). The content of the proposal should include a detailed cost estimate and an explanation of scope. Means of submitting the draft proposals **are the same as those outlined in 7.4.** Once the draft proposal is approved, the Task Force is to receive a copy of the executed proposal signature page.

7.8 Requisitions/Purchase Orders Procedures. The Task Force must review and approve all draft requisitions or purchase orders, and strongly encourages the use of the Task Force requisition form for materials only projects (available on our web site, and in the Appendix). Vendor proposals are required to be attached to that form, and a reference number (assigned by the agency) must be included. Agencies may use their own form of requisition or purchase order on non-materials only projects, but the vendor proposal and a reference number must be included with the submission. The means of requisition or purchase order submissions **are the same as paragraph 7.4.**

7.9 Contract Change Orders Procedures. The Task Force requires 3 types of information in order to approve a change order: 1) change order number; 2) change order amount; 3) explanation of change; and any supporting materials to document the amount or explanation. The means of draft change order submissions **are the same as paragraph 7.4.** The Task Force must approve ALL change orders, even no cost or deduct change orders. If a change order is approved by the Task Force, and then any of the three items above changes from the original submission, then the new information must be submitted for re-approval. Once approved, the Task Force is to receive a copy of the signed change order. If an agency chooses to pay 100% of all change orders on a 309 Task Force project, Task Force approval of change orders may be waived.

7.10 Plans/Specifications Approvals. Prior to public advertising, the Task Force MUST approve all draft bid documents (plans/specifications) on any 309-funded project. "Draft" plans & specifications are generally developed to 95% completion. **The Task Force reviews draft plans and specifications primarily for: a) whether the design is appropriate for the project allocation; b) whether the solution, work, and materials described are appropriate for the scope of the project; c) whether specific Task Force design standards or directives have been met; and d) obvious errors that can lead to change orders if not corrected prior to bidding.** At times, the Task Force may make design suggestions, as well as suggestions to document terms and conditions that in our opinion will be in the best interest of the agency, but in no case do these suggestions constitute a legal or design review. The Task Force in no case assumes any liability for the plan/specification design, or legal terms and conditions of the documents, even when we suggest revisions. Once Task Force approval of the draft plans and specifications is granted, there is no need to have 100% documents re-approved. However, in some cases the approval is contingent upon revisions being made, and the Task Force will inform the agency in writing when the conditions have been met.

7.11 Plan/Specification Approval Procedures. The draft plans/specifications must be sent to the Task Force, along with a statement requesting review and approval. The set of documents may be sent via fax (if reasonably small), mail, courier, or by electronic means (if acceptable to the Task Force). The Task Force will endeavor to review and respond or approve draft plans/specifications within the following periods of time after receiving them in our office:

- Two (2) calendar weeks for projects estimated to be under \$1,000,000
- Three (3) calendar weeks for projects estimated to be over \$1,000,000

Draft plans/specifications not acted on by the Task Force within these time periods may be granted an **Automatic Approval Waiver (AAW).** **This means that the agency can proceed to bid the project, understanding they take responsibility that the project design addresses items a), b), c) and d), in paragraph 7.10.** The time periods above do NOT necessarily include time spent resolving issues or questions with the agency, and only starts when complete (NOT partial) plans & specifications are

received by the Task Force. Once approved, the Task Force is to receive a copy set of the final, 100% bid documents. Fire safety and ADA plans require State Fire Marshal review.

7.12 Addenda Procedures. Since addenda are revisions to the plans/specifications, the Task Force must review and approve them. Addenda are submitted by the same means as in paragraph 7.11, but the Task Force will endeavor to issue a response or approval within 48 hours (two business days - weekends and state holidays excluded) of receiving it. If the submission is not responded to in that time frame, then the addendum may be granted an **Automatic Approval Waiver (AAW).** **This means that the agency can proceed to issue the addendum, understanding that they take responsibility for it being consistent with items a), b), c), and d), in paragraph 7.10.** The 48 hour review time period does NOT necessarily include time spent resolving issues or questions with the agency.

7.13 Bidding Projects. Agencies are required to follow the state's bidding laws, but the Task Force is not responsible for enforcing such laws. Once a 309 project is bid, the agency submits the results (bid tabulation) to the Task Force, and may at the same time submit the draft construction contract for approval. If the successful bid requires an additional amount of Task Force funds to contract for the project, then the agency must request an allocation increase. In such case, the draft construction contract will not be reviewed and approved until after the allocation increase is approved by the AS Budget Division.

