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**Project Manual**  
**Alabama A&M University**  
**Council Training Center**  
**Asbestos Abatement**



Alabama DCM Number Unassigned

May 31, 2023

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**SECTION 00 01 01**

**TITLE PAGE**

**PROJECT MANUAL FOR**

**PROJECT**

Asbestos Abatement of Council Training Center

**RELEASE DATE**

May 31, 2023

**ALABAMA DCM NUMBER**

Unassigned

**OWNER**

Alabama A&M University  
Normal, Alabama

**END OF SECTION**

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## **SECTION 00 10 00**

### **BID DOCUMENTS AND FORMS**

#### **PART 1 GENERAL**

##### **1.01 DOCUMENTS**

- A. Advertisement for Bids - DCM Form C-1.
- B. Instructions to Bidders - DCM Form C-2.
- C. Supplement A Instructions to Bidders.
- D. Proposal Form - DCM Form C-3.
- E. Accounting of Sales Tax - DCM Form C-3A-Sales Tax.
- F. Bid Bond - DCM Form C-4.

##### **1.02 DOCUMENT AVAILABILITY**

- A. A copy of the documents and forms noted above is attached hereto, as provided by the Alabama Department of Finance, Real Property Management. For the updated revision of each form go to <https://dcm.alabama.gov/forms.aspx>
- B. Additional copies may be obtained from the office of the Alabama Department of Finance, Real Property Management, 770 Washington Avenue, Suite 470, Montgomery, Alabama 36104, phone (334) 242-4082 or [www.realproperty.alabama.gov](http://www.realproperty.alabama.gov)

#### **PART 2 PRODUCTS - NOT USED**

#### **PART 3 EXECUTION - NOT USED**

### **END OF SECTION**



## ADVERTISEMENT FOR BIDS

Sealed proposals will be received by Alabama A&M University in Normal, AL at Alabama A&M University, Department of Purchasing - Room 305 Patton Hall, 4900 Meridian Street, Normal, Alabama 35762, until 2:00 p.m. CDT August 9th, 2023 for

### Council Training Center Asbestos Abatement

at which time and place they will be publicly opened and read.

A cashier's check or bid bond payable to Alabama A&M University

in an amount not less than five (5) percent of the amount of the bid, but in no event more than \$10,000, must accompany the bidder's proposal. Performance and Payment Bonds and evidence of insurance required in the bid documents will be required at the signing of the Contract.

Drawings and specifications may be examined at the office of Facilities at Alabama A&M University, 453 Buchanan Way, Normal, AL 35762, 256-372-4090, Attn: Gregory Bryant

and <https://www.aamu.edu/about/administrative-offices/facilities/projects.html>

Bid Documents may be obtained from the Owner at no charge.

**A Mandatory Pre-Bid Meeting and Walkthrough will be on July 26th, 2023 at 10:00 AM CST at the Office of Facilities at Alabama A&M University in the University Services Building, 453 Buchanan Way, Normal AL 35762**

Bids must be submitted on proposal forms furnished by the Architect (Engineer) or copies thereof. All bidders bidding in amounts exceeding that established by the State Licensing Board for General Contractors must be licensed under the provisions of Title 34, Chapter 8, Code of Alabama, 1975, and must show evidence of license before bidding or bid will not be received or considered by the Architect (Engineer); the bidder shall show such evidence by clearly displaying his or her current license number on the outside of the sealed envelope in which the proposal is delivered. The Owner reserves the right to reject any or all proposals and to waive technical errors if, in the Owner's judgement, the best interests of the Owner will thereby be promoted.

Nonresident bidders must accompany any written bid documents with a written opinion of an attorney at law licensed to practice law in such nonresident bidder's state of domicile, as to the preferences, if any or none, granted by the law of that state to its own business entities whose principal places of business are in that state in the letting of any or all public contracts.

Alabama A&M University

(Awarding Authority/Owner)

NOTE: For projects exceeding \$50,000, this notice must be run once a week for three successive weeks in a newspaper of general circulation in the county or counties in which the project, or any part of the project, is to be performed. If the project involves an estimated amount exceeding \$500,000, this notice must also run at least once in three newspapers of general circulation throughout the state. Proof of publication is required.

# INSTRUCTIONS TO BIDDERS

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### 1. BID DOCUMENTS:

The Bid Documents consist of the Advertisement for Bids, these Instructions to Bidders, any supplements to these Instructions to Bidders, the Proposal Form and the Accounting of Sales Tax, and the proposed Contract Documents. The proposed Contract Documents consist of the Construction Contract, the Performance Bond and Payment Bond, the Conditions of the Contract (General, Supplemental, and other Conditions), Drawings, Specifications and all addenda issued prior to execution of the Construction Contract. Bid Documents may be obtained or examined as set forth in the Advertisement for Bids.

### 2. GENERAL CONTRACTOR'S STATE LICENSING REQUIREMENTS:

When the amount bid for a contract exceeds \$50,000, the bidder must be licensed by the State Licensing Board for General Contractors and must show the Architect evidence of license before bidding or the bid will not be received by the Architect or considered by the Awarding Authority. A bid exceeding the bid limit stipulated in the bidder's license, or which is for work outside of the type or types of work stipulated in the bidder's license, will not be considered. In case of a joint venture of two or more contractors, the amount of the bid shall be within the maximum bid limitation as set by the State Licensing Board for General Contractors of the combined limitations of the partners to the joint venture.

### 3. QUALIFICATIONS of BIDDERS and PREQUALIFICATION PROCEDURES:

a. Any special qualifications required of general contractors, subcontractors, material suppliers, or fabricators are set forth in the Bid Documents.

b. The Awarding Authority may have elected to prequalify bidders. Parties interested in bidding for this contract are directed to the Advertisement for Bids and Supplemental Instructions to Bidders to determine whether bidders must be prequalified and how they may obtain copies of the Awarding Authority's published prequalification procedures and criteria.

c. Release of Bid Documents by the Architect to a prospective bidder will not constitute any determination by the Awarding Authority or Architect that the bidder has been found to be qualified, prequalified, or responsible.

**4. PREFERENCE to RESIDENT CONTRACTORS:**

(If this project is federally funded in whole or in part, this Article shall not apply.)

a. In awarding the Contract, preference will be given to Alabama resident contractors and a nonresident bidder domiciled in a state having laws granting preference to local contractors shall be awarded the Contract only on the same basis as the nonresident bidder's state awards contracts to Alabama contractors bidding under similar circumstances.

b. A nonresident bidder is a contractor which is neither organized and existing under the laws of the State of Alabama, nor maintains its principal place of business in the State of Alabama. A nonresident contractor which has maintained a permanent office within the State of Alabama for at least five continuous years shall not thereafter be deemed to be a non-resident contractor so long as the contractor continues to maintain a branch office within Alabama.

**5. EXAMINATION of BID DOCUMENTS and the SITE of the WORK:**

Before submitting a bid for the Work, the bidders shall carefully examine the Bid Documents, visit the site, and satisfy themselves as to the nature and location of the Work, and the general and local conditions, including weather, the general character of the site or building, the character and extent of existing work within or adjacent to the site and any other work being performed thereon at the time of submission of their bids. They shall obtain full knowledge as to transportation, disposal, handling, and storage of materials, availability of water, electric power, and all other facilities in the area which will have a bearing on the performance of the Work for which they submit their bids. The submission of a bid shall constitute a representation by the bidder that the bidder has made such examination and visit and has judged for and satisfied himself or herself as to conditions to be encountered regarding the character, difficulties, quality, and quantities of work to be performed and the material and equipment to be furnished, and as to the contract requirements involved.

**6. EXPLANATIONS and INTERPRETATIONS:**

a. Should any bidder observe any ambiguity, discrepancy, omission, or error in the drawings and specifications, or in any other bid document, or be in doubt as to the intention and meaning of these documents, the bidder should immediately report such to the Architect and request clarification.

b. Clarification will be made only by written Addenda sent to all prospective bidders. Neither the Architect nor the Awarding Authority will be responsible in any manner for verbal answers or instructions regarding intent or meaning of the Bid Documents.

c. In the case of inconsistency between drawings and specifications or within either document, a bidder will be deemed to have included in its bid the better quality or greater quantity of the work involved unless the bidder asked for and obtained the Architect's written clarification of the requirements before submission of a bid.

## 7. SUBSTITUTIONS:

- a.** The identification of any product, material, system, item of equipment, or service in the Bid Documents by reference to a trade name, manufacturer's name, model number, etc. (hereinafter referred to as "source"), is intended to establish a required standard of performance, design, and quality and is not intended to limit competition unless the provisions of paragraph "d" below apply.
- b.** When the Bid Documents identify only one or two sources, or three or more sources followed by "or approved equal" or similar wording, the bidder's proposal may be based on a source not identified but considered by the bidder to be equal to the standard of performance, design and quality as specified; however, such substitutions must ultimately be approved by the Architect. If the bidder elects to bid on a substitution without "Pre-bid Approval" as described below, then it will be understood that proof of compliance with specified requirements is the exclusive responsibility of the bidder.
- c.** When the Bid Documents identify three or more sources and the list of sources is not followed by "or approved equal" or similar wording, the bidder's proposal shall be based upon one of the identified sources, unless the bidder obtains "Pre-bid Approval" of another source as described below. Under these conditions it will be expressly understood that no product, material, system, item of equipment, or service that is not identified in the Bid Documents or granted "Pre-Bid Approval" will be incorporated into the Work unless such substitution is authorized and agreed upon through a Contract Change Order.
- d.** If the Bid Documents identify only one source and expressly provide that it is an approved sole source for the product, material, system, item of equipment, or service, the bidder's proposal must be based upon the identified sole source.
- e. Procedures for "Pre-bid Approval".** If it is desired that a product, material, system, piece of equipment, or service from a source different from those sources identified in the Bid Documents be approved as an acceptable source, application for the approval of such source must reach the hands of the Architect at least ten days prior to the date set for the opening of bids. At the Architect's discretion, this ten day provision may be waived. The application for approval of a proposed source must be accompanied by technical data which the applicant desires to submit in support of the application. The Architect will give consideration to reports from reputable independent testing laboratories, verified experience records showing the reputation of the proposed source with previous users, evidence of reputation of the source for prompt delivery, evidence of reputation of the source for efficiency in servicing its products, or any other pertinent written information. The application to the Architect for approval of a proposed source must be accompanied by a schedule setting forth in which respects the materials or equipment submitted for consideration differ from the materials or equipment designated in the Bid Documents. The burden of proof of the merit of the proposed substitution is upon the proposer. To be approved, a proposed source must also meet or exceed all express requirements of the Bid Documents. Approval, if granted, shall not be effective until published by the Architect in an addendum to the Bid Documents.

## 8. PREPARATION and DELIVERY of BIDS:

### a. DCM Form C-3: Proposal Form:

- (1) Bids must be submitted on the Proposal Form as contained in the Bid Documents; only one copy is required to be submitted. A completed DCM Form C-3A: Accounting of Sales Tax must be submitted with the Proposal Form.
- (2) All information requested of the bidder on the Proposal Form must be filled in. The form must be completed by typewriter or hand-printed in ink.
- (3) Identification of Bidder: On the first page of the Proposal Form the bidder must be fully identified by completing the spaces provided for:
  - (a) the legal name of the bidder,
  - (b) the state under which laws the bidder's business is organized and existing,
  - (c) the city (and state) in which the bidder has its principal offices,
  - (d) the bidder's business organization, i.e., corporation, partnership, or individual (to be indicated by marking the applicable box and writing in the type of organization if it is not one of those listed), and
  - (e) the partners or officers of the bidder's organization, if the bidder is other than an individual. If the space provided on the Proposal Form is not adequate for this listing, the bidder may insert "See Attachment" in this space and provide the listing on an attachment to the Proposal Form.
- (4) Where indicated by the format of the Proposal Form, the bidder must specify lump sum prices in both words and figures. In case of discrepancy between the prices shown in words and in figures, the words will govern.
- (5) All bid items requested in the Proposal Form, including alternate bid prices and unit prices for separate items of the Work, must be bid. If a gross sum of bid items is requested in the Proposal Form, the gross sum shall be provided by the bidder.
- (6) In the space provided in the Proposal Form under "Bidder's Alabama License", the bidder must insert his or her current general contractor's state license number, current bid limit, and type(s) of work for which bidder is licensed.
- (7) The Proposal Form shall be properly signed by the bidder. If the bidder is:
  - (a) **an individual**, that individual or his or her "authorized representative" must sign the Proposal Form;
  - (b) **a partnership**, the Proposal Form must be signed by one of the partners or an "authorized representative" of the Partnership;
  - (c) **a corporation**, the president, vice-president, secretary, or "authorized representative" of the corporation shall sign and affix the corporate seal to the Proposal Form.

As used in these Instructions to Bidders, "authorized representative" is defined as a person to whom the bidder has granted written authority to conduct business in the bidder's behalf by signing and/or modifying the bid. Such written authority shall be signed by the bidder (the individual proprietor, or a member of the Partnership, or an officer of the Corporation) and shall be attached to the Proposal Form.

(8) Interlineation, alterations or erasures on the Proposal Form must be initialed by the bidder or its “authorized representative”.

**b. DCM Form C-3A: Accounting of Sales Tax**

A completed DCM Form C-3A: Accounting of Sales Tax must be submitted with DCM Form C-3: Proposal Form. Submission of DCM Form C-3A is required, it is not optional. A proposal shall be rendered non-responsive if an Accounting of Sales Tax is not provided.

**c. Bid Guaranty**

(1) The Proposal Form must be accompanied by a cashier’s check, drawn on an Alabama bank, or a Bid Bond, executed by a surety company duly authorized and qualified to make such bonds in the State of Alabama, payable to the Awarding Authority.

(2) If a Bid Bond is provided in lieu of a cashier’s check, the bond shall be on the Bid Bond form as stipulated in the Bid Documents.

(3) The amount of the cashier’s check or Bid Bond shall not be less than five percent of the contractor’s bid, but is not required to be in an amount more than ten thousand dollars.

**d. Delivery of Bids:**

(1) Bids will be received until the time set, and at the location designated, in the Advertisement for Bids unless notice is given of postponement. Any bid not received prior to the time set for opening bids will be rejected absent extenuating circumstances and such bids shall be rejected in all cases where received after other bids are opened.

(2) Each bid shall be placed, together with the bid guaranty, in a sealed envelope. On the outside of the envelope the bidder shall write in large letters “Proposal”, below which the bidder shall identify the Project and the Work bid on, the name of the bidder, and the bidder’s current general contractor’s state license number.

(3) Bids may be delivered in person, or by mail if ample time is allowed for delivery. When sent by mail, the sealed envelope containing the bid, marked as indicated above, shall be enclosed in another envelope for mailing.

**9. WITHDRAWAL or REVISION of BIDS:**

**a.** A bid may be withdrawn prior to the time set for opening of bids, provided a written request, executed by the bidder or the bidder’s “authorized representative”, is filed with the Architect prior to that time. The bid will then be returned to the bidder unopened.

**b.** A bid which has been sealed in its delivery envelope may be revised by writing the change in price on the outside of the delivery envelope over the signature of the bidder or the bidder’s “authorized representative”. In revising the bid in this manner, the bidder must only write the amount of the change in price on the envelope **and must not reveal the bid price.**

c. Written communications, signed by the bidder or its “authorized representative”, to revise bids will be accepted if received by the Architect prior to the time set for opening bids. The Architect will record the instructed revision upon opening the bid. Such written communication may be by facsimile if so stipulated in Supplemental Instructions to Bidders. In revising the bid in this manner, the bidder must only write the amount of the change in price **and must not reveal the bid price.**

d. Except as provided in Article 12 of these Instructions to Bidders, no bid shall be withdrawn, modified, or corrected after the time set for opening bids.

## **10. OPENING of BIDS:**

a. Bids will be opened and read publicly at the time and place indicated in the Advertisement for Bids. Bidders or their authorized representatives are invited to be present.

b. A list of all proposed major subcontractors and suppliers will be submitted by Bidders to the Architect at a time subsequent to the receipt of bids as established by the Architect in the Bid Documents but in no event shall this time exceed twenty-four (24) hours after receipt of bids. If the list includes a fire alarm contractor and/or fire sprinkler contractor, Bidders will also submit a copy of the fire alarm contractor’s and/or fire sprinkler contractor’s permits from the State of Alabama Fire Marshal’s Office.

## **11. INCOMPLETE and IRREGULAR BIDS:**

A bid that is not accompanied by data required by the Bid Documents, or a bid which is in any way incomplete, may be rejected. Any bid which contains any uninitialed alterations or erasures, or any bid which contains any additions, alternate bids, or conditions not called for, or any other irregularities of any kind, will be subject to rejection.

## **12. BID ERRORS:**

a. **Errors and Discrepancies in the Proposal Form.** In case of error in the extension of prices in bids, the unit price will govern. In case of discrepancy between the prices shown in the figures and in words, the words will govern.

b. **Mistakes within the Bid.** If the low bidder discovers a mistake in its bid, the low bidder may seek withdrawal of its bid without forfeiture of its bid guaranty under the following conditions:

(1) **Timely Notice:** The low bidder must notify the Awarding Authority and Architect in writing, within three working days after the opening of bids, that a mistake was made. This notice must be given within this time frame whether or not award has been made.

(2) **Substantial Mistake:** The mistake must be of such significance as to render the bid price substantially out of proportion to the other bid prices.

(3) **Type of Mistake:** The mistake must be due to calculation or clerical error, an inadvertent omission, or a typographical error which results in an erroneous sum. A mistake of law, judgment, or opinion shall not constitute a valid ground for withdrawal without forfeiture.

**(4) Documentary Evidence:** Clear and convincing documentary evidence of the mistake must be presented to the Awarding Authority and the Architect as soon as possible, but no later than three working days after the opening of bids.

The Awarding Authority's decision regarding a low bidder's request to withdraw its bid without penalty shall be made within 10 days after receipt of the bidder's evidence or by the next regular meeting of the Awarding Authority. Upon withdrawal of bid without penalty, the low bidder shall be prohibited from (1) doing work on the project as a subcontractor or in any other capacity and (2) bidding on the same project if it is re-bid.

### **13. DISQUALIFICATION of BIDDERS:**

Any bidder(s) may be disqualified from consideration for contract award for the following reasons:

**a. Collusion.** Any agreement or collusion among bidders or prospective bidders in restraint of freedom of competition to bid at a fixed price or to refrain from bidding or otherwise shall render the bids void and shall cause the bidders or prospective bidders participating in such agreement or collusion to be disqualified from submitting further bids to the Awarding Authority on future lettings. (See § 39-2-6, Code of Alabama 1975, for possible criminal sanctions.)

**b. Advance Disclosure.** Any disclosure in advance of the terms of a bid submitted in response to an Advertisement for Bids shall render the proceedings void and require re-advertisement and rebid.

**c. Failure to Settle Other Contracts.** The Awarding Authority may reject a bid from a bidder who has not paid, or satisfactorily settled, all bills due for labor and material on other contracts in force at the time of letting.

### **14. CONSIDERATION of BIDS:**

**a.** After the bids are opened and read publicly, the bid prices will be compared and the results of this comparison will be available to the public. Until the final award of the contract, however, the Awarding Authority shall have the right to reject any or all bids, and it shall have the right to waive technical errors and irregularities if, in its judgment, the bidder will not have obtained a competitive advantage and the best interests of the Awarding Authority will be promoted.

**b.** If the Bid Documents request bids for projects or parts of projects in combination or separately, the Bid Documents must include supplements to, these Instructions to Bidders setting forth applicable bid procedures. Award or awards will be made to the lowest responsible and responsive bidder or bidders in accordance with such bid procedures.

### **15. DETERMINATION of LOW BIDDER by USE of ALTERNATES:**

**a.** The Awarding Authority may request alternate bid prices (alternates) to facilitate either reducing the base bid to an amount within the funds available for the project or adding items to the base bid within the funds available for the project. Alternates, if any, are listed in the



Proposal Form in the order in which they shall cumulatively deduct from or add to the base bid for determining the lowest bidder.

**b.** If alternates are included in the Proposal Form, the Awarding Authority shall determine the dollar amount of funds available and immediately prior to the opening of bids shall announce publicly the funds available for the project. The dollar amount of such funds shall be used to determine the lowest bidder as provided herein below, notwithstanding that the actual funds available for the project may subsequently be determined to be more or less than the expected funds available as determined immediately prior to the time of the opening of bids.

**c.** If the base bid of the lowest bidder exceeds the funds available and alternate bid prices will reduce the base bids to an amount that is within the funds available, the lowest bidder will be determined by considering, in order, the fewest number of the alternates that produces a price within the funds available. If the base bid of the lowest bidder is within the funds available and alternate bid prices will permit adding items to the base bid, the lowest bidder will be determined by considering, in order, the greatest number of the alternates that produces a price within the funds available.

**d.** After the lowest bidder has been determined as set forth above, the Awarding Authority may award that bidder any combination of alternates, provided said bidder is also the low bidder when only the Base Bid and such combination of alternates are considered.

## **16. UNIT PRICES:**

**a. Work Bid on a Unit Price Basis.** Where all, or part(s), of the planned Work is bid on a unit price basis, both the unit prices and the extensions of the unit prices constitute a basis of determining the lowest responsible and responsive bidder. In cases of error in the extension of prices of bids, the unit price will govern. A bid may be rejected if any of the unit prices are obviously unbalanced or non-competitive.

**b. Unit Prices for Application to Change Orders.** As a means of predetermining unit costs for changes in certain elements of the Work, the Bid Documents may require that the bidders furnish unit prices for those items in the Proposal Form. Unit prices for application to changes in the work are not a basis for determining the lowest bidder. Non-competitive unit prices proposed by the successful bidder may be rejected and competitive prices negotiated by the Awarding Authority prior to contract award. Unit prices for application to changes in the work are not effective unless specifically included and agreed upon in the Construction Contract.

## **17. AWARD of CONTRACT:**

**a.** The contract shall be awarded to the lowest responsible and responsive bidder unless the Awarding Authority finds that all the bids are unreasonable or that it is not in the best interest of the Awarding Authority to accept any of the bids. A responsible bidder is one who, among other qualities determined necessary for performance, is competent, experienced, and financially able to perform the contract. A responsive bidder is one who submits a bid that complies with the terms and conditions of the Advertisement for Bids and the Bid Documents. Minor irregularities in the bid shall not defeat responsiveness.

**b.** A bidder to whom award is made will be notified by telegram, confirmed facsimile, or letter to the address shown on the Proposal Form at the earliest possible date. Unless other

time frames are stipulated in Supplemental Instructions to Bidders, the maximum time frames allowed for each step of the process between the opening of bids and the issuance of an order to proceed with the work shall be as follows:

(1) Award of contract by Awarding Authority	30 calendar days after the opening of bids
(2) Contractor's return of the fully executed contract, with bonds and evidence of insurance, to the Awarding Authority	15 calendar days after the contract has been presented to the contractor for signature (from the Lead Design Professional)
(3) Awarding Authority's approval of the contractor's bonds and evidence of insurance and completion of contract execution	20 calendar days after the contractor presents complete and acceptable documents to the Architect
(4) Notice To Proceed issued to the contractor along with distribution of the fully executed construction contract to all parties.	15 calendar days after final execution of contract by the Awarding Authority, by various State Agencies if required and by the Governor if his or her signature on the contract is required by law

The time frames stated above, or as otherwise specified in the Bid Documents, may be extended by written agreement between the parties. Failure by the Awarding Authority to comply with the time frames stated above or stipulated in Supplemental Instructions to Bidders, or agreed extensions thereof, shall be just cause for the withdrawal of the contractor's bid and contract without forfeiture of bid security.

**c.** Should the successful bidder or bidders to whom the contract is awarded fail to execute the Construction Contract and furnish acceptable Performance and Payment Bonds and satisfactory evidence of insurance within the specified period, the Awarding Authority shall retain from the bid guaranty, if it is a cashier's check, or recover from the principal or the sureties, if the guaranty is a bid bond, the difference between the amount of the contract as awarded and the amount of the bid of the next lowest responsible and responsive bidder, but not more than \$10,000. If no other bids are received, the full amount of the bid guaranty shall be so retained or recovered as liquidated damages for such default. Any sums so retained or recovered shall be the property of the Awarding Authority.

**d.** All bid guaranties, except those of the three lowest bona fide bidders, will be returned immediately after bids have been checked, tabulated, and the relation of the bids established. The bid guaranties of the three lowest bidders will be returned as soon as the contract bonds and the contract of the successful bidder have been properly executed and approved. When the award is deferred for a period of time longer than 15 days after the opening of the bids, all bid guaranties, except those of the potentially successful bidders, shall be returned. If no award is made within the specified period, as it may by agreement be extended, all bids will be rejected, and all guaranties returned. If any potentially successful bidder agrees in writing to a stipulated extension in time for consideration of its bid and its bid was guaranteed with a cashier's check, the Awarding Authority may permit the potentially successful bidder to substitute a satisfactory bid bond for the cashier's check.

## **SUPPLEMENT A TO THE INSTRUCTIONS TO BIDDERS**

### **PART 1 GENERAL**

#### **1.01 PURPOSE**

- A. The changes, deletions and omissions to DCM Form C-2, Instructions to Bidders.
  - 1. AWARD OF CONTRACT (ITEM NO. 17), modify paragraph b., (3):
    - 3. Awarding Authority's approval of the contractor's bonds and evidence of insurance and completion of contract execution – 40 calendar days after the contractor presents complete and acceptable documents to the Architect.

### **PART 2 PRODUCTS - NOT USED**

### **PART 3 EXECUTION - NOT USED**

### **END OF SECTION**

## PROPOSAL FORM

To: \_\_\_\_\_ Date: \_\_\_\_\_  
(Awarding Authority)

In compliance with the Advertisement for Bids and subject to all the conditions thereof, the undersigned

\_\_\_\_\_  
(Legal Name of Bidder)

hereby proposes to furnish all labor and materials and perform all work required for the construction of  
**WORK** \_\_\_\_\_

in accordance with Drawings and Specifications, dated \_\_\_\_\_, prepared by  
\_\_\_\_\_, Architect/Engineer.

The Bidder, which is organized and existing under the laws of the State of \_\_\_\_\_,  
having its principal offices in the City of \_\_\_\_\_,  
is: ☐ a Corporation ☐ a Partnership ☐ an Individual ☐ (other) \_\_\_\_\_.

**LISTING OF PARTNERS OR OFFICERS:** If Bidder is a Partnership, list all partners and their  
addresses; if Bidder is a Corporation, list the names, titles, and business addresses of its officers:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**BIDDER'S REPRESENTATION:** The Bidder declares that it has examined the site of the Work,  
having become fully informed regarding all pertinent conditions, and that it has examined the Drawings  
and Specifications (including all Addenda received) for the Work and the other Bid and Contract  
Documents relative thereto, and that it has satisfied itself relative to the Work to be performed.

**ADDENDA:** The Bidder acknowledges receipt of Addenda Nos. \_\_\_\_\_ through \_\_\_\_\_ inclusively.

**BASE BID:** For construction complete as shown and specified, the sum of \_\_\_\_\_  
\_\_\_\_\_ Dollars (\$ \_\_\_\_\_)

**ALTERNATES:** If alternates as set forth in the Bid Documents are accepted, the following adjustments  
are to be made to the Base Bid:

For Alternate No. 1 ( ..... ) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_  
(Insert key word for Alternate)

For Alternate No. 2 ( ..... ) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

For Alternate No. 3 ( ..... ) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

For Alternate No. 4 ( ..... ) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

For Alternate No. 5 ( ..... ) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

For Alternate No. 6 ( ..... ) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

**UNIT PRICES** - (Attach to this Proposal Form the unit prices, if any, on a separate sheet.)

**BID SECURITY:** The undersigned agrees to enter into a Construction Contract and furnish the prescribed Performance and Payment Bonds and evidence of insurance within fifteen calendar days, or such other period stated in the Bid Documents, after the contract forms have been presented for signature, provided such presentation is made within 30 calendar days after the opening of bids, or such other period stated in the Bid Documents. As security for this condition, the undersigned further agrees that the funds represented by the Bid Bond (or cashier's check) attached hereto may be called and paid into the account of the Awarding Authority as liquidated damages for failure to so comply.

Attached hereto is a: *(Mark the appropriate box and provide the applicable information.)*

- ☐ Bid Bond, executed by \_\_\_\_\_ as Surety,  
☐ a cashier's check on the \_\_\_\_\_ Bank of \_\_\_\_\_,  
for the sum of \_\_\_\_\_  
Dollars (\$ \_\_\_\_\_) made payable to the Awarding Authority.

**BIDDER'S ALABAMA LICENSE:**

State License for General Contracting: \_\_\_\_\_  
License Number Bid Limit Type(s) of Work

**CERTIFICATIONS:** The undersigned certifies that he or she is authorized to execute contracts on behalf of the Bidder as legally named, that this proposal is submitted in good faith without fraud or collusion with any other bidder, that the information indicated in this document is true and complete, and that the bid is made in full accord with State law. Notice of acceptance may be sent to the undersigned at the address set forth below.

The Bidder also declares that a list of all proposed major subcontractors and suppliers will be submitted at a time subsequent to the receipt of bids as established by the Architect in the Bid Documents but in no event shall this time exceed twenty-four (24) hours after receipt of bids.

**Legal Name of Bidder** \_\_\_\_\_

**Mailing Address** \_\_\_\_\_

**\* By (Legal Signature)** \_\_\_\_\_

**\* Name & Title (print)** \_\_\_\_\_ (Seal)

**Telephone Number** \_\_\_\_\_

**Email Address** \_\_\_\_\_

\* If other than the individual proprietor, or an above named member of the Partnership, or the above named president, vice-president, or secretary of the Corporation, attach written authority to bind the Bidder. Any modification to a bid shall be over the initials of the person signing the bid, or of an authorized representative.

Note: A completed DCM Form C-3A: Accounting of Sales Tax must be submitted with DCM Form C-3: Proposal Form. Submission of DCM Form C-3A is required, it is not optional. A proposal shall be rendered non-responsive if an Accounting of Sales Tax is not provided.

## ACCOUNTING OF SALES TAX

### Attachment to DCM Form C-3: Proposal Form

To: \_\_\_\_\_ Date: \_\_\_\_\_  
(Awarding Authority)

NAME OF PROJECT \_\_\_\_\_

#### SALES TAX ACCOUNTING

Pursuant to Act 2013-205, Section 1(g) the Contractor accounts for the sales tax NOT included in the bid proposal form as follows:

#### ESTIMATED SALES TAX AMOUNT

BASE BID: \$ \_\_\_\_\_

Alternate No. 1 (.....) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_  
(Insert key word for Alternate)

Alternate No. 2 (.....) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

Alternate No. 3 (.....) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

Alternate No. 4 (.....) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

Alternate No. 5 (.....) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

Alternate No. 6 (.....) ☐ (add) ☐ (deduct) \$ \_\_\_\_\_

**Failure to provide an accounting of sales tax shall render the bid non-responsive. Other than determining responsiveness, sales tax accounting shall not affect the bid pricing nor be considered in the determination of the lowest responsible and responsive bidder.**

Legal Name of Bidder \_\_\_\_\_

Mailing Address \_\_\_\_\_

\*By (Legal Signature) \_\_\_\_\_

\*Name (type or print) \_\_\_\_\_

(Seal)

\*Title \_\_\_\_\_

Telephone Number \_\_\_\_\_

Email Address \_\_\_\_\_

Note: A completed DCM Form C-3A: Accounting of Sales Tax must be submitted with DCM Form C-3: Proposal Form. Submission of DCM Form C-3A with DCM Form C-3 is required, it is not optional. A proposal shall be rendered non-responsive if an Accounting of Sales Tax is not provided.

# BID BOND

The **PRINCIPAL** (*Bidder's company name and address*)

Name:

Address:

The **SURETY** (*Company name and primary place of business*)

Name:

Address:

The **OWNER** (*Entity name and address*)

Name:

Address:

The **PROJECT** for which the Principal's Bid is submitted: (*Project name as it appears in the Bid Documents*)

**KNOW ALL MEN BY THESE PRESENTS**, that we, the undersigned Principal and Surety, jointly and severally, hereby bind ourselves, our heirs, executors, administrators, successors, and assigns to the Owner in the **PENAL SUM of five percent (5%) of the amount of the Principal's bid, but in no event more than Ten-thousand Dollars (\$10,000.00).**

**THE CONDITION OF THIS OBLIGATION** is that the Principal has submitted to the Owner the attached bid, which is incorporated herein by reference, for the Project identified above.

**NOW, THEREFORE**, if, within the terms of the Bid Documents, the Owner accepts the Principal's bid and the Principal thereafter either:

- (a) executes and delivers a Construction Contract with the required Performance and Payment Bonds (each in the form contained in the Bid Documents and properly completed in accordance with the bid) and delivers evidence of insurance as prescribed in the Bid Documents, or
  - (b) fails to execute and deliver such Construction Contract with such Bonds and evidence of insurance, but pays the Owner the difference, not to exceed the Penal Sum of this Bond, between the amount of the Principal's Bid and the larger amount for which the Owner may award a Construction Contract for the same Work to another bidder,
- then**, this obligation shall be null and void, otherwise it shall remain in full force and effect.

The Surety, for value received, hereby stipulates and agrees that the obligation of the Surety under this Bond shall not in any manner be impaired or affected by any extension of the time within which the Owner may accept the Principal's bid, and the Surety does hereby waive notice of any such extension.

**SIGNED AND SEALED** this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

ATTEST:

**PRINCIPAL:**

\_\_\_\_\_

By \_\_\_\_\_

\_\_\_\_\_  
Name and Title

**SURETY:**

ATTEST:

\_\_\_\_\_

By \_\_\_\_\_

\_\_\_\_\_  
Name and Title

Note: Do not staple this form; use clips. Purpose: quickly and efficiently scan thousands of documents into DCM's database.

## **SECTION 00 22 00**

### **SUPPLEMENTARY INSTRUCTIONS TO BIDDERS**

#### **PART 1 GENERAL**

##### **1.01 SUPPLEMENTS**

- A. The following instructions are in addition to Alabama Division of Construction Management Instructions to Bidders - DCM Form C-2, and the Advertisement for Bids - DCM Form C-1.

##### **1.02 TIME**

- A. Perform the Work within the time stated in Section 01 10 00 - Summary. The bidder, in submitting an offer, accepts the contract time period stated for performing the Work.

##### **1.03 INSTRUCTIONS**

- A. All sealed bids will be received by 2:00 p.m. CDT on August 9th, 2023 at which time each bidder must submit a sealed envelope properly titled containing the Proposal form, the Bid Bond, and Accounting of Sales Tax - DCM Form C-3A form, and Affidavit A. Upon receipt of these documents the bids will be publicly opened and read aloud. Affidavit C is to be hand delivered or emailed to the Owner within 24 hours after receipt of bids. No changes to the base bid will be allowed after 2:00 p.m.
- B. Bids will be opened at the Alabama A&M University, Department of Purchasing, Attention: Jeffrey Robinson, Patton Hall, Room 305, 4900 Meridian Street, Normal, Alabama 35762.
- C. Any parties other than General Contractors may obtain contract documents by depositing \$50.00 to Alabama A&M University for each set obtained. On return of such documents in good condition within 10 days after the bid opening, the cost of reproduction and postage and mailing will be deducted from the deposit and the balance will be refunded. No refund will be made if plans are not returned in good condition.
- D. General Contractors who submit a bona fide bid will be refunded in full on the first two (2) sets issued, upon return of documents in good condition within ten days of bid date. Additional sets may be obtained under the conditions stated in the above Item C.

#### **PART 2 PRODUCTS - NOT USED**

#### **PART 3 EXECUTION - NOT USED**

#### **END OF SECTION**



## SECTION 00 22 00A

### APPENDIX A

#### OWNER'S SUPPLEMENTARY INSTRUCTIONS TO BIDDERS - DBE MINORITY

##### CONSTRUCTION CONTRACTS GOAL FOR DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION

Alabama A & M University is committed to providing equal opportunities for participation in all aspects of the Alabama A & M University construction program. Alabama A & M University prohibits discrimination against any person or business in the pursuit of these opportunities on the basis of race, color, gender, religion, handicap, or national origin, and will make every effort to conduct its contracting and purchasing program so as to prevent any discrimination. Alabama A & M University actively seeks to identify qualified minority, handicapped, and women-owned business enterprises so as to widen opportunities for participation as providers of goods and services, increases competition and ensure the proper and diligent use of public funds.

Alabama A & M University has adopted a goal for participation by disadvantaged business enterprises in construction projects based on the availability of DBE/MINORITY firms for the type of construction trade on that project and the percent of total contract value. The President and his staff shall establish appropriate guidelines and procedures.

#### OBJECTIVES/STATEMENTS

##### A. Definitions

- 1.) Bidder/Participant- Any person, firm, partnership, corporation, association, or joint venture seeking to be awarded a public contract or subcontract.
- 2.) Contract- A mutual binding legal document which defines a business relationship or any modification at the level of performance which obligates the seller to furnish supplies, equipment, materials, services, or knowledge in performing construction.
- 3.) Contractors- Any person, firm, partnership, corporation, association, or joint venture awarded a construction contract with Alabama A & M University or has contracted with the Owner to perform construction work or repair.
- 4.) Discrimination- To distinguish, differentiate, separate, or segregate solely on the basis of age, race, religion, color, sex, national origin, handicap, or veteran's status.
- 5.) Equipment- Includes materials, supplies, commodities, apparatus.
- 6.) Goal- An objective, expressed numerically to evaluate the type and amount of public contract awards and performance of disadvantage-owned business enterprises.
- 7.) Good Faith Effort- An activity performed by Bidders to assure the participation of DBE/MINORITY contracts covered under this plan.
- 8.) Joint Venture- A legal merger of two or more separately owned businesses/firms for

the purpose of submitting a single bid, to carry out a single business enterprise for profit, for which purpose they combine their property, capital, efforts, skills, or knowledge.

- 9.) Disadvantaged Business Enterprises (DBE/MINORITY)- A business enterprise owned and controlled at a minimum of 51 by one or more members of a group defined as a minority or women. A business certified as a DBE/MINORITY will show evidence of ownership and management interests and the daily business operations are real and continuing not created solely to meet the DBE/MINORITY requirements. Each firm will be certified by the Transportation Office on Alabama A&M University.
- 10.) Owner- Alabama A & M University
- 11.) Subcontractor- A firm under contract with the prime contractor for supplying materials or labor and materials and/or installation. The subcontractor may or may not provide materials in his subcontract. Work subcontracted in an emergency and which could not have been anticipated is excluded as a part of this program.
- 12.) Socially and economically disadvantaged individual- means the same as defined in 15 U.S.C 637. Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities. Economically disadvantaged individuals are those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business are who are not socially disadvantaged.
- 13.) Verifiable Goal
  - a. For purpose of separate prime contract system, that the awarding authority has adopted written guidelines specifying the actions that will be taken to ensure a good faith effort in the recruitment and selection of DBE/MINORITY s for participation in contracts awarded;
  - b. For purpose of separate prime contract system, that the awarding authority had adopted written guidelines specifying the actions that the prime Contractor must take to ensure a good faith effort in the recruitment and selection of DBE/MINORITY s for participation in contract awarded; and
  - c. The required actions must be documented in writing by the prime contractors to the Owner.

B. Owner's Duties

1. Identification/Certification of Disadvantaged Business Enterprises (DBE/MINORITY).
  - a. The University shall affirmatively seek out and gain knowledge of minority and women owned business enterprises in the construction trades.
  - b. The University shall assist in certifying the eligibility of DBE/MINORITYs and joint venture involving DBE/MINORITY firms.
  - c. The University will maintain a list of firms certified as DBE/MINORITY.
  - d. The University will attend the scheduled pre-bid conference.
  - e. At least 7 days prior to the scheduled day of bid opening, notify DBE/MINORITYs that have requested notices from the University, of work being bid or the potential contracting opportunities listed in the proposal. The notification shall include the following:
    1. A description of the work for which the bid is being solicited.
    2. The date, time, and location where bids are to be submitted.
  3. The name of the individual within the owner's organization who will be available to answer questions about the project.

4. Where bid documents may be reviewed.
5. Any special requirements that may exist.
- f. Utilize other media; as appropriate, likely to inform potential DBE/MINORITYs of the bid being sought.
- g. Maintain documentation of any contracts, correspondence, or conversation with DBE/MINORITYs made in an attempt to meet the goals.
- h. Evaluate documentation to determine good faith effort has been achieved for DBE/MINORITY utilization prior to recommendation of award.
- i. Review prime contractors' pay applications for compliance with DBE/MINORITY utilization commitments prior to payment.

C. DBE/MINORITY SUBCONTRACT GOALS:

The goals for participation by DBE/MINORITY firms as subcontractors on this project is set for each project based on percentage of each construction trade in project and availability of DBE/MINORITY firms.

If bidder has not met the percent goal, the bidder must identify on its bid, the DBE/MINORITY s that will be utilized on the project with corresponding total dollar value of the bid. Affidavits A and C listing good faith efforts must be included with the bid.

If bidder has met the percent goal, the bidder must provide Affidavit B within 72 hours of the bid.

**T**he University shall provide information to DBE/MINORITY firms about the University's construction program. This shall be accomplished by:

D. Communications with DBE/MINORITY

The University shall provide information to DBE/MINORITY firms about the University's construction program. This shall be accomplished by:

1. Upon request, sending a notice to each DBE/MINORITY engaged in University construction that is advertised for bids;
2. Ensuring that prospective DBE/MINORITY bidders and subcontractors have access to bidding documents; and
3. Furnishing DBE/MINORITY subcontractors with the name of the prospective Bidders on a project; upon request, and providing Bidders with the University's list of known DBE/MINORITY firms,

E. Designer

The designer will:

1. Attend the scheduled pre-bid conference to assist in the explanation of DBE/MINORITY requirements to the prospective bidders.
2. Assist the owner to identify and notify prospective DBE/MINORITY prime and subcontractors of potential contracting opportunities.
3. Maintain documentation of any contracts, correspondence, or conversation with DBE/MINORITY firms made in an attempt to meet the goals.

4. Review jointly with the owner, all requirements of these guidelines – (i.e. bidders' proposals for identification of the DBE/MINORITY 's that will be utilized with corresponding total dollar value of the bid and affidavit listing Good Faith Efforts, or affidavit of self-performance of work, if the contractor will perform work under contract by its own workforce) – prior to recommendation of award.
5. Make documentation showing evidence of implementation of Designer's responsibilities available for review by Owner, upon request.

F. Anticipated Assurances from Contractors

1. Upon adoption of its verifiable goal, the University is expected to require Bidders on its projects to provide assurances in writing that they will make a good faith effort to solicit DBE/MINORITY s as subcontractors should they be awarded the construction contract. The successful Bidder shall provide the following information to the University and any other information requested in the attached forms:
  - a. The names and addresses of DBE/MINORITY s that will participate in the contract and the names of firms contacted that are not participating; (AFFIDAVIT C)
  - b. A description of the work each named DBE/MINORITY will perform; (AFFIDAVIT C)
  - c. The dollar amount of participation by each DBE/MINORITY (AFFIDAVIT C); and
  - d. Copies of any advertisements or correspondence the Bidder has used to attract DBE/MINORITY subcontractors.
2. A contractor's good faith effort to involve DBE/MINORITY firms in the project can be demonstrated by using, among other factors, the following:
  - a. Contacted DBE/MINORITY s that reasonably could have been expected to submit a quote and that were known to the contractor, or available on State, local government, or University maintained lists, at least 10 days before the bid date and notified them of the nature and scope of the work to be performed.
  - b. Made the construction plans, specifications and requirements available for review by prospective DBE/MINORITY 's, or providing these documents to them at least 7 days before the bids are due.
  - c. Broken down or combined elements of work into economically feasible units to facilitate DBE/MINORITY participation.
  - d. Worked with minority trade, community, or contractor organizations identified by the University office of Transportation which provide assistance in recruitment of minority businesses.
  - e. Attended pre-bid meetings scheduled by the owner.
  - f. Provided assistance in getting required bonding or insurance or provided alternatives to bonding or insurance for subcontractors.
  - g. Negotiated in good faith with interested DBE/MINORITY s and did not reject them as unqualified without sound reasons based on their capabilities. Any rejection of a DBE/MINORITY based on lack of qualification should have the reasons documented in writing.
  - h. Provided assistance to an otherwise qualified DBE/MINORITY in need of equipment, loan capital, lines of credit, or joint pay agreements to secure loans, supplies, or letters in obtaining the same unit pricing with the bidder's suppliers in order to help DBE/MINORITY in establishing credit.
  - i. Negotiated joint venture and partnership arrangements with DBE/MINORITY in order to increase opportunities for DBE/MINORITY participation on a public construction or repair project when possible.
  - j. Provided quick pay agreements and policies to enable DBE/MINORITY contractors and suppliers to meet cash-flow demands.

G. DBE/MINORITY Responsibilities

- a. DBE/MINORITYs should make every effort to establish contacts and relationships with Contractors for potential future business, including attending pre-bid conferences and subscribing to industry and trade journals
- b. DBE/MINORITYs should also document all contacts and communications made with Contractors above so as to be able to assist the Grievance Designee in determining whether a complaint lodged by a DBE/MINORITY firm against a Bidder for failure to use good faith effort is valid.
- c. In addition, DBE/MINORITYs who are contacted by the Owner or Bidders should respond promptly whether or not they wish to submit a bid.
- d. DBE/MINORITYs are urged to take advantage of appropriate technical assistance and training when it is available.

H. Penalties for Contractor Noncompliance

1.

I. Criteria for Certification of Disadvantaged Business Enterprises

1. A Disadvantaged Business Enterprise (DBE/MINORITY) is a business, which is at least 51 , owned and controlled by minority group members or women. A DBE/MINORITY is bona fide only if the minority group or female ownership interests are real and continuing and not created solely to meet the DBE/MINORITY requirement. In addition, the DBE/MINORITY must itself perform satisfactory work or services or provide supplies under the contract and not act as a mere conduit.
2. The term minority means a person who is a citizen or lawful permanent resident of the United States and who are;
  - a. African-American, that is, a person having origins in any of the original racial groups in Africa.
  - b. Hispanic, that is, a person of Spanish or Portuguese culture with origins in Mexico, South Central America, or the Caribbean Island, regardless of race.
  - c. Native-American, that is, persons having origins in any of the original peoples of North America.
  - d. Asian-American, that is, persons having origin in any of the countries of the Far East, Southeast Asia, or the Indian areas; or
  - e. Female.
  - f. Socially and economically disadvantaged individual-means the same as defined in 15 U.S.C. 637. Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities. Economically disadvantaged individuals are those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business area that are not socially disadvantaged .
3. The term owned and controlled means a business, which is a : 1) Sole proprietorship legitimately owned by a person who is a minority or female; 2) a partnership or joint venture controlled by minorities and/or women, and in which at least 51 of the beneficial ownership interests legitimately are held by minorities

and/or women; 3) a corporation or other entity controlled by minorities and/or females, and in which at least 51 of the voting stock or interested 51 of the beneficial ownership interest are legitimately held by minorities and/or females. In addition, these persons must control the management and operations of the business on a day to day basis.

4. The President shall appoint a DBE/MINORITY certification Review Committee to resolve any and all disputes concerning a business' eligibility for certification as a DBE/MINORITY. The Committee shall include at least one member from the Transportation Office, one member from the Purchasing Office, one member from the Facilities Office and the University Attorney.

J. Grievance Procedures.

1. The grievance shall first be discussed with the responsible operating department. If the grievance is not resolved, exercise item 2.
2. The grievance (complaint) must be reported in writing, a brief description and supporting documentation and evidence to the President's designee.
3. The President's designee will review the basis and the issue(s) of the complaint and may request additional supporting evidence. A response to the grievance will be completed within fifteen (15) working days unless circumstances mandate otherwise. Parties involved will be notified of any and all delays in processing the grievance.
4. Any participant not satisfied with the decision of the President's designee may avail himself/herself or any remedies available under the Federal, State and Local law.

To that end, DBE/MINORITY disputes arising under these guidelines should be resolved.

AFFIDAVIT A – ALABAMA A&M UNIVERSITY

Name of  
Bidder \_\_\_\_\_

I have made a good faith effort to comply under the following areas circled:

(a minimum of 5 areas must be checked in order to have achieved a good faith effort )

1. Contacted DBE / minority businesses that reasonably could have been expected to submit a quote and that were known to the contractor, or available on State or local government-maintained lists, at least 10 days before the bid date and notified them of the nature and scope of the work to be performed.
2. Made the construction plans, specifications and requirements available for review by prospective DBE / minority businesses, or providing these documents to them at least 10 days before the bids are due.
3. Broken down or combined elements of work into economically feasible units to facilitate DBE / minority participation.
4. Worked with DBE / minority trade, community, or contractor organizations.
5. Attended prebid meetings scheduled by the owner.
6. Provided assistance in getting required bonding or insurance or provided alternatives to bonding or insurance for subcontractors.
7. Negotiated In good faith with interested DBE / minority businesses and did not reject them as unqualified without sound reasons based on their capabilities. Any rejection of a DBE / minority business based on lack of qualification should have the reasons documented in writing.
8. Provided assistance to an otherwise qualified DBE / minority business in need of equipment, loan capital, lines of credit, or joint pay agreements to secure loans, supplies, or letters of credit, including waiving credit that is ordinarily required. Assisted DBE / minority businesses in obtaining the same unit pricing with the bidder's supplies in order to help DBE / minority businesses in establishing credit.
9. Negotiated joint venture and partnership arrangements with DBE / minority businesses in order to increase opportunities for DBE / minority business participation on a public construction or repair project when possible.
10. Provided quick pay agreements and policies to enable DBE / minority contractors and suppliers to meet cash-flow demands.

AFFIDAVIT A – ALABAMA A&M UNIVERSITY

The undersigned will enter into a formal agreement with the firms listed In Affidavit C conditional upon execution of a contract with the Owner.  
Failure to abide by this statutory provision will constitute a breach of the contract.

The undersigned hereby certifies that he or she has read the terms of the DBE / minority business commitment and is authorized to bind the bidder to the commitment herein set forth.

Date: \_\_\_\_\_

Name of Authorized Officer: \_\_\_\_\_

**Signature:** \_\_\_\_\_

Title: \_\_\_\_\_

State of Alabama, County of \_\_\_\_\_

Subscribed and sworn to before me this

\_\_\_\_\_ day of

\_\_\_\_\_ 20\_\_

Notary Public \_\_\_\_\_

My commission expires \_\_\_\_\_



AFFIDAVIT B – ALABAMA A&M UNIVERSITY

AFFIDAVIT B -ALABAMA A&M UNIVERSITY

Portion of the work to be performed by DBE / firms

(NOTE: THIS FORM IS NOT TO BE SUBMITTED WITH THE BID PROPOSAL)

If the portion of the work to be executed by DBE/MINORITY businesses is equal to or greater than \_\_\_\_\_ of the bidder's total contract price, then the bidder must complete this affidavit. This affidavit shall be provided by the apparent lowest responsible, responsive bidder within 72 hours after notification of being low bidder.

Affidavit of \_\_\_\_\_ I do hereby certify that  
on the (Name of bidder)

\_\_\_\_\_  
(Project Name)

Amount of Bid \$ \_\_\_\_\_

I will expend a minimum of \_\_\_\_\_ of the total dollar amount of the contract with DBE/MINORITY contractors. DBE/MINORITY contractors will be employed as construction subcontractors, vendors, suppliers or providers of professional services. Such work will be subcontracted to the following firms listed below:

<u>NAME AND PHONE NUMBER</u>	<u>WORK DESCRIPTION</u>	<u>DOLLAR VALUE</u>
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
6. _____	_____	_____

Note: Attach additional sheets if required.

AFFIDAVIT B – ALABAMA A&M UNIVERSITY

The undersigned will enter into a formal agreement with DBE/MINORITY firms for work listed in this schedule conditional upon execution of a contract with the Owner. Failure to fulfill this commitment may constitute a breach of the contract.

The undersigned hereby certifies that he or she has read the terms of this commitment and is authorized to bind the bidder to the commitment herein set forth.

Date:\_\_\_\_\_ Name of Authorized Officer:\_\_\_\_\_

Signature:\_\_\_\_\_

Title:\_\_\_\_\_

State of Alabama; County of \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_ day of \_\_\_\_ 20\_\_

Notary Public\_\_\_\_\_

My commission expires;\_\_\_\_\_

AFFIDAVIT C – ALABAMA A&M UNIVERSITY

Good Faith Efforts

If the goal of participation by DBE/MINORITY business is not achieved, the Bidder shall provide the following documentation to the Owner of his good faith efforts:

Affidavit of: \_\_\_\_\_

(Name of Bidder)

I do certify the attached documentation as true and accurate representation of my good faith efforts.

	<u>NAME AND PHONE NUMBER</u>	<u>WORK DESCRIPTION</u>	<u>DOLLAR VALUE</u>
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____

Documentation of the Bidder's good faith efforts to meet the goals set forth in these provisions. Examples of documentation include, but are not limited to, the following evidence:

1. Copies of solicitations for quotes to at least three (3) DBE/MINORITY business firms from the source list provided by the University for each subcontract to be let under this contract (If 3 or more firms are shown on the source list). Each solicitation shall contain a specific description of the work to be sub-contracted, location where bid documents can be reviewed, representative of the Prime Bidder to contact, and location, date and time when quotes must be received.
2. Copies of quotes or responses received from each firm responding to the solicitation.
3. A telephone log of follow-up calls to each firm sent a solicitation.

AFFIDAVIT C – ALABAMA A&M UNIVERSITY

4. For subcontracts where a DBE/MINORITY business firm is not considered the lowest responsible sub-bidder, copies of quotes received from all firms submitting quotes for that particular subcontract.
5. Documentation of any contacts or correspondence to DBE/MINORITY business, community, or contractor organizations in an attempt to meet the goal.
6. Copy of pre-bid roster.
7. Letter documenting efforts to provide assistance in obtaining required bonding or Insurance for DBE/MINORITY business.
8. Letter detailing reasons for rejection of DBE/MINORITY business due to lack of qualification.
9. Letter documenting proposed assistance offered to DBE/MINORITY business in need of equipment, loan capital, lines of credit, or joint pay agreements to secure loans, supplies, or letter of credit, including waiving credit that is ordinarily required.

Failure to provide the documentation as listed in these provisions may result in rejection of the bid and award to the next lowest responsible and responsive bidder.

Date:\_\_\_\_\_ Name of Authorized Officer:\_\_\_\_\_

Signature:\_\_\_\_\_

Title:\_\_\_\_\_

State of Alabama; County of \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_

Notary Public \_\_\_\_\_

My commission expires; \_\_\_\_\_

## **SECTION 00 50 00**

### **CONSTRUCTION DOCUMENTS AND FORMS**

#### **PART 1 GENERAL**

##### **1.01 DOCUMENTS**

- A. Construction Contract - DCM Form C-5.
- B. Checklist for Preparation and Approval of Construction Contracts and Bonds - DCM Form B-7.
- C. Certification of Compliance with Section Nine of ACT 2011-535
- D. Performance Bond - DCM Form C-6.
- E. Payment Bond - DCM Form C-7.
- F. General Conditions of the Contract - DCM Form C-8.
- G. Supplementary Conditions of the Contract.
  - 1. Permit Fee & Permit Re-Inspection Fee Calculation Worksheet.
  - 2. Appendix A.
  - 3. Appendix C.
- H. Application and Certificate for Payment, DCM Form C-10.
- I. Inventory of Stored Materials, DCM Form C-10SM.
- J. Schedule of Values, DCM Form C-10SOV,.
- K. Final Payment Checklist, DCM Form B-13.
- L. Progress Schedule and Report - DCM Form C-11.
- M. Contract Change Order, DCM Form C-12.
- N. Change Order Justification, DCM Form B-11.
- O. Change Order Checklist, DCM Form B-12.
- P. Certificate of Substantial Completion, DCM Form C-13A.
- Q. Form of Advertisement of Completion, DCM Form C-14.
- R. Detail of Project Sign, DCM Form C-15.
- S. Contractor's Affidavit of Paymnet of Debts & Claims, DCM Form C-18.
- T. Contractor's Affidavit for Relese of Liens, DCM Form C-19.
- U. Consent of Surety to Final Payment, DCM Form C-20.
- V. Pre-Construction Conference Checklist, DCM Form B-8.
- W. State of Alabama Disclosure Statement.

- (1) *Do not staple this form and/or attachments; use clips. Print single-sided; do not submit double-side printed documents.*

**DCM (BC) Project No.**

## CONSTRUCTION CONTRACT

- (2) This Construction Contract is entered into this                      day of                      in the year of
- (3) between the **OWNER**,  
Entity Name:  
Address:  
Email & Phone #:
- (4) and the **CONTRACTOR**,  
Company Name:  
Address:  
Email & Phone #:
- (5) for the **WORK** of the Project, identified as:
- (6) The **CONTRACT DOCUMENTS** are dated                      and have been amended by
- (7) **ADDENDA**
- (8) The **ARCHITECT** is  
Firm Name:  
Address:  
Email & Phone #:
- (9) The **CONTRACT SUM** is  
Dollars (\$)                      ) and is the sum of the Contractor's Base Bid for the Work and the following
- (10) **BID ALTERNATE PRICES:**
- (11) The **CONTRACT TIME** is                      (                      ) calendar days.