7.14 Hiring Design Consultants. Agencies are required to hire and utilize professional consultants as per current state law, but the Task Force cannot be responsible for enforcing such laws. The Task Force recognizes agency open-end agreements when consistent with state law. Whenever a consultant selection process as per 81-1701 through 81-1721 is used for a 309 Task Force project, the Task Force should be invited to take part in, or monitor, the process.

7.15 Allowable Costs for 309 Task Force Payments. The Task Force can pay for construction and installation costs, for materials for the project, for testing, abatement, and demolition costs. Consultant fees and expenses can also be paid by the Task Force. Newspaper bid advertising is not paid directly by the Task Force, but can be paid when billed through

consultant contract reimbursables. Costs that the Task Force will NOT pay for include: non-approved telecommunications (see 3.30), in-house project management, artwork, and moving and relocation costs. **If Task Force funds have not been allocated, under no circumstances will the Task Force reimburse an agency for payments made on completed work – or a completed project – even if the costs are considered “allowable” costs.**

7.16 Payment of Bills/Invoices. When submitting payment requests, the *Payment Recommendation Form* must be filled out completely and include at least one authorized signature. Please use the Business Unit (BU#) number when submitting this form! The completed form, along with copies of invoices, bills, or applications for payment should be mailed, faxed, or sent electronically to the Task Force office. When applicable, it is the agency responsibility to pay their share of cooperative funding directly to the contractor, consultant or vendor. See the Appendix, or www.das.state.ne.us/309/forms, for the *Payment Recommendation* form.

7.17 Substantial Completion. For all 309 Task Force projects over five-hundred thousand dollars (\$500,000.00), the Task Force shall be invited to participate in the substantial completion inspection. However, with hundreds of active projects at any given time, and budget constraints, it is not possible for the 309 Task Force to attend the majority of substantial completion inspections.

7.18 Project Close Out. After all payments on all contracts for a specific allocation (BU “Business Unit” #) are made, then the agency will submit a *Final Report* to close out the allocation. See the Task Force *Final Report* form in the Appendix. It is the intention of the Task Force to close out projects in a timely manner in order to free up any remaining funds. Inability of an agency to act diligently in closing out projects may be a factor in considering future allocations. Inactivity of a substantially completed project for one year may result in the closing of the allocation by the Task Force in order to reclaim any remaining 309 funds. (See also paragraph 6.4).

SECTION 8: MATERIALS ONLY ALLOCATIONS

8.1 Materials Only Projects. Projects where the Task Force pays for the materials, but not the labor, are called “materials only” projects. They are generally

smaller in scope and are accomplished by agency staff performing the labor. Materials bills or invoices on these projects are paid 100% by the Task Force directly to the vendor (typically a lumber yard, hardware store, or supplies company).

8.2 Materials Only Requests. Requests to the Task Force for materials only project funding can be made at any time, using the *Request for Allocation* form and do not necessarily have to be included in the agency biennial request.

8.3 Materials Only Requisitions. After a materials only allocation is approved by the Governor, vendor estimates or proposals are attached to a 309 Task Force *Materials Only Requisition Form* (www.das.state.ne.us/309/forms), and submitted to the Task Force office for approval, as per paragraph 7.8. Once approved, the materials can be obtained from the vendor, and the payment of bills made in the same manner, using the same form, as in paragraph 7.16.

8.4 Materials Only Policy. The labor for materials only projects are intended to be accomplished by in-house staff. However, it may be acceptable for an agency to hire and pay a company to perform the labor for certain materials projects with the prior permission of the Task Force. It is also the general policy of the Task Force to limit the size of materials only requests, and to phase some materials projects over time by allocating smaller amounts than requested.

SECTION 9: CAPITAL CONSTRUCTION & RENOVATION/NON-309 PROJECTS

9.1 309 Task Force Review. Agencies often obtain capital construction funding for renovations, additions, and new construction. The sources of funding for such projects can involve state appropriations, federal funds, agency or department funds, or private or other funds. Although 309 Task Force funds are not involved, it is strongly encouraged that such projects on state facilities be reviewed by the Task Force in order to identify potential future maintenance requirements, and relative adherence to specific design guidelines.

9.2 Capital Construction & Renovation General Policy. It is the general policy of the 309 Task Force that capital construction projects (renovations, additions, and new construction) do NOT become eligible for Task Force funds for a period of ten (10)

years from the date of substantial completion. (*Effective date: 11/1/07*) Draft plans & specifications (at 95% development) for non-309 projects submitted to the Task Force will be reviewed within thirty (30) days. However, the Task Force will NOT review such plans and specifications if they are at the 100% stage, or if our review cannot be completed before bidding of the project.

9.3 Guidelines for Renovations. When an entire facility is renovated, the entire building envelope (i.e., roof, windows, exterior walls, entrances, etc.) should be included in the renovation without an expectation of receiving 309 funding. When a portion of a facility is renovated, only the applicable portion of building envelope needs to be addressed in the project for the purposes of this paragraph. The scope of renovation should include all applicable and necessary fire/life safety, and ADA code upgrades for the area being renovated. This also applies when a renovation in one part of the building necessitates a code upgrade outside of the scope of the renovation. 309 Task Force funds cannot be expected for building envelope and code upgrades made necessary by a non-309 renovation project if the upgrades were not previously included in a request to the Task Force.

9.4 Capital Construction & Renovation Design Cautions. Agencies should exercise caution when incorporating building elements in the design of capital construction & renovation projects which are not eligible to receive Task Force funds for repair in the future. See paragraph 12.18 for the non-eligible building elements.

9.5 Capital Construction & Renovation Design Guidelines. The design of state capital construction & renovation projects should adhere to the Design Guidelines of Section 12. If a capital construction or renovation project does not adhere to an item or items published in Section 12, then the agency may be responsible to pay for the future repair or remedy of the particular item(s).

9.6 "Green" Capital Construction & Renovation. "Green" (vegetated) roofs may be installed in non-309 construction. However, when replacement eventually becomes necessary, the Task Force will likely only pay for a standard roof replacement system or for only the membrane that protects the structure, and NOT any of the vegetation system. Repair requests on vegetated roofs installed through non-309 construction will only be considered by the Task Force if it is clear that the

design, installation, or performance of the vegetation system did not contribute to the problem.

9.7 Capital Construction & Renovation Design Issues. The Task Force cannot be expected to eventually pay for the remedy, repair, or replacement of building systems that incorporate poor, impractical or overly complex design, or design that purposely ignores the fundamental requirement of providing facility envelopes that are weather-tight. Agencies and their designers/consultants have design freedom, but the Task Force expects that freedom to come with the responsibility to choose materials, designs, and details that will function and perform without premature failure requiring remediation, repair, or replacement.

SECTION 10: GIFTS OF PROPERTY, ACQUISITIONS, & CHANGE OF BUILDING ELIGIBILITY

10.1 Gifts of Property. The process for approval of gifts of property to state agencies (other than University and State College gifts) is provided in state statute 81-1108.33. The law calls for a review of the proposed gift by the State Building Division and the 309 Task Force, and report and recommendation to the Governor and Legislature. According to the statute, the two divisions "*shall review the plans, specifications, other construction or repair documents, and potential maintenance requirements as a requirement for acceptance by the state...*" In some cases, it **may be** necessary for the two divisions to **inspect the property structure(s)** to determine "*potential maintenance requirements.*" It is the general policy of the Task Force that any **gift of property** will NOT be eligible for Task Force funds for ten (10) years, **unless** it has met the requirements of 81-1108.33, in which case the period is reduced to five (5) years. Where potential maintenance items (repairs or replacements needed within five years) are found on structures gifted to the state, those repairs and replacements are the sole responsibility of the agency to appropriately address. Any property that becomes owned by a state agency or commission without Governor and Legislature approval as per 81-1108.33 is deemed to be in violation of law (University and State Colleges excepted), and therefore, will **never** be eligible for 309 Task Force funds. The Task Force will have no involvement with a property that is in violation of state law.

10.2 Acquisitions of Property. When a property is legally acquired by an agency or commission, it

does NOT become eligible for 309 Task Force funds for a period of ten (10) years, unless the Task Force is given the opportunity to review potential maintenance requirements of the property. If this is done, the period is reduced to five (5) years. Where potential maintenance items (repairs or replacements needed within five years) are found on acquired structures through review by the 309 Task Force, those repairs and replacements are the sole responsibility of the agency to appropriately address. This paragraph applies to all state agencies eligible for Task Force funds, AND for gifts of property to the University and State Colleges.

- 10.3 Change in Building Eligibility for Task Force Funds.** When a building or structure officially changes use and becomes “state-supported” or otherwise technically eligible for Task Force funds (as in the case of a revenue bond structure being converted to a classroom building or other state use), it will be considered the same as an “acquisition” for the purposes of Task Force funding, and paragraph 10.2 will apply.