**THE OWNER AND THE CONTRACTOR AGREE AS FOLLOWS:** The Contract Documents, as defined in the General Conditions of the Contract (DCM Form C-8), are incorporated herein by reference. The Contractor shall perform the Work in accordance with the Contract Documents. The Owner will pay and the Contractor will accept as full compensation for such performance of the Work, the Contract Sum subject to additions and deductions (including liquidated damages) as provided in the Contract Documents. The Work shall commence on a date to be specified in a Notice to Proceed issued by the Owner or the Director, Alabama Division of Construction Management, and shall then be substantially completed within the Contract Time.

- (12) **LIQUIDATED DAMAGES** for which the Contractor and its Surety (if any) shall be liable and may be required to pay the Owner in accordance with the Contract Documents shall be equal to six percent interest per annum on the total Contract Sum unless a dollar amount is stipulated in the following space, in which case liquidated damages shall be determined at \_\_\_\_\_ dollars (\$ \_\_\_\_\_) per calendar day.

Numbers in margin correspond to "Checklist", DCM Form B-7

(13) **SPECIAL PROVISIONS** *(Special Provisions may be inserted here, such as acceptance or rejection of unit prices.*

*If Special Provisions are continued in an attachment, identify the attachment below):*

By signing this contract, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the state of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

(14) **STATE GENERAL CONTRACTOR'S LICENSE:** The Contractor does hereby certify that Contractor is currently licensed by the Alabama State Licensing Board for General Contractors and that the certificate for such license bears the following:

License No.:

Classification(s):

Bid Limit:

The Owner and Contractor have entered into this Construction Contract as of the date first written above and have executed this Construction Contract in sufficient counterparts to enable each contracting party to have an originally executed Construction Contract each of which shall, without proof or accounting for the other counterparts, be deemed an original thereof.

The Owner does hereby certify that this Construction Contract was let in accordance with the provisions of Title 39, Code of Alabama 1975, as amended, and all other applicable provisions of law, and that the terms and commitments of this Construction Contract do not constitute a debt of the State of Alabama in violation of Article 11, Section 213 of the Constitution of Alabama, 1901, as amended by Amendment Number 26.

(15)

**APPROVAL**

**ALABAMA STATE DEPARTMENT OF EDUCATION  
(SDE)**

*(Required for locally-funded, SDE projects.)*

By \_\_\_\_\_ Date: \_\_\_\_\_  
State Superintendent of Education

**CONTRACTING PARTIES**

\_\_\_\_\_  
Contractor Company

By \_\_\_\_\_  
Signature

Name & Title \_\_\_\_\_

\_\_\_\_\_  
Owner Entity

By \_\_\_\_\_  
Signature

Name(s) & Title(s) \_\_\_\_\_

Review/Signature flow: Architect/Engineer (prepare documents) > Contractor (review and sign) > Architect/Engineer (review) > Owner (review and sign) > SDE (review, sign and distribute the fully executed Contract to all parties, and forward a copy to the Alabama Division of Construction Management [DCM]). Note: DCM does not sign fully locally-funded SDE project contract documents.

**PREPARATION AND APPROVAL OF  
CONSTRUCTION  
CONTRACTS and BONDS  
SUBMITTED ON PAPER**

**CHECKLIST**

Use with DCM Forms C-5, C-6, & C-7  
and DCM Forms 9-A, 9-B, & 9-C

<p align="center"><b>CONSTRUCTION CONTRACT - DCM Form C-5 or DCM Form 9-A (PSCA Projects)</b></p> <p>Three copies of documents with original signatures required. The numbers in the left column below correspond to numbers in the left margin of the Contract form. If the project is funded partially or fully by the Alabama Public School and College Authority (PSCA), use DCM Form 9-A instead of DCM Form C-5.</p>	
(1)	<p><b>PROJECT NUMBER(S):</b> Insert the DCM (BC) Project Number in the block provided.</p> <ul style="list-style-type: none"> <li>On DCM Form 9-A, also insert the PSCA Project Number in the block provided.</li> </ul>
(2)	<p><b>DATE:</b> Insert the date upon which the Contractor will sign the contract.</p>
(3)	<p><b>OWNER:</b> Insert the full, legal name, address, email, and telephone number of the Owner (Awarding Authority).</p> <ul style="list-style-type: none"> <li>On DCM Form 9-A, insert the name, address, email, and telephone number of the Local Owner (city or county school board, college, university, etc.) after "Alabama Public School and College Authority"</li> </ul>
(4)	<p><b>CONTRACTOR:</b> Insert the Contractor's full, legal company name, correct mailing address, email, and telephone number. For State Agency projects, the Contractor Company name and address must match the name and address registered in the State of Alabama Accounting and Resource System (STAARS) used by the State to pay Vendors. The Contractor Company name and address must be consistent across all documents in the same contract package, in order to avoid STAARS rejection.</p> <ul style="list-style-type: none"> <li>On DCM Form 9-A: The Contractor Company name and address must match the name and address registered in STAARS used by the State to pay Vendors. The Contractor Company name and address must be consistent across all documents in the same contract package, in order to avoid STAARS rejection.</li> </ul>
(5)	<p><b>The WORK:</b> Insert the complete name of the Project; same as in the Bid Documents.</p>
(6)	<p><b>CONTRACT DOCUMENTS:</b> Insert the date of the Bid Documents</p>
(7)	<p><b>ADDENDA:</b> Identify, by number and date, all pre-bid Addenda that were issued to the Bid Documents. If none were issued, insert "None". All Addenda shall be submitted to DCM for review prior to contract issuance.</p>
(8)	<p><b>ARCHITECT:</b> Insert the full, legal name, address, email, and telephone number of the Project Architectural or Engineering firm.</p>
(9)	<p><b>CONTRACT SUM:</b> The Contract Sum is the total of the Contract's Base Bid and accepted Bid Alternate Prices, if any. Insert the Contract Sum in words and figures, verifying that this amount corresponds with the CERTIFIED TABULATION OF BIDS.</p>
(10)	<p><b>BID ALTERNATE PRICES:</b> Identify which, if any, Bid Alternate Prices are accepted and included in the Contract Sum by inserting either (a) "No Alternate Prices Requested in Bid", (b) "No Alternate Prices Accepted", or (c) a listing of the accepted Alternates by number and dollar amount.</p>
(11)	<p><b>The CONTRACT TIME:</b> State the Contract Time in words and in figures.</p>
(12)	<p><b>LIQUIDATED DAMAGES:</b> If the Owner has computed a daily rate for liquidated damages, insert the amount in both words and figures in the spaces provided.</p>
(13)	<p><b>SPECIAL PROVISIONS:</b> This space may be used to incorporate Special Provisions into the Contract, such as unit prices, compliance with enacted provisions, and value engineering. If the solicitation for bids required Unit Prices, insert a statement of which Unit Prices, if any, are accepted and incorporated into the Contract. If more space is needed, Special Provisions may be stated on an attachment that is cited in the Special Provisions section.</p> <ul style="list-style-type: none"> <li>DCM Form 9-A is published bearing Special Provision "A. Severable Payments", which is where the portions of the Contract Sum to be paid by the PSCA and the Local Owner are to be stated. Obtain these amounts from Local Owner and insert them in the spaces provided. Other Special Provisions, such as disposition of Unit Prices, may be inserted below this provision.</li> </ul>
(14)	<p><b>STATE GENERAL CONTRACTOR'S LICENSE:</b> Insert the Contractor's current state general contracting license number, bid limit, and classification in the spaces provided.</p>



(15)	<b>SIGNATURES - APPROVING and CONTRACTING PARTIES</b> Signature spaces vary for different Owner types and funding sources. Download the appropriate document per Owner/funding type from <a href="http://www.dcm.alabama.gov/forms.aspx">www.dcm.alabama.gov/forms.aspx</a> . Original signatures required; copies of signatures will not be accepted.
<p align="center"><b>PERFORMANCE BOND, DCM Form C-6 or DCM Form 9-B (PSCA Projects), and PAYMENT BOND, DCM Form C-7 or DCM Form 9-C (PSCA Projects)</b></p> <p>Before forwarding the Construction Contract and Bonds to the Owner, verify that the Surety has accurately provided all information in the spaces provided. The information should be the same on both Bonds.</p>	
(1)	<b>SURETY'S BOND NUMBER</b> should be inserted in the block provided.
(2)	<b>PRINCIPAL:</b> Contractor's name and address is to be the same as appears in the Construction Contract.
(3)	<b>SURETY:</b> The full, legal name and address of the bonding company.
(4)	<b>OWNER:</b> The Owner's name and address is to be the same as appears in the Construction Contract.
(5)	<b>PENAL SUM:</b> The Penal Sum of each Bond is to be the Contract Sum of the Construction Contract and is to be inserted in both words and figures.
(6)	The <b>Date</b> of the Construction Contract: The date that appears on the Construction Contract.
(7)	The <b>PROJECT:</b> The same name or description as appears in the Construction Contract.
(8)	<b>DATE:</b> After "SIGNED AND SEALED" is to appear the date upon which Contractor and Surety sign the Bond. <b>THIS DATE CANNOT PRECEDE THE DATE OF THE CONSTRUCTION CONTRACT.</b>
(9)	<b>CONTRACTOR'S SIGNATURE:</b> The Contractor's name must appear beneath "CONTRACTOR", under which the signature of a member or officer of the firm must appear with the name and title of the signing party appearing LEGIBLY beneath the signature.
(10)	<b>SURETY'S SIGNATURE:</b> The full, legal name of the bonding company must appear under "SURETY", under which the signature of an individual having power of attorney for the bonding company must appear with the individual's name and title appearing LEGIBLY beneath the signature.
(11)	<b>ATTACHED POWER OF ATTORNEY:</b> Clipped to each copy of the Bonds must be a Power of Attorney, signed by an officer of the bonding company, for the individual signing the bond on behalf of the bonding company. <b>The date of the Power of Attorney <u>must</u> not precede the date of the bond.</b>
<p align="center"><b>ATTACHMENTS</b></p> <p>The following documents must be attached to each of the three (3) Construction Contract copies:</p> <ul style="list-style-type: none"> <li>Insurance Certificate (attach copy): It is the responsibility of the design professional to ensure all insurance requirements are discussed with bidders prior to a bid and that Contractor has provided the requirements to their insurance provider. Contractor must obtain <u>all</u> insurance coverage specified in Article 37 of the General Conditions of the Contract - required per Section 39-2-8 of the Code of Alabama.</li> <li>Performance Bond: required for contracts of \$50,000.0 or more, attach original with surety's power-of-attorney original - required per Section 39-2-8 of the Code of Alabama.</li> <li>Payment Bond: required for contracts of \$50,000.0 or more, attach original with surety's power-of-attorney original - required per Section 39-2-8 of the Code of Alabama.</li> <li>Certified Tabulation of Bids (attach copy): required for all projects including those with informal bids - required per Section 39-2-6 of the Code of Alabama.</li> <li>DCM Form C-3: Proposal Form (attach copy): If bid proposal was adjusted by notation on outside of envelope, also attach copy of outside of envelope including notation.</li> <li>DCM Form C-3A: Accounting of Sales Tax (attach copy): copy must be of the executed C-3A from the bid - required per Section 40-9-14.1 of the Code of Alabama.</li> <li>E-Verify Memorandum of Understanding (attach copy): entire document required - required per Section 31-13-25(b) of the Code of Alabama.</li> <li>Alabama Disclosure Statement (attach original) - required per Section 41-16-82 of the Code of Alabama.</li> </ul>	
<p align="center"><b>FORWARDING CONTRACT and ATTACHMENTS</b></p> <p>After determining that the Construction Contract (signed by the Contractor) and attachments are in order, the design professional shall forward all three (3) copies of these documents (with original signatures) to the Owner for signature. The Owner shall then forward the documents per the Review/Signature Flow instructions specified on the contract form underneath the signature block.</p>	

### **SUBMITTAL TO DCM:**

- All contract documents and attachments must be single-sided on letter-sized paper without staples; use clips. Purpose: quickly and efficiently scan thousands of documents into DCM's database. Scanners compatible with the database do not scan double-sided nor legal-sized paper.
- Contracts with double-sided printing will not be accepted.
- The Contract Document Administration Fee-CC and the Permit Fee must be paid by the time a Construction Contract for a state agency project, Alabama Community College System (ACCS) project or PSCA-funded project is submitted to DCM for review, or when a fully locally-funded project Construction Contract is converted to PSCA. Contract reviews can begin once the fees have been paid.
- The Permit Fee must be paid by the time a copy of a fully locally-funded K-12 school project's executed Construction Contract is received at DCM's office from the State Department of Education (SDE).

Basic Contract Document Administration (CDA) Fee: This fee covers review of the Agreement Between Owner and Architect (O/A Agreement) and Construction Contract for state agency projects, ACCS projects and partially or fully PSCA-funded projects of K-12 public schools and universities and the related amendments, change orders, service invoices and pay requests. This fee does not apply to fully locally-funded K-12 public school projects or fully locally-funded university projects. The Basic CDA Fee covers review of the original submitted document and one revision. The total basic CDA fee is 1/2 of 1% of the total construction cost, due in two parts: 1/4 of 1% (.25%) of the Project Budget for administration of the O/ A Agreement. 1/4 of 1% (.25%) of the Construction Contract Amount for administration of the Construction Contract.

Additional Revised Contract Document Fee: When more than one revision of a Construction Contract is required, an additional fee of \$200.00 will be charged to the design professional for each additional submittal until the document is executed.

Basic Permit Fee: This fee covers required project inspections. The Permit Fee is due when a construction contract or self-performance letter is received by DCM, and must be paid before a Pre-Construction Conference is scheduled with DCM Inspectors for any type of project. Note: although DCM does not review the construction contracts of non-ACCS public higher education institutions such as two and four-year universities, the permit fee must be paid before a required Pre-Construction Conference is scheduled with DCM Inspectors for such projects.

Fees may be paid online at [www.dcm.alabama.gov](http://www.dcm.alabama.gov) or paid with a physical check. Make check payable to: "Finance - Construction Management", include the DCM (BC) Project #, if assigned, on the check and attach the CDA Fees Calculation Worksheet (also available on [www.dcm.alabama.gov](http://www.dcm.alabama.gov)). Mail payment to: Finance - Construction Management, P.O. Box 301150, Montgomery, AL 36130-1150. For payments using Public School and College Authority (PSCA) funds and for state agency inter-fund transfers: contact Jennie Jones at 334-242-4808 or [jennie.jones@realproperty.alabama.gov](mailto:jennie.jones@realproperty.alabama.gov).

**CERTIFICATION OF COMPLIANCE  
WITH SECTION NINE OF ACT 2011-535**

The Undersigned Officer of \_\_\_\_\_(Company) certifies to the Board of Trustees, Alabama A&M University, that the Company shall not knowingly employ, hire for employment, or continue to employ an unauthorized alien and does attest to such by sworn affidavit signed before a notary. Furthermore, the Company certifies that it has provided its one-page E-Verify Company Profile Document to the University. During the performance of the contract, the Company shall participate in the E-Verify Program and shall verify every employee that is required to be verified according to the applicable federal rules and regulations. The Company also certifies that it will obtain sworn affidavits signed by a notary from any subcontractors furnishing goods/services under this contract attesting to the fact that they do not employ, hire for employment, or continue to employ an unauthorized alien and that they participate in the E-Verify Program and verify every employee that is required to be verified according to the applicable federal rules and regulations.

\_\_\_\_\_  
PRINT COMPANY NAME

\_\_\_\_\_  
SIGNATURE OF COMPANY OFFICER

\_\_\_\_\_  
PRINT TITLE OF COMPANY OFFICER

\_\_\_\_\_  
DATE

Sworn and subscribed to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC

My commission expires: \_\_\_\_\_

Numbers in margin correspond to second page of "Checklist", DCM Form B-7

(1) **PERFORMANCE BOND**

*Do not staple this form; use clips.*

SURETY'S BOND NUMBER

(2) The **PRINCIPAL** (*Company name and address of Contractor as appears in the Construction Contract*)

Name:

Address:

(3) The **SURETY** (*Company name and primary place of business*)

Name:

Address:

(4) The **OWNER** (*Entity name and address, same as appears in the Construction Contract*)

Name:

Address:

(5) The **PENAL SUM** of this Bond (the Contract Sum)

Dollars (\$) ).

(6) **DATE** of the Construction Contract :

(7) The **PROJECT**: (*Same as appears in the Construction Contract*)

**1. WE, THE PRINCIPAL (hereinafter "Contractor") AND THE SURETY**, jointly and severally, hereby bind ourselves, our heirs, executors, administrators, successors, and assigns to the Owner in the Penal Sum stated above for the performance of the Contract, and Contract Change Orders, in accord with the requirements of the Contract Documents, which are incorporated herein by reference. If the Contractor performs the Contract, and Contract Change Orders, in accordance with the Contract Documents, then this obligation shall be null and void; otherwise it shall remain in full force and effect.

**2.** The Penal Sum shall remain equal to the Contract Sum as the Contract Sum is adjusted by Contract Change Orders. All Contract Change Orders involving an increase in the Contract Sum will require consent of Surety by endorsement of the Contract Change Order form. The Surety waives notification of any Contract Change Orders involving only extension of the Contract Time.

3. Whenever the Architect gives the Contractor and the Surety, at their addresses stated above, a written Notice to Cure a condition for which the Contract may be terminated in accordance with the Contract Documents, the Surety may, within the time stated in the notice, cure or provide the Architect with written verification that satisfactory positive action is in process to cure the condition.
4. The Surety's obligation under this Bond becomes effective after the Contractor fails to satisfy a Notice to Cure and the Owner:
  - (a) gives the Contractor and the Surety, at their addresses stated above, a written Notice of Termination declaring the Contractor to be in default under the Contract and stating that the Contractor's right to complete the Work, or a designated portion of the Work, shall terminate seven days after the Contractor's receipt of the notice; and
  - (b) gives the Surety a written demand that, upon the effective date of the Notice of Termination, the Surety promptly fulfill its obligation under this Bond.
5. In the presence of the conditions described in Paragraph 4, the Surety shall, at its expense:
  - (a) On the effective date of the Notice of Termination, take charge of the Work and be responsible for the safety, security, and protection of the Work, including materials and equipment stored on and off the Project site, and
  - (b) Within twenty-one days after the effective date of the Notice of Termination, proceed, or provide the Owner with written verification that satisfactory positive action is in process to facilitate proceeding promptly, to complete the Work in accordance with the Contract Documents, either with the Surety's resources or through a contract between the Surety and a qualified contractor to whom the Owner has no reasonable objection.
6. As conditions precedent to taking charge of and completing the Work pursuant to Paragraph 5, the Surety shall neither require, nor be entitled to, any agreements or conditions other than those of this Bond and the Contract Documents. In taking charge of and completing the Work, the Surety shall assume all rights and obligations of the Contractor under the Contract Documents; however, the Surety shall also have the right to assert "Surety Claims" to the Owner in accordance with the Contract Documents. The presence or possibility of a Surety Claim shall not be just cause for the Surety to fail or refuse to promptly take charge of and complete the Work or for the Owner to fail or refuse to continue to make payments in accordance with the Contract Documents.
7. By accepting this Bond as a condition of executing the Construction Contract, and by taking the actions described in Paragraph 4, the Owner agrees that:
  - (a) the Owner shall promptly advise the Surety of the unpaid balance of the Contract Sum and, upon request, shall make available or furnish to the Surety, at the cost of reproduction, any portions of the Project Record, and
  - (b) as the Surety completes the Work, or has it completed by a qualified contractor, the Owner shall pay the Surety, in accordance with terms of payment of the Contract Documents, the unpaid balance of the Contract Sum, less any amounts that may be or become due the Owner from the Contractor under the Construction Contract or from the Contractor or the Surety under this Bond.
8. In the presence of the conditions described in Paragraph 4, the Surety's obligation includes responsibility for the correction of Defective Work, liquidated damages, and reimbursement of any reasonable expenses incurred by the Owner as a result of the Contractor's default under the Contract, including architectural, engineering, administrative, and legal services.

Numbers in margin correspond to second page of "Checklist", DCM Form B-7

9. Nothing contained in this Bond shall be construed to mean that the Surety shall be liable to the Owner for an amount exceeding the Penal Sum of this Bond, except in the event that the Surety should be in default under the Bond by failing or refusing to take charge of and complete the Work pursuant to Paragraph 5. If the Surety should fail or refuse to take charge of and complete the Work, the Owner shall have the authority to take charge of and complete the Work, or have it completed, and the following costs to the Owner, less the unpaid balance of the Contract Sum, shall be recoverable under this Bond:
- (a) the cost of completing the Contractor's responsibilities under the Contract, including correction of Defective Work;
  - (b) additional architectural, engineering, managerial, and administrative services, and reasonable attorneys' fees incident to completing the Work;
  - (c) interest on, and the cost of obtaining, funds to supplement the unpaid balance of the Contract Sum as may be necessary to cover the foregoing costs;
  - (d) the fair market value of any reductions in the scope of the Work necessitated by insufficiency of the unpaid balance of the Contract Sum and available supplemental funds to cover the foregoing costs; and
  - (f) additional architectural, engineering, managerial, and administrative services, and reasonable attorneys' fees incident to ascertaining and collecting the Owner's losses under the Bond.
10. All claims and disputes arising out of or related to this bond, or its breach, shall be resolved in accordance with Article 24, General Conditions of the Contract.

(8) **SIGNED AND SEALED** this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

(9 & 10) **SURETY:**

**CONTRACTOR as PRINCIPAL:**

\_\_\_\_\_  
Company Name

By \_\_\_\_\_  
Signature

\_\_\_\_\_  
Name and Title

\_\_\_\_\_  
Company Name

By \_\_\_\_\_  
Signature

\_\_\_\_\_  
Name and Title

- (11) **NOTE:** Original power of attorney for the Surety's signatory shall be furnished with each of the original three bond forms to be attached to each of the three contract copies (with original signatures) per project.

Do not staple this form; use clips. Purpose: quickly and efficiently scan thousands of documents into DCM's database.

Numbers in margin correspond to second page of "Checklist", DCM Form B-7

(1) **PAYMENT BOND**

SURETY'S BOND NUMBER

*Do not staple this form; use clips.*

- (2) The **PRINCIPAL** (Company name and address of Contractor, same as appears in the Construction Contract)

Name:

Address:

- (3) The **SURETY** (Company name and primary place of business)

Name:

Address:

- (4) The **OWNER(s)** (Entity name and address, same as appears in the Construction Contract)

Name:

Address:

- (5) The **PENAL SUM** of this Bond (the Contract Sum)

Dollars (\$) ).

- (6) **DATE** of the Construction Contract:

- (7) The **PROJECT**: (Same as appears in the Construction Contract)

1. **WE, THE PRINCIPAL (hereinafter "Contractor") AND THE SURETY**, jointly and severally, hereby bind ourselves, our heirs, executors, administrators, successors, and assigns to the Owner in the Penal Sum stated above to promptly pay all persons supplying labor, materials, or supplies for or in the prosecution of the Contract, which is incorporated herein by reference, and any modifications thereof by Contract Change Orders. If the Contractor and its Subcontractors promptly pay all persons supplying labor, materials, or supplies for or in the prosecution of the Contract and Contract Change Orders, then this obligation shall be null and void; otherwise to remain and be in full force and effect.
2. The Penal Sum shall remain equal to the Contract Sum as the Contract Sum is adjusted by Contract Change Orders. All Contract Change Orders involving an increase in the Contract Sum will require consent of Surety by endorsement of the Contract Change Order form. The Surety waives notification of any Contract Change Orders involving only extension of the Contract Time.

Numbers in margin correspond to second page of "Checklist", DCM Form B-7

3. Any person that has furnished labor, materials, or supplies for or in the prosecution of the Contract and Contract Change Orders for which payment has not been timely made may institute a civil action upon this Bond and have their rights and claims adjudicated in a civil action and judgment entered thereon. Notwithstanding the foregoing, a civil action may not be instituted on this bond until 45 days after written notice to the Surety of the amount claimed to be due and the nature of the claim. The civil action must commence not later than one year from the date of final settlement of the Contract. The giving of notice by registered or certified mail, postage prepaid, addressed to the Surety at any of its places of business or offices shall be deemed sufficient. In the event the Surety or Contractor fails to pay the claim in full within 45 days from the mailing of the notice, then the person or persons may recover from the Contractor and Surety, in addition to the amount of the claim, a reasonable attorney's fee based on the result, together with interest on the claim from the date of the notice.
4. Every person having a right of action on this bond shall, upon written application to the Owner indicating that labor, material, or supplies for the Work have been supplied and that payment has not been made, be promptly furnished a certified copy of this bond and the Construction Contract. The claimant may bring a civil action in the claimant's name on this Bond against the Contractor and the Surety, or either of them, in the county in which the Work is to be or has been performed or in any other county where venue is otherwise allowed by law.
5. This bond is furnished to comply with Code of Alabama, §39-1-1, and all provisions thereof shall be applicable to civil actions upon this bond.
6. All claims and disputes between Owner and either the Contractor or Surety arising out of or related to this bond, or its breach, shall be resolved in accordance with Article 24, General Conditions of the Contract.

(8) **SIGNED AND SEALED** this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

(9 & 10) **SURETY:**

**CONTRACTOR as PRINCIPAL:**

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Company Name

By \_\_\_\_\_  
Signature

By \_\_\_\_\_  
Signature

\_\_\_\_\_  
Name and Title

\_\_\_\_\_  
Name and Title

- (11) **NOTE:** Original power of attorney for the Surety's signatory shall be furnished with each of the original three bond forms to be attached to each of the three contract copies (with original signatures) per project.

Do not staple this form; use clips. Purpose: quickly and efficiently scan thousands of documents into DCM's database.



# GENERAL CONDITIONS of the CONTRACT

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## ARTICLE 1 DEFINITIONS

Whenever the following terms, or pronouns in place of them, are used in the Contract Documents, the intent and meaning shall be interpreted as follows:

- A. ALABAMA DIVISION OF CONSTRUCTION MANAGEMENT:** The Technical Staff of the Alabama Division of Construction Management.
- B. ARCHITECT:** The Architect is the person or entity lawfully licensed to practice architecture in the State of Alabama, who is under contract with the Owner as the primary design professional for the Project and identified as the Architect in the Construction Contract. The term "Architect" means the Architect or the Architect's authorized representative. If the employment of the Architect is terminated, the Owner shall employ a new Architect whose status under the Contract Documents shall be that of the former Architect. If the primary design professional for the Project is a Professional Engineer, the term "Engineer" shall be substituted for the term "Architect" wherever it appears in this document.

- C. COMMISSION:** The former Alabama Building Commission, for which the Alabama Division of Construction Management has been designated by the Legislature as its successor.
- D. CONTRACT:** The Contract is the embodiment of the Contract Documents. The Contract represents the entire and integrated agreement between the Owner and Contractor and supersedes any prior written or oral negotiations, representations or agreements that are not incorporated into the Contract Documents. The Contract may be amended only by a Contract Change Order or a Modification to the Construction Contract. The contractual relationship which the Contract creates between the Owner and the Contractor extends to no other persons or entities. The Contract consists of the following Contract Documents, including all additions, deletions, and modifications incorporated therein before the execution of the Construction Contract:
- (1) Construction Contract
  - (2) Performance and Payment Bonds
  - (3) Conditions of the Contract (General, Supplemental, and other Conditions)
  - (4) Specifications
  - (5) Drawings
  - (6) Contract Change Orders
  - (7) Modifications to the Construction Contract (applicable to PSCA Projects)
- E. CONTRACT SUM:** The Contract Sum is the total amount payable by the Owner to the Contractor for performance of the Work under the Contract Documents. The term “Contract Sum” means the Contract Sum stated in the Construction Contract as may have been increased or decreased by Change Order(s) in accordance with the Contract Documents.
- F. CONTRACT TIME:** The Contract Time is the period of time in which the Contractor must achieve Substantial Completion of the Work. The date on which the Contract Time begins is specified in the written Notice To Proceed issued to the Contractor by the Owner or Director. The Date of Substantial Completion is the date established in accordance with Article 32. The term “Contract Time” means the Contract Time stated in the Construction Contract as may have been extended by Change Order(s) in accordance with the Contract Documents. The term “day” as used in the Contract Documents shall mean calendar day unless otherwise specifically defined.
- G. CONTRACTOR:** The Contractor is the person or persons, firm, partnership, joint venture, association, corporation, cooperative, limited liability company, or other legal entity, identified as such in the Construction Contract. The term “Contractor” means the Contractor or the Contractor’s authorized representative.
- H. DCM:** The Alabama Division of Construction Management.
- I. DCM PROJECT INSPECTOR:** The member of the Technical Staff of the Alabama Division of Construction Management to whom the Project is assigned relative to executing the respective inspections and authorities described in Article 16, Inspection of the Work.
- J. DEFECTIVE WORK:** The term “Defective Work” shall apply to: (1) any product, material, system, equipment, or service, or its installation or performance, which does not conform to the requirements of the Contract Documents, (2) in-progress or completed Work the workmanship of which does not conform to the quality specified or, if not specified, to the quality produced by skilled workers performing work of a similar nature on similar projects in the state, (3) substitutions and deviations not properly submitted and approved or otherwise authorized, (4) temporary

supports, structures, or construction which will not produce the results required by the Contract Documents, and (5) materials or equipment rendered unsuitable for incorporation into the Work due to improper storage or protection.