SECTION 11: TRAINING SPONSORED BY THE 309 TASK FORCE

- 11.1 Applicability.** This section applies to training programs sponsored and paid by the 309 Task Force. This section does NOT apply to training for equipment provided in specific 309 allocated projects, as covered in paragraph 3.24.
- 11.2 Approval of Specific Training Programs.** The Task Force will sponsor and pay for training that directly relates to the facility maintenance and repair duties of state employees, but not for training related to landscaping and pest control. The Task Force will pay for training only when such training receives approval from the Task Force **prior** to registrations being made. No approval will be given for training that is currently underway, or has already been completed. Task Force approved training is intended to be generic to systems, and not limited to specific vendor equipment.
- 11.3 Applicable Costs Paid by the 309 Task Force.** The cost of Task Force approved training will be paid by the Task Force, unless there is an absence as per paragraph 11.5 below. It is the general policy of the Task Force that travel, meal, and lodging expenses of the person or persons attending the training are NOT eligible for compensation by the Task Force, and such costs are the responsibility of the agency

or person(s) attending. The Task Force only pays for the cost of the training program.

- 11.4 Registration.** Sufficient time must be given the Task Force to adequately evaluate requested training. If a training program starts before the Task Force has had time to evaluate, then the requesting agency will be 100% responsible for the cost of training. Registration deadlines must be respected by the agencies and persons planning to attend Task Force approved training programs. Failure to register by the deadline will result in exclusion of the person(s) from the training program.
- 11.5 Registrant Absence.** If any state employee registered for a Task Force approved training program is absent, it is the general policy of the Task Force that the registrant, or his/her sponsoring agency, is 100% responsible for the cost of the training program. The absence may be excused if a written explanation is provided to the Task Force, and it is determined by the Task Force to be acceptable. However, the Task Force reserves the right to reject the written explanation, and the cost for the training.
- 11.6 Substitutions.** If a registered training attendee becomes unable to attend the training program, then the agency or department can propose a qualified substitute to take his or her place. However, the substitution must be proposed prior to the start of training, and the Task Force reserves the right to refuse payment of the training if the substitute’s duties are not directly related to the training program. Agencies cannot propose unqualified substitutes as a way to avoid payment for a “no-show.”

PART C: DESIGN GUIDELINES

SECTION 12: ARCHITECTURAL/ROOFING DESIGN GUIDELINES

- 12.1 General Statement.** The following 309 Task Force “design guidelines” are not comprehensive and do not constitute specifications; they are simply a listing of recommended aspects of design that contribute to successful projects and help reduce future maintenance requirements. Agencies and commissions, and their consultants and in-house project managers, are encouraged to incorporate these design guidelines where applicable and appropriate. However, all must understand that utilization of any of these guidelines does not transfer design responsibility or liability from the consultant or agency to the Task Force. It should also be noted that implementation of these design guidelines may not necessarily be practical or feasible in every case.
- 12.2 Roof Systems Restrictions.** The only roof types (systems) that the 309 Task Force greatly discourages are those with non-standard or overly expensive materials, or roofs that can be considered “decorative finish” as per 81-173. Proposed roofs that incorporate non-standard or overly expensive materials are greatly discouraged because they can negatively affect insurance availability and rates, and they will be considered a very low priority of the Task Force.
- 12.3 Ballasted Roofs.** The 309 Task Force does not often install ballasted roofs, but in some cases they may be appropriate for economy or compatibility with existing or adjacent roofs. However, due to the possibility of ballast being blown by storm force winds, ballasted roofs should not be installed adjacent to structures that include significant areas of exterior glass.
- 12.4 Built-Up Roofs.** Built-up roofs are acceptable and have a very good track record, but fewer contractors are installing built-up roofs, and they tend to be more expensive than low-sloped rubber roofs. If an agency, campus, or consultant, desire a built-up roof they should contact the 309 Task Force regarding the specifics of the individual project.
- 12.5 Roof Slope.** For “low-sloped” roof systems that are NOT metal roofs, the final roof slope shall be ¼” per lineal foot minimum unless unfeasible to accomplish, but no lower than 1/8” per foot, and valleys in tapered insulation should be 1/8” (recommended), but no lower than 1/16” per foot. **For new construction of “low-sloped” roof systems, the slope should be built into the structure whenever practical.** For “steep” roof systems (shingles, metal, etc.) the final roof slope should be a 4 in 12 pitch minimum, except that metal roofs can go as low as 2 in 12. Also see 12.11 for metal roofs slope.
- 12.6 Roof Deck.** When a metal deck is specified, it should be a minimum of 24 gauge thickness. Minimum deck sheeting thickness should be ½” and supported at 16” on center. If supports are greater than 16”, then “H” clips are required. When re-roofing over an existing concrete deck, fasteners are not recommended, but rather foam adhesive or asphalt applied in warm weather (50 degrees or higher) and in sufficient quantity to achieve proper adhesion (40 pounds minimum per 100 square feet). When the existing deck is either structural or cellular lightweight concrete, there should not be a warranty issue adhering to it with mechanical attachment (assumes no hollow-core or plank), foam adhesive, or asphalt. However, if it is non-cellular lightweight concrete (vermiculite, perlite, etc.), this material tends to hold moisture, and pull-out tests must be accomplished in order to achieve the desired warranty (12.14), or the material must be removed. See also 12.19 for roof testing/test cuts.
- 12.7 Roof Drainage.** On low-sloped roofs, drains should be cast iron with flange, deck clamp, bottom outlet, removable galvanized dome strainer, and flashing ring integral with gravel stop. Roofs drains should be set with the flashing ring 1” above the deck. It is recommended that for general cases, maximum roof area drained by each 4” leader should be no more than 3,500 square feet. Although installation of secondary/overflow drains may not necessarily be code required on re-roofs, every attempt should be made to install them on re-roof projects where practical and feasible. The point where water enters Secondary/Overflow drains should be placed 2” in elevation above the perimeter of the tapered insulation sump around the primary drain(s), but no more than 4” higher than the primary, and they should not drain into the primary leader. On new construction, through-wall scuppers should be avoided for either primary or secondary drainage. Sumps of at least 24” square (36” square preferred) should be incorporated at each drain, with a minimum slope of 1” per foot.