- K. DIRECTOR:** The Director of the Alabama Division of Construction Management.
- L. DRAWINGS:** The Drawings are the portions of the Contract Documents showing graphically the design, location, layout, and dimensions of the Work, in the form of plans, elevations, sections, details, schedules, and diagrams.
- M. NOTICE TO PROCEED:** A proceed order issued by the Owner or Director, as applicable, fixing the date on which the Contractor shall begin the prosecution of the Work, which is also the date on which the Contract Time shall begin.
- N. OWNER:** The Owner is the entity or entities identified as such in the Construction Contract and is referred to throughout the Contract Documents as if singular in number. The term “Owner” means the Owner or the Owner’s authorized representative. The term “Owner” as used herein shall be synonymous with the term “Awarding Authority” as defined and used in Title 39 - Public Works, Code of Alabama, 1975, as amended.
- O. THE PROJECT:** The Project is the total construction of which the Work required by these Contract Documents may be the entirety or only a part with other portions to be constructed by the Owner or separate contractors.
- P. PROJECT MANUAL:** The Project Manual is the volume usually assembled for the Work which may include the Advertisement for Bids, Instructions to Bidders, sample forms, General Conditions of the Contract, Supplementary Conditions, and Specifications of the Work.
- Q. SPECIFICATIONS:** The Specifications are that portion of the Contract Documents which set forth in writing the standards of quality and performance of products, equipment, materials, systems, and services and workmanship required for acceptable performance of the Work.
- R. SUBCONTRACTOR:** A Subcontractor is a person or entity who is undertaking the performance of any part of the Work by virtue of a contract with the Contractor. The term “Subcontractor” means a Subcontractor or its authorized representatives.
- S. THE WORK:** The Work is the construction and services required by the Contract Documents and includes all labor, materials, supplies, equipment, and other items and services as are necessary to produce the required construction and to fulfill the Contractor’s obligations under the Contract. The Work may constitute the entire Project or only a portion of it.

## **ARTICLE 2**

### **INTENT and INTERPRETATION of the CONTRACT DOCUMENTS**

#### **A. INTENT**

It is the intent of the Contract Documents that the Contractor shall properly execute and complete the Work described by the Contract Documents, and unless otherwise provided in the Contract, the

Contractor shall provide all labor, materials, equipment, tools, construction equipment and machinery, water, heat, utilities, transportation, and other facilities and services, whether temporary or permanent and whether or not incorporated or to be incorporated in the Work, in full accordance with the Contract Documents and reasonably inferable from them as being necessary to produce the indicated results.

**B. COMPLEMENTARY DOCUMENTS**

The Contract Documents are complementary. If Work is required by one Contract Document, the Contractor shall perform the Work as if it were required by all of the Contract Documents. However, the Contractor shall be required to perform Work only to the extent that is consistent with the Contract Documents and reasonably inferable from them as being necessary to produce the indicated results.

**C. ORDER of PRECEDENCE**

Should any discrepancy arise between the various elements of the Contract Documents, precedence shall be given to them in the following order unless to do so would contravene the apparent Intent of the Contract Documents stated in preceding Paragraph A:

- (1) The Construction Contract.
- (2) Addenda, with those of later date having precedence over those of earlier date.
- (3) Supplementary Conditions (or other Conditions which modify the General Conditions of the Contract).
- (4) General Conditions of the Contract.
- (5) The Specifications.
- (6) Details appearing on the Drawings; large scale details shall take precedence over smaller scale details.
- (7) The Drawings; large scale drawings shall take precedence over smaller scale drawings.

**D. ORGANIZATION**

Except as may be specifically stated within the technical specifications, neither the organization of the Specifications into divisions, sections, or otherwise, nor any arrangement of the Drawings shall control how the Contractor subcontracts portions of the Work or assigns Work to any trade.

**E. INTERPRETATION**

(1) The Contract Documents shall be interpreted collectively, each part complementing the others and consistent with the Intent of the Contract Documents stated in preceding Paragraph A. Unless an item shown or described in the Contract Documents is specifically identified to be furnished or installed by the Owner or others or is identified as "Not In Contract" ("N.I.C."), the Contractor's obligation relative to that item shall be interpreted to include furnishing, assembling, installing, finishing, and/or connecting the item at the Contractor's expense to produce a product or system that is complete, appropriately tested, and in operative condition ready for use or subsequent construction or operation of the Owner or separate contractors. The omission of words or phrases for brevity of the Contract Documents, the inadvertent omission of words or phrases, or obvious typographical or written errors shall not defeat such interpretation as long as it is reasonably inferable from the Contract Documents as a whole.

(2) Words or phrases used in the Contract Documents which have well-known technical or

construction industry meanings are to be interpreted consistent with such recognized meanings unless otherwise indicated.

(3) Except as noted otherwise, references to standard specifications or publications of associations, bureaus, or organizations shall mean the latest edition of the referenced standard specification or publication as of the date of the Advertisement for Bids.

(4) In the case of inconsistency between Drawings and Specifications or within either document not clarified by addendum, the better quality or greater quantity of Work shall be provided in accordance with the Architect's interpretation.

(5) Any portions of the Contract Documents written in longhand must be initialed by all parties..

(6) Any doubt as to the meaning of the Contract Documents or any obscurity as to the wording of them, shall be promptly submitted in writing to the Architect for written interpretation, explanation, or clarification.

**F. SEVERABILITY.**

The partial or complete invalidity of any one or more provision of this Contract shall not affect the validity or continuing force and effect of any other provision.

**ARTICLE 3**  
**CONTRACTOR'S REPRESENTATIONS**

By executing the Construction Contract the Contractor represents to the Owner:

- A. The Contractor has visited the site of the Work to become familiar with local conditions under which the Work is to be performed and to evaluate reasonably observable conditions as compared with requirements of the Contract Documents.
- B. The Contractor shall use its best skill and attention to perform the Work in an expeditious manner consistent with the Contract Documents.
- C. The Contractor is an independent contractor and in performance of the Contract remains and shall act as an independent contractor having no authority to represent or obligate the Owner in any manner unless authorized by the Owner in writing.

**ARTICLE 4**  
**DOCUMENTS FURNISHED to CONTRACTOR**

Unless otherwise provided in the Contract Documents, twenty sets of Drawings and Project Manuals will be furnished to the Contractor by the Architect without charge. Other copies requested will be furnished at reproduction cost.

**ARTICLE 5**  
**OWNERSHIP of DRAWINGS**

All original or duplicated Drawings, Specifications, and other documents prepared by the Architect, and furnished to the Contractor are the property of the Architect and are to be used solely for this Project and not to be used in any manner for other work. Upon completion of the Work, all copies of Drawings and Specifications, with the exception of the Contractor's record set, shall be returned or accounted for by the Contractor to the Architect, on request.

**ARTICLE 6**  
**SUPERVISION, SUPERINTENDENT, and EMPLOYEES**

**A. SUPERVISION and CONSTRUCTION METHODS**

(1) The term "Construction Methods" means the construction means, methods, techniques, sequences, and procedures utilized by the Contractor in performing the Work. The Contractor is solely responsible for supervising and coordinating the performance of the Work, including the selection of Construction Methods, unless the Contract Documents give other specific instructions concerning these matters.

(2) The Contractor is solely and completely responsible for job site safety, including the protection of persons and property in accordance with Article 14.

(3) The Contractor shall be responsible to the Owner for acts and omissions of not only the Contractor and its agents and employees, but all persons and entities, and their agents and employees, who are performing portions of the Work for or on behalf of the Contractor or any of its Subcontractors.

(4) The Contractor shall be responsible to inspect the in-progress and completed Work to verify its compliance with the Contract Documents and to insure that any element or portion of the Work upon which subsequent Work is to be applied or performed is in proper condition to receive the subsequent Work.

**B. SUPERINTENDENT**

(1) The Contractor shall employ and maintain a competent level of supervision for the performance of the Work at the Project site, including a superintendent who shall:

(a) have full authority to receive instructions from the Architect or Owner and to act on those instructions and (b) be present at the Project site at all times during which Work is being performed.

(2) Before beginning performance of the Work, the Contractor shall notify the Architect in writing of the name and qualifications of its proposed superintendent so that the Owner may review the individual's qualifications. If, for reasonable cause, the Owner refuses to approve the individual, or withdraws its approval after once giving it, the Contractor shall name a different superintendent for the Owner's review and approval. Any disapproved superintendent will not perform in that capacity thereafter at the Project site.

**C. EMPLOYEES**

The Contractor shall permit only fit and skilled persons to perform the Work. The Contractor shall enforce safety procedures, strict discipline, and good order among persons performing the Work. The Contractor will remove from its employment on the Project any person who deliberately or persistently produces non-conforming Work or who fails or refuses to conform to reasonable rules of personal conduct contained in the Contract Documents or implemented by the Owner and delivered to the Contractor in writing during the course of the Work.

**ARTICLE 7**

**REVIEW of CONTRACT DOCUMENTS and FIELD CONDITIONS by CONTRACTOR**

- A. In order to facilitate assembly and installation of the Work in accordance with the Contract Documents, before starting each portion of the Work, the Contractor shall examine and compare the relevant Contract Documents, and compare them to relevant field measurements made by the Contractor and any conditions at the site affecting that portion of the Work.
- B. If the Contractor discovers any errors, omissions, or inconsistencies in the Contract Documents, the Contractor shall promptly report them to the Architect as a written request for information that includes a detailed statement identifying the specific Drawings or Specifications that are in need of clarification and the error, omission, or inconsistency discovered in them.
- (1) The Contractor shall not be expected to act as a licensed design professional and ascertain whether the Contract Documents comply with applicable laws, statutes, ordinances, building codes, and rules and regulations, but the Contractor shall be obligated to promptly notify the Architect of any such noncompliance discovered by or made known to the Contractor. If the Contractor performs Work without fulfilling this notification obligation, the Contractor shall pay the resulting costs and damages that would have been avoided by such notification.
- (2) The Contractor shall not be liable to the Owner for errors, omissions, or inconsistencies that may exist in the Contract Documents, or between the Contract Documents and conditions at the site, unless the Contractor knowingly fails to report a discovered error, omission, or inconsistency to the Architect, in which case the Contractor shall pay the resulting costs and damages that would have been avoided by such notification.
- C. If the Contractor considers the Architect's response to a request for information to constitute a change to the Contract Documents involving additional costs and/or time, the Contractor shall follow the procedures of Article 20, Claims for Extra Cost or Extra Work.
- D. If, with undue frequency, the Contractor requests information that is obtainable through reasonable examination and comparison of the Contract Documents, site conditions, and previous correspondence, interpretations, or clarifications, the Contractor shall be liable to the Owner for reasonable charges from the Architect for the additional services required to review, research, and respond to such requests for information.

**ARTICLE 8**  
**SURVEYS by CONTRACTOR**

- A. The Contractor shall provide competent engineering services to assure accurate execution of the Work in accordance with the Contract Documents. The Contractor shall verify the figures given for the contours, approaches and locations shown on the Drawings before starting any Work and be responsible for the accuracy of the finished Work. Without extra cost to the Owner, the Contractor shall engage a licensed surveyor if necessary to verify boundary lines, keep within property lines, and shall be responsible for encroachments on rights or property of public or surrounding property owners.
- B. The Contractor shall establish all base lines for the location of the principal components of the Work and make all detail surveys necessary for construction, including grade stakes, batter boards and other working points, lines and elevations. If the Work involves alteration of or addition to existing structures or improvements, the Contractor shall locate and measure elements of the existing conditions as is necessary to facilitate accurate fabrication, assembly, and installation of new Work in the relationship, alignment, and/or connection to the existing structure or improvement as is shown in the Contract Documents.

**ARTICLE 9**  
**SUBMITTALS**

- A. Where required by the Contract Documents, the Contractor shall submit shop drawings, product data, samples and other information (hereinafter referred to as Submittals) to the Architect for the purpose of demonstrating the way by which the Contractor proposes to conform to the requirements of the Contract Documents. Submittals which are not required by the Contract Documents may be returned by the Architect without action.
- B. The Contractor shall be responsible to the Owner for the accuracy of its Submittals and the conformity of its submitted information to the requirements of the Contract Documents. Each Submittal shall bear the Contractor's approval, evidencing that the Contractor has reviewed and found the information to be in compliance with the requirements of the Contract Documents. Submittals which are not marked as reviewed and approved by the Contractor may be returned by the Architect without action.
- C. The Contractor shall prepare and deliver its submittals to the Architect sufficiently in advance of construction requirements and in a sequence as to cause no delay in the Work or in the activities of the Owner or of separate contractors. In coordinating the Submittal process with its construction schedule, the Contractor shall allow sufficient time to permit adequate review by the Architect.
- D. By approving a Submittal the Contractor represents not only that the element of Work presented in the Submittal complies with the requirements of the Contract Documents, but also that the Contractor has:
  - (1) found the layout and/or dimensions in the Submittal to be comparable with those in the Contract Documents and other relevant Submittals and has made field measurements as necessary to verify their accuracy, and
  - (2) determined that products, materials, systems, equipment and/or procedures presented in the Submittal are compatible with those presented, or being presented, in other relevant Submittals and



with the Contractor's intended Construction Methods.

- E. The Contractor shall not fabricate or perform any portion of the Work for which the Contract Documents require Submittals until the respective Submittals have been approved by the Architect.
- F. In the case of a resubmission, the Contractor shall direct specific attention to all revisions in a Submittal. The Architect's approval of a resubmission shall not apply to any revisions that were not brought to the Architect's attention.
- G. If the Contract Documents specify that a Submittal is to be prepared and sealed by a registered architect or licensed engineer retained by the Contractor, all drawings, calculations, specifications, and certifications of the Submittal shall bear the Alabama seal of registration and signature of the registered/licensed design professional who prepared them or under whose supervision they were prepared. The Owner and the Architect shall be entitled to rely upon the adequacy, accuracy and completeness of such a Submittal, provided that all performance and design criteria that such Submittal must satisfy are sufficiently specified in the Contract Documents. The Architect will review, approve or take other appropriate action on such a Submittal only for the limited purpose of checking for conformance with information given and the design concept expressed in the Contract Documents. The Contractor shall not be responsible for the adequacy of the performance or design criteria specified in the Contract Documents.

#### **H. DEVIATIONS**

(1) The Architect is authorized by the Owner to approve "minor" deviations from the requirements of the Contract Documents. "Minor" deviations are defined as those which are in the interest of the Owner, do not materially alter the quality or performance of the finished Work, and do not affect the cost or time of performance of the Work. Deviations which are not "minor" may be authorized only by the Owner through the Change Order procedures of Article 19.

(2) Any deviation from the requirements of the Contract Documents contained in a Submittal shall be clearly identified as a "Deviation from Contract Requirements" (or by similar language) within the Submittal and, in a letter transmitting the Submittal to the Architect, the Contractor shall direct the Architect's attention to, and request specific approval of, the deviation. Otherwise, the Architect's approval of a Submittal does not constitute approval of deviations from the requirements of the Contract Documents contained in the Submittal.

(3) The Contractor shall bear all costs and expenses of any changes to the Work, changes to work performed by the Owner or separate contractors, or additional services by the Architect required to accommodate an approved deviation unless the Contractor has specifically informed the Architect in writing of the required changes and a Change Order has been issued authorizing the deviation and accounting for such resulting changes and costs.

#### **I. ARCHITECT'S REVIEW and APPROVAL**

(1) The Architect will review the Contractor's Submittals for conformance with requirements of, and the design concept expressed in, the Contract Documents and will approve or take other appropriate action upon them. This review is not intended to verify the accuracy and completeness of details such as dimensions and quantities nor to substantiate installation instructions or performance of equipment or systems, all of which remain the responsibility of the Contractor. However, the Architect shall advise the Contractor of any errors or omissions which the Architect

may detect during this review. The Architect's approval of a specific item shall not indicate approval of an assembly of which the item is a component.

(2) The Architect will review and respond to all Submittals with reasonable promptness to avoid delay in the Work or in the activities of the Owner, Contractor or separate contractors, while allowing sufficient time to permit adequate review.

(3) No corrections or changes to Submittals indicated by the Architect will be considered as authorizations to perform Extra Work. If the Contractor considers such correction or change of a Submittal to require Work which differs from the requirements of the Contract Documents, the Contractor shall promptly notify the Architect in writing in accordance with Article 20, Claims for Extra Cost or Extra Work.

**J. CONFORMANCE with SUBMITTALS**

The Work shall be constructed in accordance with approved Submittals.

**ARTICLE 10**  
**DOCUMENTS and SAMPLES at the SITE**

**A. "AS ISSUED" SET**

The Contractor shall maintain at the Project site, in good order, at least one copy of all Addenda, Change Orders, supplemental drawings, written directives and clarifications, and approved Submittals intact as issued, and an updated construction schedule.

**B. "POSTED" SET**

The Contractor shall maintain at the Project site, in good order, at least one set of the Drawings and Project Manual into which the Contractor has "posted"(incorporated) all Addenda, Change Orders, supplemental drawings, clarifications, and other information pertinent to the proper performance of the Work. The Contractor shall assure that all sets of the Drawings and Project Manuals being used by the Contractor, Subcontractors, and suppliers are "posted" with the current information to insure that updated Contract Documents are used for performance of the Work.

**C. RECORD SET**

One set of the Drawings and Project Manual described in Paragraph B shall be the Contractor's record set in which the Contractor shall record all field changes, corrections, selections, final locations, and other information as will be duplicated on the "As-built" documents required under Article 11. The Contractor shall record such "as-built" information in its record set as it becomes available through progress of the Work. The Contractor's performance of this requirement shall be subject to confirmation by the Architect at any time as a prerequisite to approval of Progress Payments.

**D.** The documents and samples required by this Article to be maintained at the Project site shall be readily available to the Architect, Owner, DCM Project Inspector, and their representatives.

**ARTICLE 11**  
**“AS-BUILT” DOCUMENTS**

- A. Unless otherwise provided in the Contract Documents, the Contractor shall deliver two (2) sets of “As-built” documents, as described herein, to the Architect for submission to the Owner upon completion of the Work. Each set of “As-built” documents shall consist of a copy of the Drawings and Project Manual, in like-new condition, into which the Contractor has neatly incorporated all Addenda, Change Orders, supplemental drawings, clarifications, field changes, corrections, selections, actual locations of underground utilities, and other information as required herein or specified elsewhere in the Contract Documents.
- B. The Contractor shall use the following methods for incorporating information into the “As-built” documents:
- (1) Drawings**
- (a)** To the greatest extent practicable, information shall be carefully drawn and lettered, in ink, on the Drawings in the form of sketches, details, plans, notes, and dimensions as required to provide a fully dimensioned record of the Work. When required for clarity, sketches, details, or partial plans shall be drawn on supplemental sheets and bound into the Drawings and referenced on the drawing being revised.
- (b)** Where a revised drawing has been furnished by the Architect, the drawing of latest date shall be bound into the Drawings in the place of the superseded drawing.
- (c)** Where a supplemental drawing has been furnished by the Architect, the supplemental drawing shall be bound into the Drawings in an appropriate location and referred to by notes added to the drawing being supplemented.
- (d)** Where the Architect has furnished details, partial plans, or lengthy notes of which it would be impractical for the Contractor to redraw or letter on a drawing, such information may be affixed to the appropriate drawing with transparent tape if space is available on the drawing.
- (e)** Any entry of information made in the Drawings that is the result of an Addendum or Change Order, shall identify the Addendum or Change Order from which it originated.
- (2) Project Manual**
- (a)** A copy of all Addenda and Change Orders, excluding drawings thereof, shall be bound in the front of the Project Manual.
- (b)** Where a document, form, or entire specification section is revised, the latest issue shall be bound into the Project Manual in the place of the superseded issue.
- (c)** Where information within a specification section is revised, the deleted or revised information shall be drawn through in ink and an adjacent note added identifying the Addendum or Change Order containing the revised information.
- C. Within ten days after the Date of Substantial Completion of the Work, or the last completed portion of the Work, the Contractor shall submit the “As-built” documents to the Architect for approval. If the Architect requires that any corrections be made, the documents will be returned in a reasonable time for correction and resubmission.

**ARTICLE 12**  
**PROGRESS SCHEDULE**

(Not applicable if the Contract Time is 60 days or less.)

- A. The Contractor shall within fifteen days after the date of commencement stated in the Notice to Proceed, or such other time as may be provided in the Contract Documents, prepare and submit to the Architect for review and approval a practicable construction schedule informing the Architect and Owner of the order in which the Contractor plans to carry on the Work within the Contract Time. The Architect's review and approval of the Contractor's construction schedule shall be only for compliance with the specified format, Contract Time, and suitability for monitoring progress of the Work and shall not be construed as a representation that the Architect has analyzed the schedule to form opinions of sequences or durations of time represented in the schedule.
- B. If a schedule format is not specified elsewhere in the Contract Documents, the construction schedule shall be prepared using DCM Form C-11, "Sample Progress Schedule and Report", (contained in the Project Manual) or similar format of suitable scale and detail to indicate the percentage of Work scheduled to be completed at the end of each month. At the end of each month the Contractor shall enter the actual percentage of completion on the construction schedule submit two copies to the Architect, and attach one copy to each copy of the monthly Application for Payment. The construction schedule shall be revised to reflect any agreed extensions of the Contract Time or as required by conditions of the Work.
- C. If a more comprehensive schedule format is specified elsewhere in the Contract Documents or voluntarily employed by the Contractor, it may be used in lieu of DCM Form C-11.
- D. The Contractor's construction schedule shall be used by the Contractor, Architect, and Owner to determine the adequacy of the Contractor's progress. The Contractor shall be responsible for maintaining progress in accordance with the currently approved construction schedule and shall increase the number of shifts, and/or overtime operations, days of work, and/or the amount of construction plant and equipment as may be necessary to do so. If the Contractor's progress falls materially behind the currently approved construction schedule and, in the opinion of the Architect or Owner, the Contractor is not taking sufficient steps to regain schedule, the Architect may, with the Owner's concurrence, issue the Contractor a Notice to Cure pursuant to Article 27. In such a Notice to Cure the Architect may require the Contractor to submit such supplementary or revised construction schedules as may be deemed necessary to demonstrate the manner in which schedule will be regained.

**ARTICLE 13**  
**EQUIPMENT, MATERIALS, and SUBSTITUTIONS**

- A. Every part of the Work shall be executed in a workmanlike manner in accordance with the Contract Documents and approved Submittals. All materials used in the Work shall be furnished in sufficient quantities to facilitate the proper and expeditious execution of the Work and shall be new except such materials as may be expressly provided or allowed in the Contract Documents to be otherwise.
- B. Whenever a product, material, system, item of equipment, or service is identified in the Contract Documents by reference to a trade name, manufacturer's name, model number, etc.(hereinafter

referred to as “source”), and only one or two sources are listed, or three or more sources are listed and followed by “or approved equal” or similar wording, it is intended to establish a required standard of performance, design, and quality, and the Contractor may submit, for the Architect’s approval, products, materials, systems, equipment, or services of other sources which the Contractor can prove to the Architect’s satisfaction are equal to, or exceed, the standard of performance, design and quality specified, unless the provisions of Paragraph D below apply. Such proposed substitutions are not to be purchased or installed without the Architect’s written approval of the substitution.

- C. If the Contract Documents identify three or more sources for a product, material, system, item of equipment or service to be used and the list of sources is not followed by “or approved equal” or similar wording, the Contractor may make substitution only after evaluation by the Architect and execution of an appropriate Contract Change Order.
- D. If the Contract Documents identify only one source and expressly provide that it is an approved sole source for the product, material, system, item of equipment, or service, the Contractor must furnish the identified sole source.

#### **ARTICLE 14**

#### **SAFETY and PROTECTION of PERSONS and PROPERTY**

- A. The Contractor shall be solely and completely responsible for conditions at the Project site, including safety of all persons (including employees) and property. The Contractor shall create, maintain, and supervise conditions and programs to facilitate and promote safe execution of the Work, and shall supervise the Work with the attention and skill required to assure its safe performance. Safety provisions shall conform to OSHA requirements and all other federal, state, county, and local laws, ordinances, codes, and regulations. Where any of these are in conflict, the more stringent requirement shall be followed. Nothing contained in this Contract shall be construed to mean that the Owner has employed the Architect nor has the Architect employed its consultants to administer, supervise, inspect, or take action regarding safety programs or conditions at the Project site.
- B. The Contractor shall employ Construction Methods, safety precautions, and protective measures that will reasonably prevent damage, injury or loss to:
  - (1) workers and other persons on the Project site and in adjacent and other areas that may be affected by the Contractor’s operations;
  - (2) the Work and materials and equipment to be incorporated into the Work and stored by the Contractor on or off the Project site; and
  - (3) other property on, or adjacent to, the Project site, including trees, shrubs, lawns, walks, pavements, roadways, structures, utilities, and other improvements not designated in the Contract Documents to be removed, relocated, or replaced.
- C. The Contractor shall be responsible for the prompt remedy of damage and loss to property, including the filing of appropriate insurance claims, caused in whole or in part by the fault or negligence of the Contractor, a Subcontractor, or anyone for whose acts they may be liable.

- D. The Contractor shall comply with and give notices required by applicable laws, ordinances, rules, regulations and lawful orders of public authorities bearing on safety and protection of persons or property, including without limitation notices to adjoining property owners of excavation or other construction activities that potentially could cause damage or injury to adjoining property or persons thereon.
- E. The Contractor shall erect and maintain barriers, danger signs, and any other reasonable safeguards and warnings against hazards as may be required for safety and protection during performance of the Contract and shall notify owners and users of adjacent sites and utilities of conditions that may exist or arise which may jeopardize their safety.
- F. If use or storage of explosives or other hazardous materials or equipment or unusual Construction Methods are necessary for execution of the Work, the Contractor shall exercise commensurate care and employ supervisors and workers properly qualified to perform such activity.
- G. The Contractor shall furnish a qualified safety representative at the Project site whose duties shall include the prevention of accidents. The safety representative shall be the Contractor's superintendent, unless the Contractor assigns this duty to another responsible member of its on-site staff and notifies the Owner and Architect in writing of such assignment.
- H. The Contractor shall not permit a load to be applied, or forces introduced, to any part of the construction or site that may cause damage to the construction or site or endanger safety of the construction, site, or persons on or near the site.
- I. The Contractor shall have the right to act as it deems appropriate in emergency situations jeopardizing life or property. The Contractor shall be entitled to equitable adjustment of the Contract Sum or Contract Time for its efforts expended for the sole benefit of the Owner in an emergency. Such adjustment shall be determined as provided in Articles 19 and 20.
- J. The duty of the Architect and the Architect's consultants to visit the Project site to conduct periodic inspections of the Work or for other purposes shall not give rise to a duty to review or approve the adequacy of the Contractor's safety program, safety supervisor, or any safety measure which Contractor takes or fails to take in, on, or near the Project site.

## **ARTICLE 15**

### **HAZARDOUS MATERIALS**

- A. A Hazardous Material is any substance or material identified as hazardous under any federal, state, or local law or regulation, or any other substance or material which may be considered hazardous or otherwise subject to statutory or regulatory requirements governing its handling, disposal, and/or clean-up. Existing Hazardous Materials are Hazardous Materials discovered at the Project site and not introduced to the Project site by the Contractor, a Subcontractor, or anyone for whose acts they may be liable.
- B. If, during the performance of the Work, the Contractor encounters a suspected Existing Hazardous Material, the Contractor shall immediately stop work in the affected area, take measures appropriate to the condition to keep people away from the suspected Existing Hazardous Material, and

immediately notify the Architect and Owner of the condition in writing.

- C. The Owner shall obtain the services of an independent laboratory or professional consultant, appropriately licensed and qualified, to determine whether the suspected material is a Hazardous Material requiring abatement and, if so, to certify after its abatement that it has been rendered harmless. Any abatement of Existing Hazardous Materials will be the responsibility of the Owner. The Owner will advise the Contractor in writing of the persons or entities who will determine the nature of the suspected material and those who will, if necessary, perform the abatement. The Owner will not employ persons or entities to perform these services to whom the Contractor or Architect has reasonable objection.
- D. After certification by the Owner's independent laboratory or professional consultant that the material is harmless or has been rendered harmless, work in the affected area shall resume upon written agreement between the Owner and Contractor. If the material is found to be an Existing Hazardous Material and the Contractor incurs additional cost or delay due to the presence and abatement of the material, the Contract Sum and/or Contract Time shall be appropriately adjusted by a Contract Change Order pursuant to Article 19.
- E. The Owner shall not be responsible for Hazardous Materials introduced to the Project site by the Contractor, a Subcontractor, or anyone for whose acts they may be liable unless such Hazardous Materials were required by the Contract Documents.