- 12.8 Roof Flashings & Curbs.** Minimum roof flashing heights and curb heights should be no lower than 8" for existing roofs, but for new construction, our recommendation is 24" or no less than 12" where a wall rises from a roof, and there is a window opening in the intersecting wall. The bottom of the window structural opening should be at least 14" above the surface of the roof in order to maintain 12" of flashing height below the window. Any new low-slope roof edge metal or parapet flashings should comply with the most current edition of ANSI/SPRI ES-1 for edge securement of low-slope membrane roof systems.
- 12.9 Roof Overhangs.** The Task Force recommends a minimum of 12" overhang on all shingled or "steep" sloped roofs, to avoid premature deterioration of walls. When re-roofing a building with no existing overhangs is requested, the request should include adding an overhang of at least 12".
- 12.10 Treated Wood.** Currently, the use of treated wood known as "CCA" has been banned from use. It has been replaced with "ACQ" treated wood. However, ACQ is causing corrosion problems with nails, fasteners, and metal that comes into contact with it. Because of this problem, the Task Force is recommending that roofing specifications include stainless-steel or hot dipped galvanized fasteners complying with ASTM-A153. An alternate option is to use untreated wood in areas covered with two layers of membrane flashing material.
- 12.11 Metal Roofs.** For metal roofs, the minimum slope is as per paragraph 12.5 (4 in 12 slope recommended; 2 in 12 slope minimum, although 1 in 12 can be used on existing structures). Standing seams should be a minimum of 2" and there should be no exposed fasteners – hidden cleats should be used that allow for expansion. Single panels should be used from eave to ridge with NO roof panel end laps. 24 gauge metal panels should be installed.
- 12.12 Asphalt Shingles.** For exposed high-wind areas, a 110 mph rated shingle should be used. Otherwise, 90 mph rated shingles are acceptable. A six-nail pattern should be used in all cases. For heated buildings with asphalt shingles, ice & water shield must be installed from the eave a minimum of 24" measured horizontally from the interior face of the exterior wall, and in all valleys.
- 12.13 Roof Insulation "R" Value & Layers Offset.** Roof insulation, whether in new construction or a re-roof project, should have an average "R" value according to the applicable energy code for the project. However, because of diminishing returns of excessive insulation, and the difficulties in attaching many layers of insulation on a roof structure, the Task Force will likely not allow or pay for roof insulation excessively over the amounts required by code. Multiple layers of insulation should be installed with a minimum 6" offset in both directions.
- 12.14 Roof Warranties.** For "low-sloped" roofing systems, the specified warranty should be a minimum of twenty (20) year NDL (No Dollar Limit) warranty against leaks from the manufacturer of the membrane. For metal roofing systems and for asphalt shingles, the recommended warranty for material and labor from the contractor or installer should be ten (10) years, but no less than five (5) years. In addition, a manufacturer's standard material warranty of twenty (20) years should be available on metal roofs, and thirty (30) years on asphalt shingles. It is the goal of the Task Force to design for and obtain a 90 mph rated wind warranty on low-sloped roofs, but we will accept a 72 mph wind warranty when the deck is non-cellular lightweight concrete. Copies of roof warranties on 309 Task Force projects must be submitted to the Task Force office upon completion of the project. This practice is not required on non-309 capital projects, but is recommended.
- 12.15 Roof Access.** All roofing projects, whether they are a 309 Task Force project, or a new roof in a capital project, should include proper and safe access to the roof for maintenance purposes. Roof hatches, permanently installed ladders, and other safe, acceptable means of roof access, should be designed for every roof. Roof access requests of 309 Task Force funds are acceptable and usually considered a high priority.
- 12.16 Built-In Gutters.** Built-in gutters are not recommended in new construction. Existing built-in gutters often require to be covered over. However, in some cases a liner may be installed by the Task Force if the existing built-in gutter is located beyond the face of the exterior wall and performing well.
- 12.17 Masonry Waterproofing Sealers.** The 309 Task Force does not allow the use of waterproofing sealers on brick walls because past experience shows that they can trap water inside the wall and cause deterioration. Possible exceptions are products that are successful in allowing water to