## **ARTICLE 16**

### **INSPECTION of the WORK**

#### **A. GENERAL**

- (1) The Contractor is solely responsible for the Work's compliance with the Contract Documents; therefore, the Contractor shall be responsible to inspect in-progress and completed Work, and shall verify its compliance with the Contract Documents and that any element or portion of the Work upon which subsequent Work is to be applied or performed is in proper condition to receive the subsequent Work. Neither the presence nor absence of inspections by the Architect, Owner, Director, DCM Project Inspector, any public authority having jurisdiction, or their representatives shall relieve the Contractor of responsibility to inspect the Work, for responsibility for Construction Methods and safety precautions and programs in connection with the Work, or from any other requirement of the Contract Documents.
- (2) The Architect, Owner, Director, DCM Project Inspector, any public authority having jurisdiction, and their representatives shall have access at all times to the Work for inspection whenever it is in preparation or progress, and the Contractor shall provide proper facilities for such access and inspection. All materials, workmanship, processes of manufacture, and methods of construction, if not otherwise stipulated in the Contract Documents, shall be subject to inspection, examination, and test at any and all places where such manufacture and/or construction are being carried on. Such inspections will not unreasonably interfere with the Contractor's operations.
- (3) The Architect will inspect the Work as a representative of the Owner. The Architect's inspections may be supplemented by inspections by the DCM Project Inspector as a representative of the Alabama Division of Construction Management.

(4) The Contractor may be charged by the Owner for any extra cost of inspection incurred by the Owner or Architect on account of material and workmanship not being ready at the time of inspection set by the Contractor.

## **B. TYPES of INSPECTIONS**

(1) **SCHEDULED INSPECTIONS and CONFERENCES.** Scheduled Inspections and Conferences are conducted by the Architect, scheduled by the Architect in coordination with the Contractor and DCM Project Inspector, and are attended by the Contractor and applicable Subcontractors, suppliers and manufacturers, and the DCM Project Inspector. Scheduled Inspections and Conferences of this Contract include:

(a) **Pre-construction Conference.**

(b) **Pre-roofing Conference** (not applicable if the Contract involves no roofing work)

(c) **Above Ceiling Inspection(s):** An above ceiling inspection of all spaces in the building is required before the ceiling material is installed. Above ceiling inspections are to be conducted at a time when all above ceiling systems are complete and tested to the greatest extent reasonable pending installation of the ceiling material. System identifications and markings are to be complete. All fire-rated construction including fire-stopping of penetrations and specified identification above the ceiling shall be complete. Ceiling framing and suspension systems shall be complete with lights, grilles and diffusers, access panels, fire protection drops for sprinkler heads, etc., installed in their final locations to the greatest extent reasonable. Above ceiling framing to support ceiling mounted equipment shall be complete. The above ceiling construction shall be complete to the extent that after the inspection the ceiling material can be installed without disturbance.

(d) **Final Inspection(s):** A Final Inspection shall establish that the Work, or a designated portion of the Work, is Substantially Complete in accordance with Article 32 and is accepted by the Architect, Owner, and DCM Project Inspector as being ready for the Owner's occupancy or use. At the conclusion of this inspection, items requiring correction or completion ("punch list" items) shall be minimal and require only a short period of time for accomplishment to establish Final Acceptance of the Work. If the Work, or designated portion of the Work, includes the installation, or modification, of a fire alarm system or other life safety systems essential to occupancy, such systems shall have been tested and appropriately certified before the Final Inspection.

(e) **Year-end Inspection(s):** An inspection of the Work, or each separately completed portion thereof, is required near the end of the Contractor's one year warranty period(s). The subsequent delivery of the Architect's report of this inspection will serve as confirmation that the Contractor was notified of Defective Work found within the warranty period in accordance with Article 35.

(2) **PERIODIC INSPECTIONS.** Periodic Inspections are conducted throughout the course of the Work by the Architect, the Architect's consultants, their representatives, and the DCM Project Inspector, jointly or independently, with or without advance notice to the Contractor.

(3) **SPECIFIED INSPECTIONS and TESTS.** Specified Inspections and Tests include inspections, tests, demonstrations, and approvals that are either specified in the Contract Documents or required by laws, ordinances, rules, regulations, or orders of public authorities having jurisdiction, to be performed by the Contractor, one of its Subcontractors, or an independent testing laboratory or firm (whether paid for by the Contractor or Owner).

## **C. INSPECTIONS by the ARCHITECT**



- (1) The Architect is not authorized to revoke, alter, relax, or waive any requirements of the Contract Documents (other than “minor” deviations as defined in Article 9 and “minor” changes as defined in Article 19), to finally approve or accept any portion of the Work or to issue instructions contrary to the Contract Documents without concurrence of the Owner.
- (2) The Architect will visit the site at intervals appropriate to the stage of the Contractor’s operations and as otherwise necessary to:
  - (a) become generally familiar with the in-progress and completed Work and the quality of the Work,
  - (b) determine whether the Work is progressing in general accordance with the Contractor’s schedule and is likely to be completed within the Contract Time,
  - (c) visually compare readily accessible elements of the Work to the requirements of the Contract Documents to determine, in general, if the Contractor’s performance of the Work indicates that the Work will conform to the requirements of the Contract Documents when completed,
  - (d) endeavor to guard the Owner against Defective Work,
  - (e) review and address with the Contractor any problems in implementing the requirements of the Contract Documents that the Contractor may have encountered, and
  - (f) keep the Owner fully informed about the Project.
- (3) The Architect shall have the authority to reject Defective Work or require its correction, but shall not be required to make exhaustive investigations or examinations of the in-progress or completed portions of the Work to expose the presence of Defective Work. However, it shall be an obligation of the Architect to report in writing, to the Owner, Contractor, and DCM Project Inspector, any Defective Work recognized by the Architect.
- (4) The Architect shall have the authority to require the Contractor to stop work only when, in the Architect’s reasonable opinion, such stoppage is necessary to avoid Defective Work. The Architect shall not be liable to the Contractor or Owner for the consequences of any decisions made by the Architect in good faith either to exercise or not to exercise this authority.
- (5) “Inspections by the Architect” includes appropriate inspections by the Architect’s consultants as dictated by their respective disciplines of design and the stage of the Contractor’s operations.

**D. INSPECTIONS by the DCM PROJECT INSPECTOR**

- (1) The DCM Project Inspector will:
  - (a) participate in scheduled inspections and conferences as practicable,
  - (b) perform periodic inspections of in-progress and completed Work to ensure code compliance of the Project and general conformance of the Work with the Contract Documents, and
  - (c) monitor the Contractor's progress and performance of the Work.
- (2) The DCM Project Inspector shall have the authority to:
  - (a) reject Work that is not in compliance with the State Building Code adopted by the DCM, unless the Work is in accordance with the Contract Documents in which case the DCM Project Inspector will advise the Architect to initiate appropriate corrective action, and
  - (b) notify the Architect, Owner, and Contractor of Defective Work recognized by the DCM Project Inspector.

(3) The DCM Project Inspector's periodic inspections will usually be scheduled around key stages of construction based upon information reported by the Architect. As the Architect or Owner deems appropriate, the DCM Project Inspector, as well as other members of the Technical Staff, can be requested to schedule special inspections or meetings to address specific matters. The written findings of DCM Project Inspector will be transmitted to the Owner, Contractor, and Architect.

(4) The DCM Project Inspector is not authorized to revoke, alter, relax, or waive any requirements of the Contract Documents, to finally approve or accept any portion of the Work or to issue instructions contrary to the Contract Documents without concurrence of the Owner. The Contractor shall not proceed with Work as a result of instructions or findings of the DCM Project Inspector which the Contractor considers to be a change to the requirements of the Contract Documents without written authorization of the Owner through the Architect.

**E. UNCOVERING WORK**

(1) If the Contractor covers a portion of the Work before it is examined by the Architect and this is contrary to the Architect's request or specific requirements in the Contract Documents, then, upon written request of the Architect, the Work must be uncovered for the Architect's examination and be replaced at the Contractor's expense without change in the Contract Time.

(2) Without a prior request or specific requirement that Work be examined by the Architect before it is covered, the Architect may request that Work be uncovered for examination and the Contractor shall uncover it. If the Work is in accordance with the Contract Documents, the Contract Sum shall be equitably adjusted under Article 19 to compensate the Contractor for the costs of uncovering and replacement. If the Work is not in accordance with the Contract Documents, uncovering, correction, and replacement shall be at the Contractor's expense unless the condition was caused by the Owner or a separate contractor in which event the Owner shall be responsible for payment of such costs.

**F. SPECIFIED INSPECTIONS and TESTS**

(1) The Contractor shall schedule and coordinate Specified Inspections and Tests to be made at appropriate times so as not to delay the progress of the Work or the work of the Owner or separate contractors. If the Contract Documents require that a Specified Inspection or Test be witnessed or attended by the Architect or Architect's consultant, the Contractor shall give the Architect timely notice of the time and place of the Specified Inspection or Test. If a Specified Inspection or Test reveals that Work is not in compliance with requirements of the Contract Documents, the Contractor shall bear the costs of correction, repeating the Specified Inspection or Test, and any related costs incurred by the Owner, including reasonable charges, if any, by the Architect for additional services. Through appropriate Contract Change Order the Owner shall bear costs of tests, inspections or approvals which become Contract requirements subsequent to the receipt of bids.

(2) If the Architect, Owner, or public authority having jurisdiction determines that inspections, tests, demonstrations, or approvals in addition to Specified Inspections and Tests are required, the Contractor shall, upon written instruction from the Architect, arrange for their performance by an entity acceptable to the Owner, giving timely notice to the architect of the time and place of their performance. Related costs shall be borne by the Owner unless the procedures reveal that Work is

not in compliance with requirements of the Contract Documents, in which case the Contractor shall bear the costs of correction, repeating the procedures, and any related costs incurred by the Owner, including reasonable charges, if any, by the Architect for additional services.

(3) Unless otherwise required by the Contract Documents, required certificates of Specified Inspections and Tests shall be secured by the Contractor and promptly delivered to the Architect.

(4) Failure of any materials to pass Specified Inspections and Tests will be sufficient cause for refusal to consider any further samples of the same brand or make of that material for use in the Work.

## **ARTICLE 17**

### **CORRECTION of DEFECTIVE WORK**

- A. The Contractor shall, at the Contractor's expense, promptly correct Defective Work rejected by the Architect or which otherwise becomes known to the Contractor, removing the rejected or nonconforming materials and construction from the project site.
- B. Correction of Defective Work shall be performed in such a timely manner as will avoid delay of completion, use, or occupancy of the Work and the work of the Owner and separate contractors.
- C. The Contractor shall bear all expenses related to the correction of Defective Work, including but not limited to: (1) additional testing and inspections, including repeating Specified Inspections and Tests, (2) reasonable services and expenses of the Architect, and (3) the expense of making good all work of the Contractor, Owner, or separate contractors destroyed or damaged by the correction of Defective Work.

## **ARTICLE 18**

### **DEDUCTIONS for UNCORRECTED WORK**

If the Owner deems it advisable and in the Owner's interest to accept Defective Work, the Owner may allow part or all of such Work to remain in place, provided an equitable deduction from the Contract Sum, acceptable to the Owner, is offered by the Contractor.

## **ARTICLE 19**

### **CHANGES in the WORK**

#### **A. GENERAL**

(1) The Owner may at any time direct the Contractor to make changes in the Work which are within the general scope of the Contract, including changes in the Drawings, Specifications, or other portions of the Contract Documents to add, delete, or otherwise revise portions of the Work. The Architect is authorized by the Owner to direct "minor" changes in the Work by written order to the Contractor. "Minor" changes in the Work are defined as those which are in the interest of the Owner, do not materially alter the quality or performance of the finished Work, and do not affect the cost or time of performance of the Work. Changes in the Work which are not "minor" may be

authorized only by the Owner.

(2) If the Owner directs a change in the Work, the change shall be incorporated into the Contract by a Contract Change Order prepared by the Architect and signed by the Contractor, Owner, and other signatories to the Construction Contract, stating their agreement upon the change or changes in the Work and the adjustments, if any, in the Contract Sum and the Contract Time.

(3) Subject to compliance with Alabama's Public Works Law, the Owner may, upon agreement by the Contractor, incorporate previously unawarded bid alternates into the Contract.

(4) In the event of a claim or dispute as to the appropriate adjustment to the Contract Sum or Contract Time due to a directive to make changes in the Work, the Work shall proceed as provided in this article subject to subsequent agreement of the parties or final resolution of the dispute pursuant to Article 24.

(5) Consent of surety will be obtained for all Contract Change Orders involving an increase in the Contract Sum.

(6) Changes in the Work shall be performed under applicable provisions of the Contract Documents and the Contractor shall proceed promptly to perform changes in the Work, unless otherwise directed by the Owner through the Architect.

(7) All change orders require DCM Form C-12: Contract Change Order and DCM Form B-11: Change Order Justification. Only Change Orders 10% or greater of the current contract amount require the Owner's legal advisor's signature on DCM Form B-11: Change Order Justification.

## **B. DETERMINATION of ADJUSTMENT of the CONTRACT SUM**

The adjustment of the Contract Sum resulting from a change in the Work shall be determined by one of the following methods, or a combination thereof, as selected by the Owner:

(1) **Lump Sum.** By mutual agreement to a lump sum based on or negotiated from an itemized cost proposal from the Contractor. Additions to the Contract Sum shall include the Contractor's direct costs plus a maximum 15% markup for overhead and profit. Where subcontract work is involved the total mark-up for the Contractor and a Subcontractor shall not exceed 25%. **Changes which involve a net credit to the Owner shall include fair and reasonable credits for overhead and profit on the deducted work, in no case less than 5%.** For the purposes of this method of determining an adjustment of the Contract Sum, "overhead" shall cover the Contractor's indirect costs of the change, such as the cost of bonds, superintendent and other job office personnel, watchman, job office, job office supplies and expenses, temporary facilities and utilities, and home office expenses.

(2) **Unit Price.** By application of Unit Prices included in the Contract or subsequently agreed to by the parties. However, if the character or quantity originally contemplated is materially changed so that application of such unit price to quantities of Work proposed will cause substantial inequity to either party, the applicable unit price shall be equitably adjusted.

(3) **Force Account.** By directing the Contractor to proceed with the change in the Work on a "force account" basis under which the Contractor shall be reimbursed for reasonable expenditures incurred by the Contractor and its Subcontractors in performing added Work and the Owner shall

receive reasonable credit for any deleted Work. The Contractor shall keep and present, in such form as the Owner may prescribe, an itemized accounting of the cost of the change together with sufficient supporting data. Unless otherwise stated in the directive, the adjustment of the Contract Sum shall be limited to the following:

- (a) costs of labor and supervision, including employee benefits, social security, retirement, unemployment and workers' compensation insurance required by law, agreement, or under Contractor's or Subcontractor's standard personnel policy;
- (b) cost of materials, supplies and equipment, including cost of delivery, whether incorporated or consumed;
- (c) rental cost of machinery and equipment, not to exceed prevailing local rates if contractor-owned;
- (d) costs of premiums for insurance required by the Contract Documents, permit fees, and sales, use or similar taxes related to the change in the Work;
- (e) reasonable credits to the Owner for the value of deleted Work, without Contractor or Subcontractor mark-ups; and
- (f) for additions to the Contract Sum, mark-up of the Contractor's direct costs for overhead and profit not exceeding 15% on Contractor's work nor exceeding 25% for Contractor and Subcontractor on a Subcontractor's work. **Changes which involve a net credit to the Owner shall include fair and reasonable credits for overhead and profit on the deducted work, in no case less than 5%.** For the purposes of this method of determining an adjustment of the Contract Sum, "overhead" shall cover the Contractor's indirect costs of the change, such as the cost of insurance other than mentioned above, bonds, superintendent and other job office personnel, watchman, use and rental of small tools, job office, job office supplies and expenses, temporary facilities and utilities, and home office expenses.

**C. ADJUSTMENT of the CONTRACT TIME due to CHANGES**

(1) Unless otherwise provided in the Contract Documents, the Contract Time shall be equitably adjusted for the performance of a change provided that the Contractor notifies the Architect in writing that the change will increase the time required to complete the Work. Such notice shall be provided no later than:

- (a) with the Contractor's cost proposal stating the number of days of extension requested, or
- (b) within ten days after the Contractor receives a directive to proceed with a change in advance of submitting a cost proposal, in which case the notice should provide an estimated number of days of extension to be requested, which may be subject to adjustment in the cost proposal.

(2) The Contract Time shall be extended only to the extent that the change affects the time required to complete the entire Work of the Contract, taking into account the concurrent performance of the changed and unchanged Work.

**D. CHANGE ORDER PROCEDURES**

(1) If the Owner proposes to make a change in the Work, the Architect will request that the Contractor provide a cost proposal for making the change to the Work. The request shall be in writing and shall adequately describe the proposed change using drawings, specifications, narrative, or a combination thereof. Within 21 days after receiving such a request, or such other time as may be stated in the request, the Contractor shall prepare and submit to the Architect a written proposal, properly itemized and supported by sufficient substantiating data to facilitate evaluation. The stated

time within which the Contractor must submit a proposal may be extended if, within that time, the Contractor makes a written request with reasonable justification thereof.

(2) The Contractor may voluntarily offer a change proposal which, in the Contractor's opinion, will reduce the cost of construction, maintenance, or operation or will improve the cost-effective performance of an element of the Project, in which case the Owner, through the Architect, will accept, reject, or respond otherwise within 21 days after receipt of the proposal, or such other reasonable time as the Contractor may state in the proposal.

(3) If the Contractor's proposal is acceptable to the Owner, or is negotiated to the mutual agreement of the Contractor and Owner, the Architect will prepare an appropriate Contract Change Order for execution. Upon receipt of the fully executed Contract Change Order, the Contractor shall proceed with the change.

(4) In advance of delivery of a fully executed Contract Change Order, the Architect may furnish to the Contractor a written authorization to proceed with an agreed change. However, such an authorization shall be effective only if it:

- (a) identifies the Contractor's accepted or negotiated proposal for the change,
- (b) states the agreed adjustments, if any, in Contract Sum and Contract Time,
- (c) states that funds are available to pay for the change, and
- (d) is signed by the Owner.

(5) If the Contractor and Owner cannot agree on the amount of the adjustment in the Contract Sum for a change, the Owner, through the Architect, may order the Contractor to proceed with the change on a Force Account basis, but the net cost to the Owner shall not exceed the amount quoted in the Contractor's proposal. Such order shall state that funds are available to pay for the change.

(6) If the Contractor does not promptly respond to a request for a proposal, or the Owner determines that the change is essential to the final product of the Work and that the change must be effected immediately to avoid delay of the Project, the Owner may:

- (a) determine with the Contractor a sufficient maximum amount to be authorized for the change and
- (b) direct the Contractor to proceed with the change on a Force Account basis pending delivery of the Contractor's proposal, stating the maximum increase in the Contract Sum that is authorized for the change.

(7) Pending agreement of the parties or final resolution of any dispute of the total amount due the Contractor for a change in the Work, amounts not in dispute for such changes in the Work may be included in Applications for Payment accompanied by an interim Change Order indicating the parties' agreement with part of all of such costs or time extension. Once a dispute is resolved, it shall be implemented by preparation and execution of an appropriate Change Order.

## **ARTICLE 20**

### **CLAIMS for EXTRA COST or EXTRA WORK**

- A. If the Contractor considers any instructions by the Architect, Owner, DCM Project Inspector, or public authority having jurisdiction to be contrary to the requirements of the Contract Documents and will involve extra work and/or cost under the Contract, the Contractor shall give the Architect

written notice thereof within ten days after receipt of such instructions, and in any event before proceeding to execute such work. As used in this Article, “instructions” shall include written or oral clarifications, directions, instructions, interpretations, or determinations.

- B. The Contractor’s notification pursuant to Paragraph 20.A shall state: (1) the date, circumstances, and source of the instructions, (2) that the Contractor considers the instructions to constitute a change to the Contract Documents and why, and (3) an estimate of extra cost and time that may be involved to the extent an estimate may be reasonably made at that time.
- C. Except for claims relating to an emergency endangering life or property, no claim for extra cost or extra work shall be considered in the absence of prior notice required under Paragraph 20.A.
- D. Within ten days of receipt of a notice pursuant to Paragraph 20.A, the Architect will respond in writing to the Contractor, stating one of the following:
  - (1) The cited instruction is rescinded.
  - (2) The cited instruction is a change in the Work and in which manner the Contractor is to proceed with procedures of Article 19, Changes in the Work.
  - (3) The cited instruction is reconfirmed, is not considered by the Architect to be a change in the Contract Documents, and the Contractor is to proceed with Work as instructed.
- E. If the Architect’s response to the Contractor is as in Paragraph 20.D(3), the Contractor shall proceed with the Work as instructed. If the Contractor continues to consider the instructions to constitute a change in the Contract Documents, the Contractor shall, within ten days after receiving the Architect’s response, notify the Architect in writing that the Contractor intends to submit a claim pursuant to Article 24, Resolution of Claims and Disputes

## **ARTICLE 21**

### **DIFFERING SITE CONDITIONS**

#### **A. DEFINITION**

**“Differing Site Conditions” are:**

- (1) subsurface or otherwise concealed physical conditions at the Project site which differ materially from those indicated in the Contract Documents, or
- (2) unknown physical conditions at the Project site which are of an unusual nature, differing materially from conditions ordinarily encountered and generally recognized as inherent in construction activities of the character required by the Contract Documents.

#### **B. PROCEDURES**

If Differing Site Conditions are encountered, then the party discovering the condition shall promptly notify the other party before the condition is disturbed and in no event later than ten days after discovering the condition. Upon such notice and verification that a Differing Site Condition exists, the Architect will, with reasonable promptness and with the Owner’s concurrence, make changes in the Drawings and/or Specifications as are deemed necessary to conform to the Differing

Site Condition. Any increase or decrease in the Contract Sum or Contract Time that is warranted by the changes will be made as provided under Article 19, Changes in the Work. If the Architect determines a Differing Site Condition has not been encountered, the Architect shall notify the Owner and Contractor in writing, stating the reason for that determination.

## **ARTICLE 22** **CLAIMS for DAMAGES**

If either party to the Contract suffers injury or damage to person or property because of an act or omission of the other party, or of others for whose acts such party is legally responsible, written notice of such injury or damage, whether or not insured, shall be given to the other party within a reasonable time after the discovery. The notice shall provide sufficient detail to enable the other party to investigate the matter.

## **ARTICLE 23** **DELAYS**

- A. A delay beyond the Contractor's control at any time in the commencement or progress of Work by an act or omission of the Owner, Architect, or any separate contractor or by labor disputes, unusual delay in deliveries, unavoidable casualties, fires, abnormal floods, tornadoes, or other cataclysmic events of nature, may entitle the Contractor to an extension of the Contract Time provided, however, that the Contractor shall, within ten days after the delay first occurs, give written notice to the Architect of the cause of the delay and its probable effect on progress of the entire Work.
- B. Adverse weather conditions that are more severe than anticipated for the locality of the Work during any given month may entitle the Contractor to an extension of Contract Time provided, however;
  - (1) the weather conditions had an adverse effect on construction scheduled to be performed during the period in which the adverse weather occurred, which in reasonable sequence would have an effect on completion of the entire Work,
  - (2) the Contractor shall, within twenty-one days after the end of the month in which the delay occurs, give the Architect written notice of the delay that occurred during that month and its probable effect on progress of the Work, and
  - (3) within a reasonable time after giving notice of the delay, the Contractor provides the Architect with sufficient data to document that the weather conditions experienced were unusually severe for the locality of the Work during the month in question. Unless otherwise provided in the Contract Documents, data documenting unusually severe weather conditions shall compare actual weather conditions to the average weather conditions for the month in question during the previous five years as recorded by the National Oceanic and Atmospheric Administration (NOAA) or similar record-keeping entities.
- C. Adjustments, if any, of the Contract Time pursuant to this Article shall be incorporated into the Contract by a Contract Change Order prepared by the Architect and signed by the Contractor, Owner, and other signatories to the Construction Contract or, at closeout of the Contract, by mutual



written agreement between the Contractor and Owner. The adjustment of the Contract Time shall not exceed the extent to which the delay extends the time required to complete the entire Work of the Contract.

- D. The Contractor shall not be entitled to any adjustment of the Contract Sum for damage due to delays claimed pursuant to this Article unless the delay was caused by the Owner or Architect and was either:
- (1) the result of bad faith or active interference or
  - (2) beyond the contemplation of the parties and not remedied within a reasonable time after notification by the Contractor of its presence.

## **ARTICLE 24**

### **RESOLUTION of CLAIMS and DISPUTES**

#### **A. APPLICABILITY of ARTICLE**

(1) As used in this Article, "Claims and Disputes" include claims or disputes asserted by the Contractor, its Surety, or Owner arising out of or related to the Contract, or its breach, including without limitation claims seeking, under the provisions of the Contract, equitable adjustment of the Contract Sum or Contract Time and claims and disputes arising between the Contractor (or its Surety) and Owner regarding interpretation of the Contract Documents, performance of the Work, or breach of or compliance with the terms of the Contract.

(2) "Resolution" addressed in this Article applies only to Claims and Disputes arising between the Contractor (or its Surety) and Owner and asserted after execution of the Construction Contract and prior to the date upon which final payment is made. Upon making application for final payment the Contractor may reserve the right to subsequent Resolution of existing Claims by including a list of all Claims, in stated amounts, which remain to be resolved and specifically excluding them from any release of claims executed by the Contractor, and in that event Resolution may occur after final payment is made.

#### **B. CONTINUANCE of PERFORMANCE**

An unresolved Claim or Dispute shall not be just cause for the Contractor to fail or refuse to proceed diligently with performance of the Contract or for the Owner to fail or refuse to continue to make payments in accordance with the Contract Documents.

#### **C. GOOD FAITH EFFORT to SETTLE**

The Contractor and Owner agree that, upon the assertion of a Claim by the other, they will make a good faith effort, with the Architect's assistance and advice, to achieve mutual resolution of the Claim. If mutually agreed, the Contractor and Owner may endeavor to resolve a Claim through mediation. If efforts to settle are not successful, the Claim shall be resolved in accordance with paragraph D or E below, whichever applies.

#### **D. FINAL RESOLUTION for STATE-FUNDED CONTRACTS**

(1) If the Contract is funded in whole or in part with state funds, the final Resolution of Claims

and Disputes which cannot be resolved by the Contractor (or its Surety) and Owner shall be by the Director, whose decision shall be final, binding, and conclusive upon the Contractor, its Surety, and the Owner.

(2) When it becomes apparent to the party asserting a Claim (the Claimant) that an impasse to mutual resolution has been reached, the Claimant may request in writing to the Director that the Claim be resolved by decision of the Director. Such request by the Contractor (or its Surety) shall be submitted through the Owner. Should the Owner fail or refuse to submit the Contractor's request within ten days of receipt of same, the Contractor may forward such request directly to the Director. Upon receipt of a request to resolve a Claim, the Director will instruct the parties as to procedures to be initiated and followed.

(3) If the respondent to a Claim fails or refuses to participate or cooperate in the Resolution procedures to the extent that the Claimant is compelled to initiate legal proceedings to induce the Respondent to participate or cooperate, the Claimant will be entitled to recover, and may amend its Claim to include, the expense of reasonable attorney's fees so incurred.

#### **E. FINAL RESOLUTION for LOCALLY-FUNDED CONTRACTS**

If the Contract is funded in whole with funds provided by a city or county board of education or other local governmental authority and the Contract Documents do not stipulate a binding alternative dispute resolution method, the final resolution of Claims and Disputes which cannot be resolved by the Contractor (or its Surety) and Owner may be by any legal remedy available to the parties. Alternatively, upon the written agreement of the Contractor (or its Surety) and the Owner, final Resolution of Claims and Disputes may be by submission to binding arbitration before a neutral arbitrator or panel or by submission to the Director in accordance with preceding Paragraph D.

### **ARTICLE 25** **OWNER'S RIGHT to CORRECT DEFECTIVE WORK**

If the Contractor fails or refuses to correct Defective Work in a timely manner that will avoid delay of completion, use, or occupancy of the Work or work by the Owner or separate contractors, the Architect may give the Contractor written Notice to Cure the Defective Work within a reasonable, stated time. If within ten days after receipt of the Notice to Cure the Contractor has not proceeded and satisfactorily continued to cure the Defective Work or provided the Architect with written verification that satisfactory positive action is in process to cure the Defective Work, the Owner may, without prejudice to any other remedy available to the Owner, correct the Defective Work and deduct the actual cost of the correction from payment then or thereafter due to the Contractor.

### **ARTICLE 26** **OWNER'S RIGHT to STOP or SUSPEND the WORK**

#### **A. STOPPING the WORK for CAUSE**

If the Contractor fails to correct Defective Work or persistently fails to carry out Work in accordance with the Contract Documents, the Owner may direct the Contractor in writing to stop the Work, or any part of the Work, until the cause for the Owner's directive has been eliminated;

however, the Owner's right to stop the Work shall not be construed as a duty of the Owner to be exercised for the benefit of the Contractor or any other person or entity.