permeate out of the wall. However, the Task Force must approve each proposed case/application.

12.18 Skylights, Exterior Brick Walls, EIFS, and Built-In Gutters. The Task Force does NOT recommend the use of skylights (see 3.9 for alternatives), freestanding exterior brick walls & planters, Exterior Insulation Finish Systems (EIFS – see 3.17 for alternatives), and built-in gutters for new state construction or renovation projects. **If any of these are designed and specified for construction, the Task Force will NOT pay for the repair or replacement of the item, including peripheral or consequential damage caused by the items. This is the case whether or not the Task Force reviewed plans for the project.**

12.19 Roof Test Cuts. The Task Force encourages roof test cuts to be performed either prior to, or in conjunction with, the design of the re-roof project. Such test cuts should be of sufficient size (24” square recommended) and of sufficient quantity to identify the various layers of the existing roof system and the deck condition. The Task Force can pay for test cuts whether or not an allocation has been made. However, the Task Force requires that draft roof test cut contracts be reviewed and approved prior to the work.

SECTION 13: MECHANICAL/HVAC DESIGN GUIDELINES

13.1 General Statement. The following 309 Task Force “design guidelines” are not comprehensive and do not constitute specifications; they are simply a listing of recommended aspects of design that contribute to successful projects and help reduce future maintenance requirements. Agencies and commissions, and their consultants and in-house project managers, are encouraged to incorporate these design guidelines where applicable and appropriate. However, all must understand that utilization of any of these guidelines does not transfer design responsibility or liability from the consultant or agency to the Task Force. It should also be noted that implementation of these design guidelines may not necessarily be practical or feasible in every case.

13.2 Model Energy Codes. HVAC upgrade projects comprising 50% of the value of the building should be designed per the applicable model energy code and that code should be clearly stated in the plans and specifications. This applies to new (non-309) construction, as well.

13.3 ASHRAE for HVAC Design. Design of HVAC systems and equipment, whether in new (non-309) construction or upgrades to existing facilities, should be designed according to the applicable and current ASHRAE standards.

13.4 Controls Wiring Conduit. All mechanical systems/HVAC controls wiring located in mechanical rooms should be installed in conduit. This applies to both new construction and upgrades to existing facilities.

13.5 Flexible Ductwork. Flexible ductwork should be avoided in HVAC upgrade projects and in new construction. However, it may be acceptable in the last several feet of duct run connecting to a room diffuser.

13.6 Ceiling Space as Return Air Plenums. In new construction the design of mechanical systems should NOT include any negatively pressurized return air plenums in ceiling spaces at zones along the exterior of the building. In the case of HVAC upgrade projects in existing buildings, correction of this condition should be a priority of the project if feasible.

13.7 Utilities Metering. Individual building and campus utilities metering is encouraged. It is the current policy of the Task Force to install individual building utilities metering whenever a significant HVAC project is undertaken with Task Force funds, and to install campus metering (reporting to a central station) when it becomes a high priority of the Task Force.

SECTION 14: ELECTRICAL DESIGN GUIDELINES

14.1 General Statement. The following 309 Task Force “design guidelines” are not comprehensive and do not constitute specifications; they are simply a listing of recommended aspects of design that contribute to successful projects and help reduce future maintenance requirements. Agencies and commissions, and their consultants and in-house project managers, are encouraged to incorporate these design guidelines where applicable and appropriate. However, all must understand that utilization of any of these guidelines does not transfer design responsibility or liability from the consultant or agency to the Task Force. It should also be noted that implementation of these design guidelines may not necessarily be practical or feasible in every case.

14.2 State Electric Code/National Electric Code (NEC).

Electrical upgrades in existing facilities, as well as new electrical systems in new construction, should, at a minimum, be designed per the State Electric Code, which is the National Electric Code (NEC).

14.3 Non-Metallic Conduit. Although the NEC allows non-metallic conduit for electrical installations, the 309 Task Force recommends using only metallic conduit for building interior wiring systems. If non-metallic conduit is planned for an electrical upgrade project funded with 309 funds, the Task Force should approve of the installation plan or design.

14.4 Aluminum Wire. Only COPPER wire should be used in electrical systems installed within facilities. There may be some rare applications where aluminum wire can be used without concern in underground situations, or outside of a building, but it should not be used within a facility. This applies to both 309 projects and new construction.

14.5 Grade of Electrical Devices/Light Fixtures. All electrical devices and light fixtures in 309 projects and non-309 projects should be designed and installed as "specification" grade in lieu of residential grade.

14.6 Lighting Levels. All lighting levels for 309 and non-309 projects should be designed to the recommendations of the Illuminating Engineering Society (IES).

14.7 Low Mercury Content. All fluorescent lamps designed for 309 and non-309 projects should be specified as "low mercury content."

14.8 Electronic Ballasts. Fluorescent and HID fixtures in 309 and non-309 construction should only utilize electronic

ballasts. Non-electronic ballasts will be replaced as part of any 309 Task Force lighting project.

14.9 Power Budgets/Incandescent Lamps. Power budgets for projects (whether 309 or non-309) should meet energy conservation code requirements. These requirements have the effect of ruling out the use of incandescent lamps, which should be removed and replaced with energy efficient fluorescent, HID or LED lamps in state facilities.

14.10 Lighting Panels. Lighting panels in 309 and non-309 construction should be designed for bolt-on (commercial grade) circuit breakers as opposed to plug-on circuit breakers.

14.11 Ground Wire. All circuit conduits should include a separate, green-jacketed ground wire.

14.12 Power Factor Correction. Large electrical projects, and projects where the power company supplying electricity charges a penalty for low power factor, should include power factor correction equipment as part of the project.

14.13 Exterior Lights. Lights designed for use external to a facility should be designed with cut-off type fixtures that do not allow light to emit above the horizontal.

14.14 Electrical Metering. Individual building and campus electric use metering is encouraged. It is the current policy of the Task Force to install individual building electric use metering whenever a significant electrical upgrade project is undertaken with Task Force funds, and to install campus electrical metering (reporting to a central station) when it becomes a high priority of the Task Force.

APPENDIX: 309 TASK FORCE FORMS AND DOCUMENTS

The following pages include copies of the current forms and documents of the 309 Task Force for Building Renewal. These can also be found at www.das.state.ne.us/309/project.html.

- 1 Request for Allocation Form**
- 2 Project Status Checklist**
- 3 Materials Only Requisition Form**
- 4 Payment Recommendation Form**
- 5 Allocation Increase Request Form**
- 6 Final Report Form**

TASK FORCE FOR BUILDING RENEWAL
REQUEST FOR ALLOCATION



Date:			
Agency:			
Location/Site:			
Building:		Building Number (DAS Assigned)	
Is This An Emergency Request?	Yes _____	No _____	
Is This A Materials Only Request?	Yes _____	No _____	
Design: Consultant, In-House or Not Required			
Project Name:			
Justification AND Scope (Explain Problem and Solution):			
Detailed Estimated Total Project Cost:			

 Name of Requestor

**TASK FORCE FOR BUILDING RENEWAL
PROJECT STATUS CHECKLIST**



Agency		Project / BU#:
Location/Site:		Allocation Date:
Building:		Allocation Amount:

Project Name:

The narrative on the allocation explaining the scope of the project should be read carefully. DO NOT ASSUME that any proposals, requisitions, or contracts submitted with your request for this project is also approved. A separate review notice is sent for each. There is no need to resubmit any of these documents IF there have been no changes. However, DO NOT sign the documents, acquire materials, or execute the work UNTIL you receive the separate, appropriate review notices. If you have any doubts or questions, please call the Task Force office.