**B. SUSPENSION by the OWNER for CONVENIENCE**

- (1) The Owner may, at any time and without cause, direct the Contractor in writing to suspend, delay or interrupt the Work, or any part of the Work, for a period of time as the Owner may determine.
- (2) The Contract Sum and Contract Time shall be adjusted, pursuant to Article 19, for reasonable increases in the cost and time caused by an Owner-directed suspension, delay or interruption of Work for the Owner's convenience. However, no adjustment to the Contract Sum shall be made to the extent that the same or concurrent Work is, was or would have been likewise suspended, delayed or interrupted for other reasons not caused by the Owner.

**ARTICLE 27**  
**OWNER'S RIGHT to TERMINATE CONTRACT**

**A. TERMINATION by the OWNER for CAUSE**

- (1) **Causes:** The Owner may terminate the Contractor's right to complete the Work, or any designated portion of the Work, if the Contractor:
  - (a) should be adjudged bankrupt, or should make a general assignment for the benefit of the Contractor's creditors, or if a receiver should be appointed on account of the Contractor's insolvency to the extent termination for these reasons is permissible under applicable law;
  - (b) refuses or fails to prosecute the Work, or any part of the Work, with the diligence that will insure its completion within the Contract Time, including any extensions, or fails to complete the Work within the Contract Time;
  - (c) refuses or fails to perform the Work, including prompt correction of Defective Work, in a manner that will insure that the Work, when fully completed, will be in accordance with the Contract Documents;
  - (d) fails to pay for labor or materials supplied for the Work or to pay Subcontractors in accordance with the respective Subcontract;
  - (e) persistently disregards laws, ordinances, or rules, regulations or orders of a public authority having jurisdiction, or the instructions of the Architect or Owner; or
  - (f) is otherwise guilty of a substantial breach of the Contract.
- (2) **Procedure for Unbonded Construction Contracts (Generally, contracts less than \$50,000):**
  - (a) **Notice to Cure:** In the presence of any of the above conditions the Architect may give the Contractor written notice to cure the condition within a reasonable, stated time, but not less than ten days after the Contractor receives the notice.
  - (b) **Notice of Termination:** If, at the expiration of the time stated in the Notice to Cure, the Contractor has not proceeded and satisfactorily continued to cure the condition or provided the Architect with written verification that satisfactory positive action is in process to cure the condition, the Owner may, without prejudice to any other rights or remedies of the Owner, give the Contractor written notice that the Contractor's right to complete the Work, or a designated portion of the Work, shall terminate seven days after the Contractor's receipt of the

written Notice of Termination.

(c) If the Contractor satisfies a Notice to Cure, but the condition for which the notice was first given reoccurs, the Owner may give the Contractor a seven day Notice of Termination without giving the Contractor another Notice to Cure.

(d) At the expiration of the seven days of the termination notice, the Owner may:

.1 take possession of the site, of all materials and equipment stored on and off site, and of all Contractor-owned tools, construction equipment and machinery, and facilities located at the site, and

.2 finish the Work by whatever reasonable method the Owner may deem expedient.

(e) The Contractor shall not be entitled to receive further payment under the Contract until the Work is completed.

(f) If the Owner's cost of completing the Work, including correction of Defective Work, compensation for additional architectural, engineering, managerial, and administrative services, and reasonable attorneys' fees due to the default and termination, is less than the unpaid balance of the Contract Sum, the excess balance less liquidated damages for delay shall be paid to the Contractor. If such cost to the Owner including attorney's fees, plus liquidated damages, exceeds the unpaid balance of the Contract Sum, the Contractor shall pay the difference to the Owner. Final Resolution of any claim or Dispute involving the termination or any amount due any party as a result of the termination shall be pursuant to Article 24.

(g) Upon the Contractor's request, the Owner shall furnish to the Contractor a detailed accounting of the Owner's cost of completing the Work.

**(3) Procedure for Bonded Construction Contracts (Generally, contracts over \$50,000):**

(a) **Notice to Cure:** In the presence of any of the above conditions the Architect may give the Contractor and its Surety written Notice to Cure the condition within a reasonable, stated time, but not less than ten days after the Contractor receives the notice.

(b) **Notice of Termination:** If, at the expiration of the time stated in the Notice to Cure, the Contractor has not proceeded and satisfactorily continued to cure the condition or provided the Architect with written verification that satisfactory positive action is in process to cure the condition, the Owner may, without prejudice to any other rights or remedies of the Owner, give the Contractor and its Surety written notice declaring the Contractor to be in default under the Contract and stating that the Contractor's right to complete the Work, or a designated portion of the Work, shall terminate seven days after the Contractor's receipt of the written Notice of Termination.

(c) If the Contractor satisfies a Notice to Cure, but the condition for which the notice was first given reoccurs, the Owner may give the Contractor a Notice of Termination without giving the Contractor another Notice to Cure.

(d) **Demand on the Performance Bond:** With the Notice of Termination the Owner shall give the Surety a written demand that, upon the effective date of the Notice of Termination, the Surety promptly fulfill its obligation to take charge of and complete the Work in accordance with the terms of the Performance Bond.

(e) **Surety Claims:** Upon receiving the Owner's demand on the Performance Bond, the Surety shall assume all rights and obligations of the Contractor under the Contract. However, the Surety shall also have the right to assert "Surety Claims" to the Owner, which are defined as claims relating to acts or omissions of the Owner or Architect prior to termination of the Contractor which may have prejudiced its rights as Surety or its interest in the unpaid balance of the Contract Sum. If the Surety wishes to assert a Surety Claim, it shall give the Owner, through the Architect, written notice within twenty-one days after first recognizing the

condition giving rise to the Surety Claim. The Surety Claim shall then be submitted to the Owner, through the Architect, no later than sixty days after giving notice thereof, but no such Surety Claims shall be considered if submitted after the date upon which final payment becomes due. Final resolution of Surety Claims shall be pursuant to Article 24, Resolution of Claims and Disputes. The presence or possibility of a Surety Claim shall not be just cause for the Surety to fail or refuse to take charge of and complete the Work or for the Owner to fail or refuse to continue to make payments in accordance with the Contract Documents.

**(f) Payments to Surety:** The Surety shall be paid for completing the Work in accordance with the Contract Documents as if the Surety were the Contractor. The Owner shall have the right to deduct from payments to the Surety any reasonable costs incurred by the Owner, including compensation for additional architectural, engineering, managerial, and administrative services, and attorneys' fees as necessitated by termination of the Contractor and completion of the Work by the Surety. No further payments shall be made to the Contractor by the Owner. The Surety shall be solely responsible for any accounting to the Contractor for the portion of the Contract Sum paid to Surety by Owner or for the costs and expenses of completing the Work.

**(4) Wrongful Termination:** If any notice of termination by the Owner for cause, made in good faith, is determined to have been wrongly given, such termination shall be effective and compensation therefore determined as if it had been a termination for convenience pursuant to Paragraph B below.

**B. TERMINATION by the OWNER for CONVENIENCE**

**(1)** The Owner may, without cause and at any time, terminate the performance of Work under the Contract in whole, or in part, upon determination by the Owner that such termination is in the Owner's best interest. Such termination is referred to herein as Termination for Convenience.

**(2)** Upon receipt of a written notice of Termination for Convenience from the Owner, the Contractor shall:

- (a)** stop Work as specified in the notice;
- (b)** enter into no further subcontracts or purchase orders for materials, services, or facilities, except as may be necessary for Work directed to be performed prior to the effective date of the termination or to complete Work that is not terminated;
- (c)** terminate all existing subcontracts and purchase orders to the extent they relate to the terminated Work;
- (d)** take such actions as are necessary, or directed by the Architect or Owner, to protect, preserve, and make safe the terminated Work; and
- (e)** complete performance of the Work that is not terminated.

**(3)** In the event of Termination for Convenience, the Contractor shall be entitled to receive payment for the Work performed prior to its termination, including materials and equipment purchased and delivered for incorporation into the terminated Work, and any reasonable costs incurred because of the termination. Such payment shall include reasonable mark-up of costs for overhead and profit, not to exceed the limits stated in Article 19, Changes in the Work. The Contractor shall be entitled to receive payment for reasonable anticipated overhead ("home office") and shall not be entitled to receive payment for any profits anticipated to have been gained from the terminated Work. A proposal for decreasing the Contract Sum shall be submitted to the Architect by the Contractor in such time and detail, and with such supporting documentation, as is reasonably

directed by the Owner. Final modification of the Contract shall be by Contract Change Order pursuant to Article 19. Any Claim or Dispute involving the termination or any amount due a party as a result shall be resolved pursuant to Article 24.

## **ARTICLE 28**

### **CONTRACTOR'S RIGHT to SUSPEND or TERMINATE the CONTRACT**

#### **A. SUSPENSION by the OWNER**

If all of the Work is suspended or delayed for the Owner's convenience or under an order of any court, or other public authority, for a period of sixty days, through no act or fault of the Contractor or a Subcontractor, or anyone for whose acts they may be liable, then the Contractor may give the Owner a written Notice of Termination which allows the Owner fourteen days after receiving the Notice in which to give the Contractor appropriate written authorization to resume the Work. Absent the Contractor's receipt of such authorization to resume the Work, the Contract shall terminate upon expiration of this fourteen day period and the Contractor will be compensated by the Owner as if the termination had been for the Owner's convenience pursuant to Article 27.B.

#### **B. NONPAYMENT**

The Owner's failure to pay the undisputed amount of an Application for Payment within sixty days after receiving it from the Architect (Certified pursuant to Article 30) shall be just cause for the Contractor to give the Owner fourteen days' written notice that the Work will be suspended pending receipt of payment but that the Contract shall terminate if payment is not received within fourteen days (or a longer period stated by the Contractor) of the expiration of the fourteen day notice period.

(1) If the Work is then suspended for nonpayment, but resumed upon receipt of payment, the Contractor will be entitled to compensation as if the suspension had been by the Owner pursuant to Article 26, Paragraph B.

(2) If the Contract is then terminated for nonpayment, the Contractor will be entitled to compensation as if the termination had been by the Owner pursuant to Article 27, Paragraph B.

## **ARTICLE 29**

### **PROGRESS PAYMENTS**

#### **A. FREQUENCY of PROGRESS PAYMENTS**

Unless otherwise provided in the Contract Documents, the Owner will make payments to the Contractor as the Work progresses based on monthly estimates prepared and certified by the Contractor, approved and certified by the Architect, and approved by the Owner and other authorities whose approval is required.

#### **B. SCHEDULE of VALUES**

Within ten days after receiving the Notice to Proceed the Contractor shall submit to the Architect a

DCM Form C-10SOV, Schedule of Values, which is a breakdown of the Contract Sum showing the value of the various parts of the Work for billing purposes. The Schedule of Values shall be printable on 8.5" × 11" for DCM's scanning purposes and shall divide the Contract Sum into as many parts ("line items") as the Architect and Owner determine necessary to permit evaluation and to show amounts attributable to Subcontractors. The Contractor's overhead and profit are to be proportionately distributed throughout the line items of the Schedule of Values. Upon approval, the Schedule of Values shall be used as a basis for monthly Applications for Payment, unless it is later found to be in error. Approved change order amounts shall be added to or incorporated into the Schedule of Values as mutually agreed by the Contractor and Architect.

**C. APPLICATIONS for PAYMENTS**

(1) Based on the approved Schedule of Values, each DCM Form C-10, Application and Certificate for Payment shall show the Contractor's estimate of the value of Work performed in each line item as of the end of the billing period. The Contractor's cost of materials and equipment not yet incorporated into the Work, but delivered and suitably stored on the site, may be considered in monthly Applications for Payment. One payment application per month may be submitted. Each DCM Form C-10, Application and Certificate for Payment shall match to the penny and be accompanied by an attached DCM Form C-10SOV, Schedule of Values.

(2) The Contractor's estimate of the value of Work performed and stored materials must represent such reasonableness as to warrant certification by the Architect to the Owner in accordance with Article 30. Each monthly Application for Payment shall be supported by such data as will substantiate the Contractor's right to payment, including without limitation copies of requisitions from subcontractors and material suppliers.

(3) If no other date is stated in the Contract Documents or agreed upon by the parties, each Application for Payment shall be submitted to the Architect on or about the first day of each month and payment shall be issued to the Contractor within thirty days after an Application for Payment is Certified pursuant to Article 30 and delivered to the Owner.

(4) Two copies of DCM Form C-10, Application and Certificate for Payment containing original signatures, with each copy of DCM Form C-10 to include all attachments, shall be submitted to DCM for review following the Contractor's, Notary's (for paper submittals), Architect's and Owner's signatures.

**D. MATERIALS STORED OFF SITE**

Unless otherwise provided in the Contract Documents, the Contractor's cost of materials and equipment to be incorporated into the Work, which are stored off the site, may also be considered in monthly Applications for Payment under the following conditions:

- (1) the contractor has received written approval from the Architect and Owner to store the materials or equipment off site in advance of delivering the materials to the off site location;
- (2) a Certificate of Insurance is furnished to the Architect evidencing that a special insurance policy, or rider to an existing policy, has been obtained by the Contractor providing all-risk property insurance coverage, specifically naming the materials or equipment stored, and naming the Owner as an additionally insured party;
- (3) the Architect is provided with a detailed inventory of the stored materials or equipment and the materials or equipment are clearly marked in correlation to the inventory to facilitate

inspection and verification of the presence of the materials or equipment by the Architect or Owner;

- (4) the materials or equipment are properly and safely stored in a bonded warehouse, or a facility otherwise approved in advance by the Architect and Owner; and
- (5) compliance by the Contractor with procedures satisfactory to the Owner to establish the Owner's title to such materials and equipment or otherwise protect the Owner's interest.

**E. RETAINAGE**

(1) "Retainage" is defined as the money earned and, therefore, belonging to the Contractor (subject to final settlement of the Contract) which has been retained by the Owner conditioned on final completion and acceptance of all Work required by the Contract Documents. Retainage shall not be relied upon by Contractor (or Surety) to cover or off-set unearned monies attributable to uncompleted or uncorrected Work.

(2) In making progress payments the Owner shall retain five percent of the estimated value of Work performed and the value of the materials stored for the Work; but after retainage has been held upon fifty percent of the Contract Sum, no additional retainage will be withheld.

**F. CONTRACTOR'S CERTIFICATION**

(1) Each Application for Payment shall bear the Contractor's notarized certification that, to the best of the Contractor's knowledge, information, and belief, the Work covered by the Application for Payment has been completed in accordance with the Contract Documents, that all amounts have been paid by the Contractor for Work for which previous Certificates for Payments were issued and payments received from the Owner and that the current payment shown in the Application for Payment has not yet been received.

(2) By making this certification the Contractor represents to the Architect and Owner that, upon receipt of previous progress payments from the Owner, the Contractor has promptly paid each Subcontractor, in accordance with the terms of its agreement with the Subcontractor, the amount due the Subcontractor from the amount included in the progress payment on account of the Subcontractor's Work and stored materials. The Architect and Owner may advise Subcontractors and suppliers regarding percentages of completion or amounts requested and/or approved in an Application for Payment on account of the Subcontractor's Work and stored materials.

**G. PAYMENT ESTABLISHES OWNERSHIP**

All material and Work covered by progress payments shall become the sole property of the Owner, but the Contractor shall not be relieved from the sole responsibility for the care and protection of material and Work upon which payments have been made and for the restoration of any damaged material and Work.

**ARTICLE 30**  
**CERTIFICATION and APPROVALS for PAYMENT**

- A. The Architect's review, approval, and certification of Applications for Payment shall be based on the Architect's general knowledge of the Work obtained through site visits and the information



provided by the Contractor with the Application. The Architect shall not be required to perform exhaustive examinations, evaluations, or estimates of the cost of completed or uncompleted Work or stored materials to verify the accuracy of amounts requested by the Contractor, but the Architect shall have the authority to adjust the Contractor's estimate when, in the Architect's reasonable opinion, such estimates are overstated or understated.

- B.** Within seven days after receiving the Contractor's monthly Application for Payment, or such other time as may be stated in the Contract Documents, the Architect will take one of the following actions:
- (1)** The Architect will approve and certify the Application as submitted and forward it to the Owner as a Certification for Payment for approval by the Owner (and other approving authorities, if any) and payment.
  - (2)** If the Architect takes exception to any amounts claimed by the Contractor and the Contractor and Architect cannot agree on revised amounts, the Architect will promptly issue a Certificate for Payment for the amount for which the Architect is able to certify to the Owner, transmitting a copy of same to the Contractor.
  - (3)** To the extent the Architect determines may be necessary to protect the Owner from loss on account of any of the causes stated in Article 31, the Architect may subtract from the Contractor's estimates and will issue a Certificate for Payment to the Owner, with a copy to the Contractor, for such amount as the Architect determines is properly due and notify the Contractor and Owner in writing of the Architect's reasons for withholding payment in whole or in part.
- C.** Neither the Architect's issuance of a Certificate for Payment nor the Owner's resulting progress payment shall be a representation to the Contractor that the Work in progress or completed at that time is accepted or deemed to be in conformance with the Contract Documents.
- D.** The Architect shall not be required to determine that the Contractor has promptly or fully paid Subcontractors and suppliers or how or for what purpose the Contractor has used monies paid under the Construction Contract. However, the Architect may, upon request and if practical, inform any Subcontractor or supplier of the amount, or percentage of completion, approved or paid to the Contractor on account of the materials supplied or the Work performed by the Subcontractor.

### **ARTICLE 31** **PAYMENTS WITHHELD**

- A.** The Architect may nullify or revise a previously issued Certificate for Payment prior to Owner's payment thereunder to the extent as may be necessary in the Architect's opinion to protect the Owner from loss on account of any of the following causes not discovered or fully accounted for at the time of the certification or approval of the Application for Payment:
- (1)** Defective Work;
  - (2)** filed, or reasonable evidence indicating probable filing of, claims arising out of the Contract by other parties against the Contractor;
  - (3)** the Contractor's failure to pay for labor, materials or equipment or to pay Subcontractors;
  - (4)** reasonable evidence that the Work cannot be completed for the unpaid balance of the Contract Sum;

- (5) damage suffered by the Owner or another contractor caused by the Contractor, a Subcontractor, or anyone for whose acts they may be liable;
  - (6) reasonable evidence that the Work will not be completed within the Contract Time, and that the unpaid balance is insufficient to cover applicable liquidated damages; or
  - (7) the Contractor's persistent failure to conform to the requirements of the Contract Documents.
- B.** If the Owner deems it necessary to withhold payment pursuant to preceding Paragraph A, the Owner will notify the Contractor and Architect in writing of the amount to be withheld and the reason for same.
- C.** The Architect shall not be required to withhold payment for completed or partially completed Work for which compliance with the Contract Documents remains to be determined by Specified Inspections or Final Inspections to be performed in their proper sequence. However, if Work for which payment has been approved, certified, or made under an Application for Payment is subsequently determined to be Defective Work, the Architect shall determine an appropriate amount that will protect the Owner's interest against the Defective Work.
- (1) If payment has not been made against the Application for Payment first including the Defective Work, the Architect will notify the Owner and Contractor of the amount to be withheld from the payment until the Defective Work is brought into compliance with the Contract Documents.
  - (2) If payment has been made against the Application for Payment first including the Defective Work, the Architect will withhold the appropriate amount from the next Application for Payment submitted after the determination of noncompliance, such amount to then be withheld until the Defective Work is brought into compliance with the Contract Documents.
- D.** The amount withheld will be paid with the next Application for Payment certified and approved after the condition for which the Owner has withheld payment is removed or otherwise resolved to the Owner's satisfaction.
- E.** The Owner shall have the right to withhold from payments due the Contractor under this Contract an amount equal to any amount which the Contractor owes the Owner under another contract.

## **ARTICLE 32**

### **SUBSTANTIAL COMPLETION**

- A.** Substantial Completion is the stage in the progress of the Work when the Work or designated portion of the Work is sufficiently complete in accordance with the Contract Documents so that the Owner can occupy or utilize the Work for its intended use without disruption or interference by the Contractor in completing or correcting any remaining unfinished Work ("punch list" items). Substantial Completion of the Work, or a designated portion of the Work, is not achieved until so agreed in a Certificate of Substantial Completion signed by the Contractor, Architect, Owner, and Technical Staff of the Alabama Division of Construction Management.
- B.** The Contractor shall notify the Architect in writing when it considers the Work, or a portion of the Work which the Owner has agreed to accept separately, to be substantially complete and ready for a Final Inspection pursuant to Article 16. In this notification the Contractor shall identify any items

remaining to be completed or corrected for Final Acceptance prior to final payment.

- C. Substantial Completion is achieved and a Final Inspection is appropriate only when a minimal number of punch list items exists and only a short period of time will be required to correct or complete them. Upon receipt of the Contractor's notice for a Final Inspection, the Architect will advise the Contractor in writing of any conditions of the Work which the Architect or Owner is aware do not constitute Substantial Completion, otherwise, a Final Inspection will proceed within a reasonable time after the Contractor's notice is given. However, the Architect will not be required to prepare lengthy listings of punch list items; therefore, if the Final Inspection discloses that Substantial Completion has not been achieved, the Architect may discontinue or suspend the inspection until the Contractor does achieve Substantial Completion.

**D. CERTIFICATE of SUBSTANTIAL COMPLETION**

(1) When the Work or a designated portion of the Work is substantially complete, the Architect will prepare and sign a Certificate of Substantial Completion to be signed in order by the Contractor, Owner, and Alabama Division of Construction Management.

(2) When signed by all parties, the Certificate of Substantial Completion shall establish the Date of Substantial Completion which is the date upon which:

- (a) the Work, or designated portion of the Work, is accepted by the Architect, Owner, and Alabama Division of Construction Management as being ready for occupancy,
- (b) the Contractor's one-year and special warranties for the Work covered by the Certificate commence, unless stated otherwise in the Certificate (the one-year warranty for punch list items completed or corrected after the period allowed in the Certificate shall commence on the date of their Final Acceptance), and
- (c) Owner becomes responsible for building security, maintenance, utility services, and insurance, unless stated otherwise in the Certificate.

(3) The Certificate of Substantial Completion shall set the time within which the Contractor shall finish all items on the "punch list" accompanying the Certificate. The completion of punch list items shall be a condition precedent to Final Payment.

(4) If the Work or designated portion covered by a Certificate of Substantial Completion includes roofing work, the General Contractor's (5-year) Roofing Guarantee, DCM Form C-9, must be executed by the Contractor and attached to the Certificate of Substantial Completion. If the Contract Documents specify any other roofing warranties to be provided by the roofing manufacturer, Subcontractor, or Contractor, they must also be attached to the Certificate of Substantial Completion. The Alabama Division of Construction Management will not sign the Certificate of Substantial Completion in the absence of the roofing guarantees.

- E. The Date of Substantial Completion of the Work, as set in the Certificate of Substantial Completion of the Work or of the last completed portion of the Work, establishes the extent to which the Contractor is liable for Liquidated Damages, if any; however, should the Contractor fail to complete all punch list items within thirty days, or such other time as may be stated in the respective Certificate of Substantial Completion, the Contractor shall bear any expenses, including additional Architectural services and expenses, incurred by the Owner as a result of such failure to complete punch list items in a timely manner.

**ARTICLE 33**  
**OCCUPANCY or USE PRIOR to COMPLETION**

**A. UPON SUBSTANTIAL COMPLETION**

Prior to completion of the entire Work, the Owner may occupy or begin utilizing any designated portion of the Work on the agreed Date of Substantial Completion of that portion of the Work.

**B. BEFORE SUBSTANTIAL COMPLETION**

- (1) The Owner shall not occupy or utilize any portion of the Work before Substantial Completion of that portion has been achieved.
- (2) The Owner may deliver furniture and equipment and store, or install it in place ready for occupancy and use, in any designated portion of the Work before it is substantially completed under the following conditions:
  - (a) The Owner's storage or installation of furniture and equipment will not unreasonably disrupt or interfere with the Contractor's completion of the designated portion of the Work.
  - (b) The Contractor consents to the Owner's planned action (such consent shall not be unreasonably withheld).
  - (c) The Owner shall be responsible for insurance coverage of the Owner's furniture and equipment, and the Contractor's liability shall not be increased.
  - (d) The Contractor, Architect, and Owner will jointly inspect and record the condition of the Work in the area before the Owner delivers and stores or installs furniture and equipment; the Owner will equitably compensate the Contractor for making any repairs to the Work that may subsequently be required due to the Owner's delivery and storage or installation of furniture and equipment.
  - (e) The Owner's delivery and storage or installation of furniture and equipment shall not be deemed an acceptance of any Work not completed in accordance with the requirements of the Contract Documents.

**ARTICLE 34**  
**FINAL PAYMENT**

**A. PREREQUISITES to FINAL PAYMENT**

The following conditions are prerequisites to Final Payment becoming due the Contractor:

- (1) Full execution of a Certificate of Substantial Completion for the Work, or each designated portion of the Work.
- (2) Final Acceptance of the Work.
- (3) The Contractor's completion, to the satisfaction of the Architect and Owner, of all documentary requirements of the Contract Documents; such as delivery of "as-built" documents, operating and maintenance manuals, warranties, etc.
- (4) Delivery to the Owner of a final Application for Payment, prepared by the Contractor and approved and certified by the Architect. Architect prepares DCM Form B-13: Final Payment Checklist and forwards it to the Owner along with the final Application for Payment.
- (5) Completion of an Advertisement for Completion pursuant to Paragraph C below.
- (6) Delivery by the Contractor to the Owner through the Architect of DCM Form C-18:

Contractor's Affidavit of Payment of Debts and Claims, and a Release of Claims, if any, and such other documents as may be required by Owner, satisfactory in form to the Owner pursuant to Paragraph D below.

- (7) Consent of Surety to Final Payment, if any, to Contractor. This Consent of Surety is required for projects which have Payment and Performance Bonds.
- (8) Delivery by the Contractor to the Architect and Owner of other documents, if any, required by the Contract Documents as prerequisites to Final Payment.
- (9) See Manual of Procedures Chapter 7, Section L.7 concerning reconciliation of contract time, if any.

**B. FINAL ACCEPTANCE of the WORK**

"Final Acceptance of the Work" shall be achieved when all "punch list" items recorded with the Certificate(s) of Substantial Completion are accounted for by either: (1) their completion or correction by the Contractor and acceptance by the Architect, Owner, and DCM Project Inspector, or (2) their resolution under Article 18, Deductions for Uncorrected Work.

**C. ADVERTISEMENT for COMPLETION**

(1) **If the Contract Sum is \$50,000 or less:** The Owner, immediately after being notified by the Architect that all other requirements of the Contract have been completed, shall give public notice of completion of the Contract by having an Advertisement for Completion published one time in a newspaper of general circulation, published in the county in which the Owner is located for one week, and shall require the Contractor to certify under oath that all bills have been paid in full. Final payment may be made at any time after the notice has been posted for one entire week.

(2) **If the Contract Sum is more than \$50,000:** The Contractor, immediately after being notified by the Architect that all other requirements of the Contract have been completed, shall give public notice of completion of the Contract by having an Advertisement for Completion, similar to the sample contained in the Project Manual, published for a period of four successive weeks in some newspaper of general circulation published within the city or county where the Work was performed. Proof of publication of the Advertisement for Completion shall be made by the Contractor to the Architect by affidavit of the publisher, in duplicate, and a printed copy of the Advertisement for Completion published, in duplicate. If no newspaper is published in the county where the work was done, the notice may be given by posting at the Court House for thirty days and proof of same made by Probate Judge or Sheriff and the Contractor. Final payment shall not be due until thirty days after this public notice is completed.

**D. RELEASE of CLAIMS**

The Release of Claims and other documents referenced in Paragraph A(6) above are as follows:

(1) A release executed by Contractor of all claims and claims of lien against the Owner arising under and by virtue of the Contract, other than such claims of the Contractor, if any, as may have been previously made in writing and as may be specifically excepted by the Contractor from the operation of the release in stated amounts to be set forth therein.

(2) An affidavit under oath, if required, stating that so far as the Contractor has knowledge or information, there are no claims or claims of lien which have been or will be filed by any Subcontractor, Supplier or other party for labor or material for which a claim or claim of lien could

be filed.

(3) A release, if required, of all claims and claims of lien made by any Subcontractor, Supplier or other party against the Owner or unpaid Contract funds held by the Owner arising under or related to the Work on the Project; provided, however, that if any Subcontractor, Supplier or others refuse to furnish a release of such claims or claims of lien, the Contractor may furnish a bond executed by Contractor and its Surety to the Owner to provide an unconditional obligation to defend, indemnify and hold harmless the Owner against any loss, cost or expense, including attorney's fees, arising out of or as a result of such claims, or claims of lien, in which event Owner may make Final Payment notwithstanding such claims or claims of lien. If Contractor and Surety fail to fulfill their obligations to Owner under the bond, the Owner shall be entitled to recover damages as a result of such failure, including all costs and reasonable attorney's fees incurred to recover such damages.