SUBMISSIONS:	Date Submitted:	Date 309 Approved	Signed Copy Submitted
Design: Consultant Contract			
Consultant Addend #			
Bidding: Plans/Specifications (95%)			N/A
Addendum #1			
Addendum #2			
Addendum #3			
Construction: Requisition / P.O. #			
Requisition / P.O. #			
Requisition / P.O. #			
Requisition / P.O. #			
Requisition / P.O. #			
Proposal:			
Proposal:			
Asbestos/Haz-Mat:			
Construction Contract:			
C.O. #1			
C.O. #2			
C.O. #3			
C.O. #4			
C.O. #5			
Other Construction Contract:			
ITEMS FOR SUBMITTAL (APPROVAL NOT REQUIRED):			
Preliminary Plans Copy		N/A	N/A
Bid Tabulations Copy		N/A	N/A
Roof Warrant Copy		N/A	N/A
Final Report (Required to Close Allocation)		N/A	N/A

TASK FORCE FOR BUILDING RENEWAL
MATERIALS ONLY REQUISITION



Reference No: 309-_____
(To be assigned by Agency & included on all billings)

Date:

Agency:

Location/Site:

Building:

Project Name:

Project / BU#:

Vendor:

Vendor Cost: \$

(Attach vendor proposal)

Will there be an additional charge for freight ? YES___ NO___

Is vendor quote an exchange price ? YES___ NO___

Is this an amendment to the original requisition ? YES___ NO___

Additional Comments:

Submitted for approval by:_____

**TASK FORCE FOR BUILDING RENEWAL
PAYMENT RECOMMENDATION FORM**

This Area for Task Force Use

DOCUMENT # / PAYMENT # / PAYMENT DATE:

PAYEE NAME:		PAYEE FTIN:	
PAYEE ADDRESS:			
CITY:		STATE:	ZIP CODE:
AGENCY:		LOCATION/SITE:	
BUILDING NAME:			
PROJECT DESCRIPTION:			
INVOICE #		INVOICE TOTAL:	
INVOICE DATE:			
AGENCY PROJECT NUMBER		% COOP FUNDING SPLIT	
ADDRESS BOOK NUMBER		X-3 P.O. NUMBER	
PROVIDE PROJECT CODING ASSIGNED BY TASK FORCE: Partial Payment <input type="checkbox"/> Final <input type="checkbox"/>			
PROJECT / BU # (2)	OBJECT CODE NUMBER (1)	DEBIT	CREDIT

(1) Object Codes Architects/Engineer – 542500 Deferred Repair – 526101 Fire/Life-Safety – 526103 ADA – 526102

INVOICE COMMENTS:

PROJECT MANAGER SIGNATURE: _____ **DATE:** _____

REVIEWERS SIGNATURE: _____ **DATE:** _____

APPROVAL SIGNATURE: _____ **DATE:** _____

(2) When all financial obligations have been paid on this allocation, please submit a Final Report.

ALLOCATION INCREASE REQUEST



Date:			
Agency:			
Location/Site:			
Project Name:			
Project / BU#:			
Building:		Building Number: (DAS Assigned)	

Justification for Requested Increase (Explain Changes from the Original Estimate/Allocation):

Amount Requested: \$

Requestor

Project Name: _____ Page #: ____ of ____

Project Manager Name: _____ Date: _____

Substantial Completion Date: _____



FINAL REPORT (TO CLOSE ALLOCATION)

ONE FINAL REPORT FOR EACH ALLOCATION; ALL CONTRACTS MUST BE COMPLETE FOR EACH.

AGENCY:	LOCATION/SITE:
BUILDING:	BUILDING NUMBER:
ALLOCATION Name:	ALLOCATION DATE:
PROJECT / BU#:	TOTAL 309 ALLOCATION EXPENDITURES: \$
<p>#__) CONSULTANT/CONTRACTOR/VENDOR Name: CONTRACT COMPLETE & FINAL PAYMENT MADE? Yes No Evaluation Comments/Satisfaction:</p>	
<p>#__) CONSULTANT/CONTRACTOR/VENDOR Name: CONTRACT COMPLETE & FINAL PAYMENT MADE? Yes No Evaluation Comments/Satisfaction:</p>	
<p>#__) CONSULTANT/CONTRACTOR/VENDOR Name: CONTRACT COMPLETE & FINAL PAYMENT MADE? Yes No Evaluation Comments/Satisfaction:</p>	

If additional space is required, use more than one *Final Report* form.