#### **E. EFFECT of FINAL PAYMENT**

(1) The making of Final Payment shall constitute a waiver of Claims by the Owner except those arising from:

- (a) liens, claims, security interests or encumbrances arising out of the Contract and unsettled;
- (b) failure of the Work to comply with the requirements of the Contract Documents;
- (c) terms of warranties or indemnities required by the Contract Documents, or
- (d) latent defects.

(2) Acceptance of Final Payment by the Contractor shall constitute a waiver of claims by Contractor except those previously made in writing, identified by Contractor as unsettled at the time of final Application for Payment, and specifically excepted from the release provided for in Paragraph D(1), above.

### **ARTICLE 35** **CONTRACTOR'S WARRANTY**

#### **A. GENERAL WARRANTY**

The Contractor warrants to the Owner and Architect that all materials and equipment furnished under the Contract will be of good quality and new, except such materials as may be expressly provided or allowed in the Contract Documents to be otherwise, and that none of the Work will be Defective Work as defined in Article 1.

#### **B. ONE-YEAR WARRANTY**

(1) If, within one year after the date of Substantial Completion of the Work or each designated portion of the Work (or otherwise as agreed upon in a mutually-executed Certificate of Substantial Completion), any of the Work is found to be Defective Work, the Contractor shall promptly upon receipt of written notice from the Owner or Architect, and without expense to either, replace or correct the Defective Work to conform to the requirements of the Contract Documents, and repair all damage to the site, the building and its contents which is the result of Defective Work or its replacement or correction.

(2) The one-year warranty for punch list items shall begin on the Date of Substantial Completion if they are completed or corrected within the time period allowed in the Certificate of Substantial

Completion in which they are recorded. The one-year warranty for punch list items that are not completed or corrected within the time period allowed in the Certificate of Substantial Completion, and other Work performed after Substantial Completion, shall begin on the date of Final Acceptance of the Work. The Contractor's correction of Work pursuant to this warranty does not extend the period of the warranty. The Contractor's one-year warranty does not apply to defects or damages due to improper or insufficient maintenance, improper operation, or wear and tear during normal usage.

(3) Upon recognizing a condition of Defective Work, the Owner shall promptly notify the Contractor of the condition. If the condition is causing damage to the building, its contents, equipment, or site, the Owner shall take reasonable actions to mitigate the damage or its continuation, if practical. If the Contractor fails to proceed promptly to comply with the terms of the warranty, or to provide the Owner with satisfactory written verification that positive action is in process, the Owner may have the Defective Work replaced or corrected and the Contractor and the Contractor's Surety shall be liable for all expense incurred.

(4) **Year-end Inspection(s):** An inspection of the Work, or each separately completed portion thereof, is required near the end of the Contractor's one-year warranty period(s). The inspection must be scheduled with the Owner, Architect and DCM Inspector. The subsequent delivery of the Architect's report of a Year-end Inspection will serve as confirmation that the Contractor was notified of Defective Work found within the warranty period.

(5) The Contractor's warranty of one year is in addition to, and not a limitation of, any other remedy stated herein or available to the Owner under applicable law.

## **C. GENERAL CONTRACTOR'S ROOFING GUARANTEE**

(1) In addition to any other roof related warranties or guarantees that may be specified in the Contract Documents, the roof and associated work shall be guaranteed by the General Contractor against leaks and defects of materials and workmanship for a period of five (5) years, starting on the Date of Substantial Completion of the Project as stated in the Certificate of Substantial Completion. This guarantee for punch list items shall begin on the Date of Substantial Completion if they are completed or corrected within the time period allowed in the Certificate of Substantial Completion in which they are recorded. The guarantee for punch list items that are not completed or corrected within the time period allowed in the Certificate of Substantial Completion shall begin on the date of Final Acceptance of the Work.

(2) The "General Contractor's Roofing Guarantee" (DCM Form C-9), included in the Project Manual, shall be executed in triplicate, signed by the appropriate party and submitted to the Architect for submission with the Certificate of Substantial Completion to the Owner and the Division of Construction Management.

(3) This guarantee does not include costs which might be incurred by the General Contractor in making visits to the site requested by the Owner regarding roof problems that are due to lack of proper maintenance (keeping roof drains and/or gutters clear of debris that cause a stoppage of drainage which results in water ponding, overflowing of flashing, etc.), or damages caused by vandalism or misuse of roof areas. Should the contractor be required to return to the job to correct problems of this nature that are determined not to be related to faulty workmanship and materials in the installation of the roof, payment for actions taken by the Contractor in response to such request will be the responsibility of the Owner. A detailed written report shall be made by the General

Contractor on each of these 'Service Calls' with copies to the Architect, Owner and Division of Construction Management.

**D. SPECIAL WARRANTIES**

(1) The Contractor shall deliver to the Owner through the Architect all special or extended warranties required by the Contract Documents from the Contractor, Subcontractors, and suppliers.

(2) The Contractor and the Contractor's Surety shall be liable to the Owner for such special warranties during the Contractor's one-year warranty; thereafter, the Contractor's obligations relative to such special warranties shall be to provide reasonable assistance to the Owner in their enforcement.

**E. ASSUMPTION of GUARANTEES of OTHERS**

If the Contractor disturbs, alters, or damages any work guaranteed under a separate contract, thereby voiding the guarantee of that work, the Contractor shall restore the work to a condition satisfactory to the Owner and shall also guarantee it to the same extent that it was guaranteed under the separate contract.

**ARTICLE 36  
INDEMNIFICATION AGREEMENT**

To the fullest extent permitted by law, the Contractor shall defend, indemnify, and hold harmless the Owner, Architect, Architect's consultants, Alabama Division of Construction Management, State Department of Education (if applicable), and their agents, employees, and consultants (hereinafter collectively referred to as the "Indemnitees") from and against all claims, damages, losses and expenses, including but not limited to attorneys' fees, arising out of, related to, or resulting from performance of the Work, provided that such claim, damage, loss or expense is attributable to bodily injury, sickness, disease or death, or to injury to or destruction of tangible property, including loss of use resulting therefrom, and is caused in whole or in part by negligent acts or omissions of the Contractor, a Subcontractor, anyone directly or indirectly employed by them, or anyone for whose acts they may be liable, regardless of whether such claim, damage, loss or expense is caused in part, or is alleged but not legally established to have been caused in whole or in part by the negligence or other fault of a party indemnified hereunder.

- A. This indemnification shall extend to all claims, damages, losses and expenses for injury or damage to adjacent or neighboring property, or persons injured thereon, that arise out of, relate to, or result from performance of the Work.
- B. This indemnification does not extend to the liability of the Architect, or the Architect's Consultants, agents, or employees, arising out of (1) the preparation or approval of maps, shop drawings, opinions, reports, surveys, field orders, Change Orders, drawings or specifications, or (2) the giving of or the failure to give directions or instructions, provided such giving or failure to give instructions is the primary cause of the injury or damage.
- C. This indemnification does not apply to the extent of the sole negligence of the Indemnitees.



**ARTICLE 37**  
**CONTRACTOR'S and SUBCONTRACTORS' INSURANCE**

*(Provide entire Article 37 to Contractor's insurance representative.)*

**A. GENERAL**

**(1) RESPONSIBILITY.** The Contractor shall be responsible to the Owner from the time of the signing of the Construction Contract or from the beginning of the first work, whichever shall be earlier, for all injury or damage of any kind resulting from any negligent act or omission or breach, failure or other default regarding the work by the Contractor, a Subcontractor, anyone directly or indirectly employed by them or anyone for whose acts they may be liable, regardless of who may be the owner of the property.

**(2) INSURANCE PROVIDERS.** Each of the insurance coverages required below shall be issued by an insurer licensed by the Insurance Commissioner to transact the business of insurance in the State of Alabama for the applicable line of insurance, and such insurer (or, for qualified self-insureds or group self-insureds, a specific excess insurer providing statutory limits) must have a Best Policyholders Rating of "A-" or better and a financial size rating of Class V or larger.

**(3) NOTIFICATION ENDORSEMENT.** Each policy shall be endorsed to provide that the insurance company agrees that the policy shall not be canceled, changed, allowed to lapse or allowed to expire for any reason until thirty days after the Owner has received written notice by certified mail as evidenced by return receipt or until such time as other insurance coverage providing protection equal to protection called for in the Contract Documents shall have been received, accepted and acknowledged by the Owner. Such notice shall be valid only as to the Project as shall have been designated by Project Name and Number in said notice.

**(4) INSURANCE CERTIFICATES.** The Contractor shall procure the insurance coverages identified below, or as otherwise required in the Contract Documents, at the Contractor's own expense, and to evidence that such insurance coverages are in effect, the Contractor shall furnish the Owner an insurance certificate(s) acceptable to the Owner and listing the Owner as the certificate holder. The insurance certificate(s) must be delivered to the Owner with the Construction Contract and Bonds for final approval and execution of the Construction Contract. The insurance certificate must provide the following:

- (a) Name and address of authorized agent of the insurance company
- (b) Name and address of insured
- (c) Name of insurance company or companies
- (d) Description of policies
- (e) Policy Number(s)
- (f) Policy Period(s)
- (g) Limits of liability
- (h) Name and address of Owner as certificate holder
- (i) Project Name and Number, if any
- (j) Signature of authorized agent of the insurance company
- (k) Telephone number of authorized agent of the insurance company
- (l) Mandatory thirty day notice of cancellation / non-renewal / change

**(5) MAXIMUM DEDUCTIBLE.** Self-insured retention, except for qualified self-insurers or

group self-insurers, in any policy shall not exceed \$25,000.00.

## **B. INSURANCE COVERAGES**

Unless otherwise provided in the Contract Documents, the Contractor shall purchase the types of insurance coverages with liability limits not less than as follows:

### **(1) WORKERS' COMPENSATION and EMPLOYER'S LIABILITY INSURANCE**

(a) Workers' Compensation coverage shall be provided in accordance with the statutory coverage required in Alabama. A group insurer must submit a certificate of authority from the Alabama Department of Industrial Relations approving the group insurance plan. A self-insurer must submit a certificate from the Alabama Department of Industrial Relations stating the Contractor qualifies to pay its own workers' compensation claims.

(b) Employer's Liability Insurance limits shall be at least:

- .1 Bodily Injury by Accident - \$1,000,000 each accident
- .2 Bodily Injury by Disease - \$1,000,000 each employee

### **(2) COMMERCIAL GENERAL LIABILITY INSURANCE**

(a) Commercial General Liability Insurance, written on an ISO Occurrence Form (current edition as of the date of Advertisement for Bids) or equivalent, shall include, but need not be limited to, coverage for bodily injury and property damage arising from premises and operations liability, products and completed operations liability, blasting and explosion, collapse of structures, underground damage, personal injury liability and contractual liability. The Commercial General Liability Insurance shall provide at minimum the following limits:

<u>Coverage</u>	<u>Limit</u>
.1 General Aggregate	\$ 2,000,000.00 per Project
.2 Products, Completed Operations Aggregate	\$ 2,000,000.00 per Project
.3 Personal and Advertising Injury	\$ 1,000,000.00 per Occurrence
.4 Each Occurrence	\$ 1,000,000.00

(b) Additional Requirements for Commercial General Liability Insurance:

- .1 The policy shall name the Owner, Architect, Alabama Division of Construction Management, State Department of Education (if applicable), and their agents, consultants and employees as additional insureds, state that this coverage shall be primary insurance for the additional insureds; and contain no exclusions of the additional insureds relative to job accidents.
- .2 The policy must include separate per project aggregate limits.

### **(3) COMMERCIAL BUSINESS AUTOMOBILE LIABILITY INSURANCE**

(a) Commercial Business Automobile Liability Insurance which shall include coverage for bodily injury and property damage arising from the operation of any owned, non-owned or hired automobile. The Commercial Business Automobile Liability Insurance Policy shall provide not less than \$1,000,000 Combined Single Limits for each occurrence.

(b) The policy shall name the Owner, Architect, Alabama Division of Construction Management, State Department of Education (if applicable), and their agents, consultants, and employees as additional insureds.

### **(4) COMMERCIAL UMBRELLA OR COMMERCIAL EXCESS LIABILITY INSURANCE**

(a) Commercial Umbrella or Commercial Excess Liability Insurance to provide excess

coverage above the Commercial General Liability, Commercial Business Automobile Liability and the Workers' Compensation and Employer's Liability to satisfy the minimum limits set forth herein.

**(b) Minimum Combined Primary Commercial General Liability and Commercial Umbrella or Commercial Excess Limits of:**

.1 \$ 5,000,000 per Occurrence

.2 \$ 5,000,000 Aggregate

**(c) Additional Requirements for Commercial Umbrella or Commercial Excess Liability Insurance:**

.1 The policy shall name the Owner, Architect, Alabama Division of Construction Management, State Department of Education (if applicable), and their agents, consultants, and employees as additional insureds.

.2 The policy must be on an "occurrence" basis.

**(5) BUILDER'S RISK INSURANCE**

**(a)** The Builder's Risk Policy shall be made payable to the Owner and Contractor, as their interests may appear. The policy amount shall be equal to 100% of the Contract Sum, written on a Causes of Loss - Special Form (current edition as of the date of Advertisement for Bids), or its equivalent. All deductibles shall be the sole responsibility of the Contractor.

**(b)** The policy shall be endorsed as follows:

"The following may occur without diminishing, changing, altering or otherwise affecting the coverage and protection afforded the insured under this policy:

(i) Furniture and equipment may be delivered to the insured premises and installed in place ready for use; or

(ii) Partial or complete occupancy by Owner; or

(iii) Performance of work in connection with construction operations insured by the Owner, by agents or lessees or other contractors of the Owner, or by contractors of the lessee of the Owner."

**C. SUBCONTRACTORS' INSURANCE**

**(1) WORKERS' COMPENSATION and EMPLOYER'S LIABILITY INSURANCE.** The Contractor shall require each Subcontractor to obtain and maintain Workers' Compensation and Employer's Liability Insurance coverages as described in preceding Paragraph B, or to be covered by the Contractor's Workers' Compensation and Employer's Liability Insurance while performing Work under the Contract.

**(2) LIABILITY INSURANCE.** The Contractor shall require each Subcontractor to obtain and maintain adequate General Liability, Automobile Liability, and Umbrella or Excess Liability Insurance coverages similar to those described in preceding Paragraph B. Such coverage shall be in effect at all times that a Subcontractor is performing Work under the Contract.

**(3) ENFORCEMENT RESPONSIBILITY.** The Contractor shall have responsibility to enforce its Subcontractors' compliance with these or similar insurance requirements; however, the Contractor shall, upon request, provide the Architect or Owner acceptable evidence of insurance for any Subcontractor.

**D. TERMINATION of OBLIGATION to INSURE**

Unless otherwise expressly provided in the Contract Documents, the obligation to insure as

provided herein shall continue as follows:

**(1) BUILDER'S RISK INSURANCE.** The obligation to insure under Subparagraph B(5) shall remain in effect until the Date of Substantial Completion as shall be established in the Certificate of Substantial Completion. In the event that multiple Certificates of Substantial Completion covering designated portions of the Work are issued, Builder's Risk coverage shall remain in effect until the Date of Substantial Completion as shall be established in the last issued Certificate of Substantial Completion. However, in the case that the Work involves separate buildings, Builder's Risk coverage of each separate building may terminate on the Date of Substantial Completion as established in the Certificate of Substantial Completion issued for each building.

**(2) PRODUCTS and COMPLETED OPERATIONS.** The obligation to carry Products and Completed Operations coverage specified under Subparagraph B(2) shall remain in effect for two years after the Date(s) of Substantial Completion.

**(3) ALL OTHER INSURANCE.** The obligation to carry other insurance coverages specified under Subparagraphs B(1) through B(4) and Paragraph C shall remain in effect after the Date(s) of Substantial Completion until such time as all Work required by the Contract Documents is completed. Equal or similar insurance coverages shall remain in effect if, after completion of the Work, the Contractor, a Subcontractor, anyone directly or indirectly employed by them or anyone for whose acts they may be liable, returns to the Project to perform warranty or maintenance work pursuant to the terms of the Contract Documents.

**E. WAIVERS of SUBROGATION**

The Owner and Contractor waive all rights against (1) each other and any of their subcontractors, sub-subcontractors, agents and employees, each of the other, and (2) the Architect, Architect's consultants, separate contractors performing construction or operations related to the Project, if any, and any of their subcontractors, sub-subcontractors, agents and employees, for damages caused by fire or other causes of loss. But said waiver shall apply only to the extent the loss or damage is covered by builder's risk insurance applicable to the Work or to other property located within or adjacent to the Project, except such rights as they may have to proceeds of such insurance held by the Owner or Contractor as fiduciary. The Owner or Contractor, as appropriate, shall require of the Architect, Architect's consultants, separate contractors, if any, and the subcontractor, sub-subcontractors, suppliers, agents and employees of any of them, by appropriate agreements, written where legally required for validity, similar waivers each in favor of other parties enumerated herein. The Policies shall provide such waivers of subrogation by endorsement or otherwise. A waiver of subrogation shall be effective as to the person or entity even though that person or entity would otherwise have a duty of indemnification, contractual or otherwise, did not pay the insurance premium directly or indirectly, and whether or not the person or entity had an insurable interest in the property damaged. The waivers provided for in this paragraph shall not be applicable to loss or damage that occurs after final acceptance of the Work.

**ARTICLE 38**  
**PERFORMANCE and PAYMENT BONDS**

**A. GENERAL**

Upon signing and returning the Construction Contract to the Owner for final approval and execution, the Contractor shall, at the Contractor's expense, furnish to the Owner a Performance

Bond and a Payment Bond (P&P Bonds), DCM Forms C-6 and C-7 as contained in the Project Manual, each in a penal sum equal to 100% of the Contract Sum. Each bond shall be on the form contained in the Project Manual, shall be executed by a surety company (Surety) acceptable to the Owner and duly authorized and qualified to make such bonds in the State of Alabama in the required amount. There shall be three original P&P Bonds submitted with original signatures for each of the three contracts required. The P&P bonds must be signed either on the same day or after the construction contract date. Each P&P Bond shall have attached thereto an original power of attorney (POA) of the signing official. The POA signature date must be the same day as the P&P Bond's signature date. All signatures must be present.

The provisions of this Article are not applicable to this Contract if the Contract Sum is less than \$50,000, unless bonds are required for this Contract in the Supplemental General Conditions.

**B. PERFORMANCE BOND**

Through the Performance Bond, the Surety's obligation to the Owner shall be to assure the prompt and faithful performance of the Contract and Contract Change Orders. The Penal Sum shall remain equal to the Contract Sum as the Contract Sum is adjusted by Contract Change Orders. In case of default on the part of the Contractor, the Surety shall take charge of and complete the Work in accordance with the terms of the Performance Bond. Any reasonable expenses incurred by the Owner as a result of default on the part of the Contractor, including architectural, engineering, administrative, and legal services, shall be recoverable under the Performance Bond.

**C. PAYMENT BOND**

Through the Payment Bond the Surety's obligation to the Owner shall be to guarantee that the Contractor and its Subcontractors shall promptly make payment to all persons supplying labor, materials, or supplies for, or in, the prosecution of the Work, including the payment of reasonable attorneys fees incurred by successful claimants or plaintiffs in civil actions on the Bond. Any person or entity indicating that they have a claim of nonpayment under the Bond shall, upon written request, be promptly furnished a certified copy of the Bond and Construction Contract by the Contractor, Architect, Owner, or Alabama Division of Construction Management, whomever is recipient of the request.

**D. CHANGE ORDERS**

The Penal Sum shall remain equal to the Contract Sum as the Contract Sum is adjusted by Contract Change Orders. All Contract Change Orders involving an increase in the Contract Sum will require consent of Surety by endorsement of the Contract Change Order form. The Surety waives notification of any Contract Change Orders involving only extension of the Contract Time.

**E. EXPIRATION**

The obligations of the Contractor's performance bond surety shall be coextensive with the contractor's performance obligations under the Contract Documents; provided, however, that the surety's obligation shall expire at the end of the one-year warranty period(s) of Article 35.

**ARTICLE 39**  
**ASSIGNMENT**

The Contractor shall not assign the Contract or sublet it as a whole nor assign any moneys due or to become due to the Contractor thereunder without the previous written consent of the Owner (and of the Surety, in the case of a bonded Construction Contract). As prescribed by the Public Works Law, the Contract shall in no event be assigned to an unsuccessful bidder for the Contract whose bid was rejected because the bidder was not a responsible or responsive bidder.

**ARTICLE 40**  
**CONSTRUCTION by OWNER or SEPARATE CONTRACTORS**

**A. OWNER'S RESERVATION of RIGHT**

(1) The Owner reserves the right to self-perform, or to award separate contracts for, other portions of the Project and other Project related construction and operations on the site. The contractual conditions of such separate contracts shall be substantially similar to those of this Contract, including insurance requirements and the provisions of this Article. If the Contractor considers such actions to involve delay or additional cost under this Contract, notifications and assertion of claims shall be as provided in Article 20 and Article 23.

(2) When separate contracts are awarded, the term "Contractor" in the separate Contract Documents shall mean the Contractor who executes the respective Construction Contract.

**B. COORDINATION**

Unless otherwise provided in the Contract Documents, the Owner shall be responsible for coordinating the activities of the Owner's forces and separate contractors with the Work of the Contractor. The Contractor shall cooperate with the Owner and separate contractors, shall participate in reviewing and comparing their construction schedules relative to that of the Contractor when directed to do so, and shall make and adhere to any revisions to the construction schedule resulting from a joint review and mutual agreement.

**C. CONDITIONS APPLICABLE to WORK PERFORMED by OWNER**

Unless otherwise provided in the Contract Documents, when the Owner self-performs construction or operations related to the Project, the Owner shall be subject to the same obligations to Contractor as Contractor would have to a separate contractor under the provision of this Article 40.

**D. MUTUAL RESPONSIBILITY**

(1) The Contractor shall reasonably accommodate the required introduction and storage of materials and equipment and performance of activities by the Owner and separate contractors and shall connect and coordinate the Contractor's Work with theirs as required by the Contract Documents.

(2) By proceeding with an element or portion of the Work that is applied to or performed on construction by the Owner or a separate contractor, or which relies upon their operations, the Contractor accepts the condition of such construction or operations as being suitable for the Contractor's Work, except for conditions that are not reasonably discoverable by the Contractor. If the Contractor discovers any condition in such construction or operations that is not suitable for the

proper performance of the Work, the Contractor shall not proceed, but shall instead promptly notify the Architect in writing of the condition discovered.

(3) The Contractor shall reimburse the Owner for any costs incurred by a separate contractor and payable by the Owner because of acts or omissions of the Contractor. Likewise, the Owner shall be responsible to the Contractor for any costs incurred by the Contractor because of the acts or omissions of a separate contractor.

(4) The Contractor shall not cut or otherwise alter construction by the Owner or a separate contractor without the written consent of the Owner and separate contractor; such consent shall not be unreasonably withheld. Likewise, the Contractor shall not unreasonably withhold its consent allowing the Owner or a separate contractor to cut or otherwise alter the Work.

(5) The Contractor shall promptly remedy any damage caused by the Contractor to the construction or property of the Owner or separate contractors.

#### **ARTICLE 41** **SUBCONTRACTS**

##### **A. AWARD of SUBCONTRACTS and OTHER CONTRACTS for PORTIONS of the WORK**

(1) Unless otherwise provided in the Contract Documents, when delivering the executed Construction Contract, bonds, and evidence of insurance to the Architect, the Contractor shall also submit a listing of Subcontractors proposed for each principal portion of the Work and fabricators or suppliers proposed for furnishing materials or equipment fabricated to the design of the Contract Documents. This listing shall be in addition to any naming of Subcontractors, fabricators, or suppliers that may have been required in the bid process. The Architect will promptly reply to the Contractor in writing stating whether or not the Owner, after due investigation, has reasonable objection to any Subcontractor, fabricator, or supplier proposed by the Contractor. The issuance of the Notice to Proceed in the absence of such objection by the Owner shall constitute notice that no reasonable objection to them is made.

(2) The Contractor shall not contract with a proposed Subcontractor, fabricator, or supplier to whom the Owner has made reasonable and timely objection. Except in accordance with prequalification procedures as may be contained in the Contract Documents, through specified qualifications, or on the grounds of reasonable objection, the Owner may not restrict the Contractor's selection of Subcontractors, fabricators, or suppliers.

(3) Upon the Owner's reasonable objection to a proposed Subcontractor, fabricator, or supplier, the Contractor shall promptly propose another to whom the Owner has no reasonable objection. If the proposed Subcontractor, fabricator, or supplier to whom the Owner made reasonable objection was reasonably capable of performing the Work, the Contract Sum and Contract Time shall be equitably adjusted by Contract Change Order for any resulting difference if the Contractor has acted promptly and responsively in this procedure.

(4) The Contractor shall not change previously selected Subcontractors, fabricators, or suppliers without notifying the Architect and Owner in writing of proposed substitute Subcontractors, fabricators, or suppliers. If the Owner does not make a reasonable objection to a proposed substitute within three working days, the substitute shall be deemed approved.

**B. SUBCONTRACTUAL RELATIONS**

(1) The Contractor agrees to bind every Subcontractor and material supplier (and require every Subcontractor to so bind its subcontractors and material suppliers) to all the provisions of the Contract Documents as they apply to the Subcontractor's and material supplier's portion of the Work.

(2) Nothing contained in the Contract Documents shall be construed as creating any contractual relationship between any Subcontractor and the Owner, nor to create a duty of the Architect, Owner, or Director to resolve disputes between or among the Contractor or its Subcontractors and suppliers or any other duty to such Subcontractors or suppliers.

**ARTICLE 42**  
**ARCHITECT'S STATUS**

- A. The Architect is an independent contractor performing, with respect to this Contract, pursuant to an agreement executed between the Owner and the Architect. The Architect has prepared the Drawings and Specifications and assembled the Contract Document and is, therefore, charged with their interpretation and clarification as described in the Contract Documents. As a representative of the Owner, the Architect will endeavor to guard the Owner against variances from the requirements of the Contract Documents by the Contractor. On behalf of the Owner, the Architect will administer the Contract as described in the Contract Documents during construction and the Contractor's one-year warranty.
- B. So as to maintain continuity in administration of the Contract and performance of the Work, and to facilitate complete documentation of the project record, all communications between the Contractor and Owner regarding matters of or related to the Contract shall be directed through the Architect, unless direct communication is otherwise required to provide a legal notification. Unless otherwise authorized by the Architect, communications by and with the Architect's consultants shall be through the Architect. Unless otherwise authorized by the Contractor, communications by and with Subcontractors and material suppliers shall be through the Contractor.

**C. ARCHITECT'S AUTHORITY**

Subject to other provisions of the Contract Documents, the following summarizes some of the authority vested in the Architect by the Owner with respect to the Construction Contract and as further described or conditioned in other Articles of these General Conditions of the Contract.

**(1) The Architect is authorized to:**

- (a) approve "minor" deviations as defined in Article 9, Submittals,
- (b) make "minor" changes in the Work as defined in Article 19, Changes in the Work,
- (c) reject or require the correction of Defective Work,
- (d) require the Contractor to stop the performance of Defective Work,
- (e) adjust an Application for Payment by the Contractor pursuant to Article 30, Certification and Approval of payments, and
- (f) issue Notices to Cure pursuant to Article 27.

**(2) The Architect is not authorized to:**

- (a) revoke, alter, relax, or waive any requirements of the Contract Documents (other than



- “minor” deviations and changes) without concurrence of the Owner,
- (b) finally approve or accept any portion of the Work without concurrence of the Owner,
  - (c) issue instructions contrary to the Contract Documents,
  - (d) issue Notice of Termination or otherwise terminate the Contract, or
  - (e) require the Contractor to stop the Work except only to avoid the performance of Defective Work.

**D. LIMITATIONS of RESPONSIBILITIES**

- (1) The Architect shall not be responsible to Contractors or to others for supervising or coordinating the performance of the Work or for the Construction Methods or safety of the Work, unless the Contract Documents give other specific instructions concerning these matters.
- (2) The Architect will not be responsible to the Contractor (nor the Owner) for the Contractor’s failure to perform the Work in accordance with the requirements of the Contract Documents or for acts or omissions of the Contractor, a Subcontractor, or anyone for whose acts they may be liable. However, the Architect will report to the Owner and Contractor any Defective Work recognized by the Architect.
- (3) The Architect will endeavor to secure faithful performance by Owner and Contractor, and the Architect will not show partiality to either or be liable to either for results of interpretations or decisions rendered in good faith.
- (4) The Contractor’s remedies for additional time or expense arising out of or related to this Contract, or the breach thereof, shall be solely as provided for in the Contract Documents. The Contractor shall have no claim or cause of action against the Owner, Architect, or its consultants for any actions or failures to act, whether such claim may be in contract, tort, strict liability, or otherwise, it being the agreement of the parties that the Contractor shall make no claim against the Owner or any agents of the Owner, including the Architect or its consultants, except as may be provided for claims or disputes submitted in accordance with Article 24. The Architect and Architect’s consultants shall be considered third party beneficiaries of this provision of the Contract and entitled to enforce same.

**E. ARCHITECT’S DECISIONS**

Decisions by the Architect shall be in writing. The Architect’s decisions on matters relating to aesthetic effect will be final and binding if consistent with the intent expressed in the Contract Documents. The Architect’s decisions regarding disputes arising between the Contractor and Owner shall be advisory.

**ARTICLE 43**  
**CASH ALLOWANCES**

- A. All allowances stated in the Contract Documents shall be included in the Contract Sum. Items covered by allowances shall be supplied by the Contractor as directed by the Architect or Owner and the Contractor shall afford the Owner the economy of obtaining competitive pricing from responsible bidders for allowance items unless other purchasing procedures are specified in the Contract Documents.
- B. Unless otherwise provided in the Contract Documents:

- (1) allowances shall cover the cost to the Contractor of materials and equipment delivered to the Project site and all applicable taxes, less applicable trade discounts;
  - (2) the Contractor's costs for unloading, storing, protecting, and handling at the site, labor, installation, overhead, profit and other expenses related to materials or equipment covered by an allowance shall be included in the Contract Sum but not in the allowances;
  - (3) if required, the Contract Sum shall be adjusted by Change Order to reflect the actual costs of an allowance.
- C. Any selections of materials or equipment required of the Architect or Owner under an allowance shall be made in sufficient time to avoid delay of the Work.

## **ARTICLE 44**

### **PERMITS, LAWS, and REGULATIONS**

#### **A. PERMITS, FEES AND NOTICES**

- (1) Unless otherwise provided in the Contract Documents, the Contractor shall secure and pay for the building permit and other permits and governmental fees, licenses, and inspections necessary for proper execution and completion of the Work which are customarily secured after award of the Construction Contract and which are in effect on the date of receipt of bids.
- (2) The Contractor shall comply with and give notices required by all laws, ordinances, rules, regulations, and lawful orders of public authorities applicable to performance of the Work.

#### **B. TAXES**

Unless stated otherwise in the Contract Documents, materials incorporated into the Work are exempt from sales and use tax pursuant to Section 40-9-33, Code of Alabama, 1975 as amended. The Owner, Contractor and its subcontractors shall be responsible for complying with rules and regulations of the Sales, Use, & Business Tax Division of the Alabama Department of Revenue regarding certificates and other qualifications necessary to claim such exemption when making qualifying purchases from vendors. The Contractor shall pay all applicable taxes that are not covered by the exemption of Section 40-9-33 and which are imposed as of the date of receipt of bids, including those imposed as of the date of receipt of bids but scheduled to go into effect after that date.

#### **C. COMPENSATION for INCREASES**

The Contractor shall be compensated for additional costs incurred because of increases in tax rates imposed after the date of receipt of bids.

#### **D. ALABAMA IMMIGRATION LAW**

Per ACT 2011-535 as codified in Title 31, Chapter 13 of the Code of Alabama, 1975, as amended:

The contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in

violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

**E. ALABAMA BOYCOTT LAW**

Per Act 2016-312 as codified in Title 41, Chapter 16, Article 1, of the Code of Alabama, 1975, as amended:

The contracting parties affirm, for the duration of the agreement, that they are not currently engaged in, and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

**F. ACCOUNTING OF SALES TAX EXEMPT PROJECTS**

Per Act 2013-205 as codified in Title 40, Chapter 9, Article 1, of the Code of Alabama, 1975, as amended:

In bidding the work on a tax exempt project, the bid form shall provide an accounting for the tax savings.

**ARTICLE 45**  
**ROYALTIES, PATENTS, and COPYRIGHTS**

The Contractor shall pay all royalties and license fees. The Contractor shall defend, indemnify and hold harmless the Owner, Architect, Architect's consultants, Alabama Division of Construction Management, State Department of Education (if applicable), and their agents, employees, and consultants from and against all claims, damages, losses and expenses, including but not limited to attorney's fees, arising out of, related to, or resulting from all suits or claims for infringement of any patent rights or copyrights arising out of the inclusion of any patented or copyrighted materials, methods, or systems selected by the Contractor and used during the execution of or incorporated into the Work. This indemnification does not apply to any suits or claims of infringement of any patent rights or copyrights arising out of any patented or copyrighted materials, methods, or systems specified in the Contract Documents. However, if the Contractor has information that a specified material, method, or system is or may constitute an infringement of a patent or copyright, the Contractor shall be responsible for any resulting loss unless such information is promptly furnished to the Architect.

**ARTICLE 46**  
**USE of the SITE**

- A. The Contractor shall confine its operations at the Project site to areas permitted by the Owner and by law, ordinances, permits and the Contract Documents and shall not unreasonably encumber the site with materials, equipment, employees' vehicles, or debris. The Contractor's operations at the site shall be restricted to the sole purpose of constructing the Work, use of the site as a staging, assembly, or storage area for other business which the Contractor may undertake shall not be permitted.
- B. Unless otherwise provided in the Contract Documents, temporary facilities, such as storage sheds,

shops, and offices may be erected on the Project site with the approval of the Architect and Owner. Such temporary buildings and/or utilities shall remain the property of the Contractor, and be removed at the Contractor's expense upon completion of the Work, unless the Owner authorizes their abandonment without removal.

#### **ARTICLE 47** **CUTTING and PATCHING**

- A. The Contractor shall be responsible for all cutting, fitting, or patching that may be required to execute the Work to the results indicated in the Contract Documents or to make its parts fit together properly.
- B. Any cutting, patching, or excavation by the Contractor shall be supervised and performed in a manner that will not endanger persons nor damage or endanger the Work or any fully or partially completed construction of the Owner or separate contractors.

#### **ARTICLE 48** **IN-PROGRESS and FINAL CLEANUP**

##### **A. IN-PROGRESS CLEAN-UP**

(1) The Contractor shall at all times during the progress of the Work keep the premises and surrounding area free from rubbish, scrap materials and debris resulting from the Work. Trash and combustible materials shall not be allowed to accumulate inside buildings or elsewhere on the premises. At no time shall any rubbish be thrown from window openings. Burning of trash and debris on site is not permitted.

(2) The Contractor shall make provisions to minimize and confine dust and debris resulting from construction activities.

##### **B. FINAL CLEAN-UP**

(1) Before Substantial Completion or Final Acceptance is achieved, the Contractor shall have removed from the Owner's property all construction equipment, tools, and machinery; temporary structures and/or utilities including the foundations thereof (except such as the Owner permits in writing to remain); rubbish, debris, and waste materials; and all surplus materials, leaving the site clean and true to line and grade, and the Work in a safe and clean condition, ready for use and operation.

(2) In addition to the above, and unless otherwise provided in the Contract Documents, the Contractor shall be responsible for the following special cleaning for all trades as the Work is completed:

- (a) **Cleaning of all painted, enameled, stained, or baked enamel work:** Removal of all marks, stains, finger prints and splatters from such surfaces.
- (b) **Cleaning of all glass:** Cleaning and removing of all stickers, labels, stains, and paint from all glass, and the washing and polishing of same on interior and exterior.
- (c) **Cleaning or polishing of all hardware:** Cleaning and polishing of all hardware.

**(d) Cleaning all tile, floor finish of all kinds:** Removal of all splatters, stains, paint, dirt, and dust, the washing and polishing of all floors as recommended by the manufacturer or required by the Architect.

**(e) Cleaning of all manufactured articles, materials, fixtures, appliances, and equipment:** Removal of all stickers, rust stains, labels, and temporary covers, and cleaning and conditioning of all manufactured articles, material, fixtures, appliances, and electrical, heating, and air conditioning equipment as recommended or directed by the manufacturers, unless otherwise required by the Architect; blowing out or flushing out of all foreign matter from all equipment, piping, tanks, pumps, fans, motors, devices, switches, panels, fixtures, boilers, sanitizing potable water systems; and freeing identification plates on all equipment of excess paint and the polishing thereof.

**C. OWNER'S RIGHT to CLEAN-UP**

If the Contractor fails to comply with these clean-up requirements and then fails to comply with a written directive by the Architect to clean-up the premises within a specified time, the Architect or Owner may implement appropriate clean-up measures and the cost thereof shall be deducted from any amounts due or to become due the Contractor.

**ARTICLE 49**  
**LIQUIDATED DAMAGES**

- A. Time is the essence of the Contract. Any delay in the completion of the Work required by the Contract Documents may cause inconvenience to the public and loss and damage to the Owner including but not limited to interest and additional administrative, architectural, inspection and supervision charges. By executing the Construction Contract, the Contractor agrees that the Contract Time is sufficient for the achievement of Substantial Completion.
- B. The Contract Documents may provide in the Construction Contract or elsewhere for a certain dollar amount for which the Contractor and its Surety (if any) will be liable to the Owner as liquidated damages for each calendar day after expiration of the Contract Time that the Contractor fails to achieve Substantial Completion of the Work. If such daily liquidated damages are provided for, Owner and Contractor, and its Surety, agree that such amount is reasonable and agree to be bound thereby.
- C. If a daily liquidated damage amount is not otherwise provided for in the Contract Documents, a time charge equal to six percent interest per annum on the total Contract Sum may be made against the Contractor for the entire period after expiration of the Contract Time that the Contractor fails to achieve Substantial Completion of the Work.
- D. The amount of liquidated damages due under either paragraph B or C, above, may be deducted by the Owner from the moneys otherwise due the Contractor in the Final Payment, not as a penalty, but as liquidated damages sustained, or the amount may be recovered from Contractor or its Surety. If part of the Work is substantially completed within the Contract Time and part is not, the stated charge for liquidated damages shall be equitably prorated to that portion of the Work that the Contractor fails to substantially complete within the Contract Time. It is mutually understood and agreed between the parties hereto that such amount is reasonable as liquidated damages.

**ARTICLE 50**  
**USE of FOREIGN MATERIALS**

- A. In the performance of the Work the Contractor agrees to use materials, supplies, and products manufactured, mined, processed or otherwise produced in the United States or its territories, if same are available at reasonable and competitive prices and are not contrary to any sole source specification implemented under the Public Works Law.
- B. In the performance of the Work the Contractor agrees to use steel produced in the United States if the Contract Documents require the use of steel and do not limit its supply to a sole source pursuant to the Public Works Law. If the Owner decides that the procurement of domestic steel products becomes impractical as a result of national emergency, national strike, or other cause, the Owner shall waive this restriction.
- C. If domestic steel or other domestic materials, supplies, and products are not used in accordance with preceding Paragraphs A and B, the Contract Sum shall be reduced by an amount equal to any savings or benefits realized by the Contractor.
- D. This Article applies only to Public Works projects financed entirely by the State of Alabama or any political subdivision of the state.

**ARTICLE 51**  
**PROJECT SIGN**

- A. Fully locally-funded State Agency and Public Higher Education projects: DCM Form C-15: Detail of Project Sign must be included in the project manual regardless of expected bid amount. If the awarded contract sum is \$100,000.00 or more, Contractor shall furnish and erect a project sign. Other conditions besides the contract sum may warrant waiver of this requirement, but only with approval of the Technical Staff.
- B. Fully locally-funded K-12 school projects: Project sign is not required unless requested by Owner; if project sign is requested by Owner, include DCM Form C-15: Detail of Project Sign in the project manual.
- C. Partially or fully PSCA-funded projects: DCM Form C-15: Detail of Project Sign must be included in the project manual. Contractor shall furnish and erect a project sign for all PSCA-funded projects, regardless of the contract sum. "Alabama Public School and College Authority" as well as the local owner entity must be included as awarding authorities on the project sign of all PSCA-funded projects.

When required per the above conditions, the project sign shall be erected in a prominent location selected by the Architect and Owner and shall be maintained in good condition until completion of Work. If the Contract involves Work on multiple sites, only one project sign is required, which shall be erected on one of the sites in a location selected by the Architect and Owner. Slogan: The title of the current PSCA Act should be placed on the project sign of all PSCA-funded projects, otherwise the Awarding Authority/Owner's slogan, if any, should be used. If the Awarding Authority/Owner of a fully locally-funded project does not have a slogan, the project sign does not require a slogan.

## **SUPPLEMENTARY CONDITIONS OF THE CONTRACT**

### **PART 1 GENERAL**

#### **1.01 PURPOSE**

- A. The changes, deletions and omissions to DCM Form C-8, General Conditions of the Contract, relate to the limited contract period of the project.
  - 1. Article 4 – Documents Furnished to Contractor: zero (0) sets of Drawings and Project Manuals will be furnished to the Contractor by the Architect without charge (this includes the set or sets that the Contractor used in the bidding process). Other copies requested will be furnished at reproduction cost.
  - 2. Article 19 - Changes in the work:
    - b. Paragraph B (3) (f) - add subparagraph 1 and its subparagraphs to read as follows:
      - 1. The following fees apply to changes in the Work:
        - a. 15 percent overhead and profit on the net cost of own Work;
        - b. 10 percent on the cost of Work done by any subcontractor.
        - c. The Agreement identifies the overhead and profit fees applicable for changes in the Work, whether additions to or deductions from the Work on which the Contract Sum is based and identifies the fees for subcontract work for changes (both additions and deductions in the Work. The Contractor shall apply fees as noted, to the Subcontractor's gross (net plus fee) costs on addition work.
    - c. Paragraph D - add subparagraph (8) to read as follows:
      - (8). All deductive Change Orders are to include a minimum 5 percent return for profit and overhead.
  - 3. Article 23 - Delays: Paragraph B (2) - delete in its entirety. Time extensions as they relate to weather are outlined in the appendix WEATHER DELAYS attached hereto.
  - 4. Article 29 - Schedule of Values: Add Article 29 in Appendix C attached hereto.
  - 5. Article 44 - Permits, Laws, and Regulations,
    - a. Paragraph A - Permits, Fees, and Notices - The General Contractor is not required to secure and pay for a building permit from the local inspection department.
    - b. Paragraph A – Add subparagraph (1) (a) to read as follows, “Public Works Projects Bidding After October 1, 2014, the General Contractor shall secure and pay for building permit fee required under Administrative Rule 170X-8 of The Alabama Division of Construction Management. See attached Permit Fee Calculation Worksheet.”

### **PART 2 PRODUCTS - NOT USED**

### **PART 3 EXECUTION - NOT USED**

## **END OF SECTION**

## APPENDIX A

### SUPPLEMENTARY CONDITIONS OF THE CONTRACT - WEATHER DELAYS

#### EXTENSIONS OF CONTRACT TIME

Extension of time on the basis of weather may be granted only for the number of Weather Delay Days in excess of the number of days listed as the Standard baseline for the month.

#### STANDARD BASELINE FOR AVERAGE CLIMATIC RANGE

Based on weather data available from the National Oceanic and Atmospheric Administration a Standard Baseline of average climatic range for North Alabama has been determined.

Standard Baseline shall be regarded as the normal and anticipatable number of calendar days for each month during which construction activity shall be expected to be prevented and suspended by cause of adverse weather. Suspension of construction activity for the number of days each month as listed in the Standard Baseline is included in the Work and is not eligible for extension of Contract Time.

Standard Baseline for precipitation is as follows:

Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
06	09	08	08	07	06	07	08	03	05	05	08

Standard Baseline for temperature is as follows:

Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
06	02	01	00	00	00	00	00	00	00	01	02

#### ADVERSE WEATHER AND WEATHER DELAY DAYS

Adverse Weather is defined as the occurrence of one or more of the following conditions which prevents exterior construction activity or access to the site within twenty-four (24) hours:

1. Precipitation (rain, snow, or ice) in excess of one-tenth (0.10") liquid measure.
2. Temperatures which do not rise above 32 degrees F by 10:00 a.m.
3. Temperatures which do not rise above that specified by day's construction activity by 10:00 a.m., if any is specified.
4. Sustained wind in excess of twenty-five (25) m.p.h.
5. Standing snow in excess of one inch (1.00")

Adverse Weather may include, if appropriate, "dry-out" or "mud" days when all the following conditions are met:

1. For rain days above the standard baseline.



2. Only if there is a hindrance to site access or sitework, such as excavation backfill, and footings.
3. At a rate no greater than 1 make-up day for each day or consecutive days or rain beyond the standard baseline that totals 1.0 inch or more, liquid measure, unless specifically recommended otherwise by the Designer.

A Weather Delay Day may be counted if adverse weather prevents work on the project for fifty percent (50%) or more of the contractor's scheduled work day, including a weekend day or holiday.

#### **REPORTING OF WEATHER DELAYS**

Contractor will provide written notice to the Architect, and Construction Manager, by fax, of a day claimed as a potential basis for delay. Notice of a potential basis for delay must be received by the Architect by 9:00 a.m. on the day immediately following the day claimed. At the end of the month the total days claimed will be compared to the Standard Baseline. Bad weather days exceeding the days indicated on the Standard Baseline will be granted as an extension of time.

#### **END OF APPENDIX A**

## APPENDIX C

### SUPPLEMENTARY CONDITIONS OF THE CONTRACT – ARTICLE 29

#### 29. SCHEDULE OF VALUES

- A. In accordance with the General Conditions of the Contract, Article 29, Paragraph B, the Contractor shall submit for approval a Schedule of Values as shown below. Items that are not applicable to this project may be omitted.

<b>No.</b>	<b><i>Divisions of Work</i></b>
<i>1</i>	<i>Bonds, Insurance &amp; Permits</i>
<i>2</i>	<i>General Conditions</i>
<i>3</i>	<i>Allowances</i>
<i>4</i>	<i>Abatement</i>

**END OF SECTION**

DCM (BC) No. \_\_\_\_\_

PSCA Projects: PSCA No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date: \_\_\_\_\_

# APPLICATION and CERTIFICATE for PAYMENT

Attach DCM Form C-10SOV: Schedule of Values

TO OWNER: Entity Name: Address:	PROJECT:
FROM CONTRACTOR: Company Name & Address, which must exactly match co. name & payment address spelling as registered in State of AL Accounting & Resource System (STAARS) or AL Buys to avoid rejection: STAARS or AL Buys Vendor #:	ARCHITECT / ENGINEER: Firm Name: Address:

A. Total Original Contract	\$	
B. Fully Executed (fully signed) Change Order(s) Numbers ___ through ___	+\$	_____
C. Total Contract To Date	\$	_____
<hr/>		
1. Work Completed to Date per attached Schedule of Values <i>(Form C-10SOV's Column F Total)</i>	\$	_____
2. Materials Presently Stored <i>(When this amount is greater than \$0.00, attach Form C-10SM: Inventory of Stored Materials, or similar list)</i>	+\$	_____
3. Total Work Completed to Date & Materials Presently Stored ( $\frac{\quad}{\quad}$ % of Contract To Date)	\$	_____
4. Less Retainage <i>(If Total Work Completed to Date &amp; Materials Presently Stored (#3) is less than or equal to 50% of Total Contract to Date (C), Retainage = #3 x 0.05. Once #3 exceeds 50% of C and up until project is complete, Retainage = C x 0.025. \$0 is retained on final payment application, see last bullet point below Instructions.)</i>	-\$	_____
5. Total Due	\$	_____
6. Less Total Previous Payments Billed <i>(Must exactly match #5 Total Due from previous payment application. # 6 is \$0.00 if there is no previous payment application)</i>	-\$	_____
7. Balance Due This Estimate	\$	_____

Final pay app?  
☐ Yes.

<b>CONTRACTOR'S CERTIFICATION</b> The undersigned Contractor certifies that to the best of his knowledge, information, and belief the Work covered by this Application for Payment has been completed in accordance with the Contract Documents, that all amounts have been paid by him for Work for which previous Certificates for Payments were issued and payments received from the Owner and that current payment shown herein has not yet been received.  By: _____ Date: _____ Contractor's Signature  Name & Title _____  Sworn and subscribed before me this _____ day of _____ Month, Year Seal: _____  _____ Notary Public's Signature	<b>ARCHITECT'S / ENGINEER'S CERTIFICATION</b> In accordance with the Contract Documents, the Architect/ Engineer certifies to the Owner that, to the best of the Architect's/ Engineer's knowledge and belief, the Work has progressed to the point indicated herein, the quality of the Work is in accordance with the Contract Documents, and the Contractor is entitled to payment of the amount approved.  By _____ Architect's / Engineer's Signature  Name & Title _____  Date _____
---	--

<b>INSTRUCTIONS</b> <ul style="list-style-type: none"> <li>• PSCA-funded projects, and State Agency-owned projects: Two copies of pay. app., each with original signatures and all attachments required.</li> <li>• Date of first payment application cannot precede the Notice to Proceed's Begin Date.</li> <li>• Pay. app. must exactly match an attached DCM Form C-10SOV: Schedule of Values.</li> <li>• A change order must be fully executed before inclusion on a payment application.</li> <li>• Contractor's signature date cannot precede the payment application date.</li> <li>• Contractor and Notary signee dates must match.</li> <li>• Progress schedules must be included with non-final payment applications.</li> <li>• One payment application per month may be submitted.</li> <li>• On a final payment application, the following is required for release of retainage: all change orders must be fully executed (signed by all parties and approval authorities) and included in B., the Certificate of Substantial Completion for entire work is fully executed, and all other close-out requirements per General Conditions Article 34 are completed.</li> </ul>	<b>APPROVAL</b>  _____ Owner Entity  By _____ Signature  Name & Title _____  Date _____
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## INVENTORY OF STORED MATERIALS

DCM Form C-10SM

Revised October 2021

Project:

DCM (BC) No.:

PSCA No, if any:

Contractor Company:

For Estimate No.:

For Period Ending:

A	B	C	D	E
Description	Materials Stored Last Period	Materials Purchased This Period (period noted above)	Materials Used This Period (period noted above)	Materials Presently Stored (B + C - D)
TOTALS:				

**Instructions :**

- This Form C-10SM must be submitted as part of the payment application documentation when a Materials Presently Stored amount of anything greater than \$0 is noted on line 2 of DCM Form C-10: Application and Certificate for Payment.
- Receipts must be provided as attachments to this form C-10SM for all amounts placed in Column C: Materials Purchased This Period.
- The total \$ amount of this Form C-10SM's column E: Materials Presently Stored must match both Form C-10's line 2: Materials Presently Stored, and Form C-10SOV: Schedule of Values' total \$ amount of Column G: Materials Presently Stored.
- The \$ amounts in this current Form C-10SM's Column D: Materials Used This Period are amounts that must all be included in the current payment application's Form C-10SOV's Column E: Work Completed This Period.
- The \$ amounts in this current Form C-10SM's Column E: Materials Presently Stored are the amounts that must be listed in the next payment application's Form C-10SM's Column B: Materials Stored Last Period.

# SCHEDULE OF VALUES (SOV)

DCM Form C-10SOV  
Revised October 2021

Project:	DCM (BC) Project Number:
	PSCA Project Number, if any:

Contractor Company:	Application Number:
	Application Date:
	Period From: <span style="float: right;">Period To:</span>

A	B	C	D	E	F	G	H	I	J
Item No.	Description of Work	Scheduled Value (including fully executed [signed by all parties] change order amounts)	Work Completed		Total Work Completed to Date (This application SOV's D + E)	Materials Presently Stored (G total greater than \$0 must match C-10SM's column E total. This SOV's G amounts are not in this SOV's D nor E amounts.)	Total Work Completed to Date & Materials Presently Stored (This SOV's F + G)	Percent of Contract Completed to Date (This SOV's H / C)	Retainage (This column's Total's cell formula calculates the applicable variable rate)
			Work Previously Completed (Previous pay app SOV's column F. D is \$0 if this SOV is for first pay app.)	Work Completed This Period (Period as noted above)					
1.					\$ -		\$ -		Retainage Variable Rate:  If Total Work Completed to Date & Materials Presently Stored (H) is less than or equal to 50% of Total Scheduled Value (C), Retainage = $H \times 0.05$ .  Once H exceeds 50% of C and up until project is complete, Retainage = $C \times 0.025$ .  There will be no retainage on final payment application.
2.					\$ -		\$ -		
3.					\$ -		\$ -		
4.					\$ -		\$ -		
5.					\$ -		\$ -		
6.					\$ -		\$ -		
7.					\$ -		\$ -		
8.					\$ -		\$ -		
9.					\$ -		\$ -		
10.					\$ -		\$ -		
11.					\$ -		\$ -		
12.					\$ -		\$ -		
13.					\$ -		\$ -		
14.					\$ -		\$ -		
15.					\$ -		\$ -		
16.					\$ -		\$ -		
17.					\$ -		\$ -		
18.					\$ -		\$ -		
19.					\$ -		\$ -		
20.					\$ -		\$ -		
21.					\$ -		\$ -		
22.					\$ -		\$ -		
23.					\$ -		\$ -		
24.					\$ -		\$ -		
25.					\$ -		\$ -		
TOTALS:		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		\$ -
This pay app SOV's column totals must match amounts in this pay app Form C-10 per the following indicated Form C-10 line #s:		C.	None	None	1.	2.	3.	3.	4.

Note: If this SOV's column G: Materials Presently Stored includes any amounts other than \$0, then DCM Form C-10SM: Inventory of Stored Materials with back-up receipts must be submitted as part of the payment application documentation.

# FINAL PAYMENT CHECKLIST (FPC)

To be completed by the Architect/Engineer and submitted to DCM for review; applicable only to state agencies, partially or fully PSCA-funded and other bond-funded projects (exception: Alabama Community College System (ACCS) PSCA-funded projects with Notice-To-Proceeds issued after July 31, 2021). Two copies of the FPC are required. Each copy of the FPC shall include all attachments including the Contractor's Application for Final Payment. *If all PSCA funds are expended prior to Final Payment, it is not a requirement to submit the Application & Certificate for Final Payment along with the supporting documentation to DCM.*

(For further guidance refer to Article 34/Final Payment of DCM Form C-8: General Conditions of the Contract.)

<b>PROJECT:</b>		<b>DCM (BC) No.</b> _____  <b>PSCA No.</b> _____ <div style="text-align: right; font-size: small;">(If applicable)</div>
YES	N/A	<b>Select "YES" or "N/A" as applicable.</b>
<input type="checkbox"/>	<input type="checkbox"/>	Application and Certificate for Final Payment, DCM Form C-10: Attach one copy to FPC. The application must include original signatures of all parties and include all application attachments.
<input type="checkbox"/>	<input type="checkbox"/>	Certificate of Substantial Completion, DCM Form C-13: Attach one fully-executed copy to FPC.
<input type="checkbox"/>	<input type="checkbox"/>	Advertisement for Completion, DCM Form C-14: Attach one copy of the affidavit of publication (including the advertisement) to the FPC.
<input type="checkbox"/>	<input type="checkbox"/>	Contractor's Affidavit of Payment of Debts & Claims, DCM Form C-18: Attach one copy to FPC.
<input type="checkbox"/>	<input type="checkbox"/>	Contractor's Affidavit of Release of Liens, if required by Owner, DCM Form C-19: Attach one copy to the FPC.
<input type="checkbox"/>	<input type="checkbox"/>	Consent of Surety to Final Payment, if any, To Contractor, DCM Form C-20: Consent is required for projects with P&P Bonds. Original has been delivered to Owner. Attach one copy to FPC.
<input type="checkbox"/>	<input type="checkbox"/>	General Contractor's Roofing Guarantee, DCM Form C-9, and Other Specified Roofing Guarantees, if any: Attached to Certificate of Substantial Completion.
<input type="checkbox"/>	<input type="checkbox"/>	Contractor's One-Year Warranty: Original has been delivered to the Owner. Attach one copy to the FPC.
<input type="checkbox"/>	<input type="checkbox"/>	Other Warranties: All other specified original warranties has been delivered to the Owner. Attach one copy to the FPC.
<input type="checkbox"/>	<input type="checkbox"/>	Record Documents: Specified "As-built" plans and specifications have been delivered to the Owner.
<input type="checkbox"/>	<input type="checkbox"/>	O & M Manuals: Specified instructions and O&M Manuals have been delivered to the Owner.
<input type="checkbox"/>	<input type="checkbox"/>	Time Extension: Over-run of Contract Time has been reconciled by: <div style="display: flex; justify-content: space-around; align-items: center;"> <input type="checkbox"/> Change Order           <input type="checkbox"/> Liquidated Damages           <input type="checkbox"/> Attached explanation         </div>
<input type="checkbox"/>	<input type="checkbox"/>	Additional Documents or Explanations which are attached:     
<b>Submitted By:</b> _____ <div style="text-align: center; font-size: small;">Architectural / Engineering Firm</div>		
_____ Signature	_____ Printed Name and Title	_____ Date

**Final Reconciliation of Fees:** Between the final change order execution and the year-end inspection, report the final project cost to <https://appengine.egov.com/apps/al/dcm-fees> (back-up is not needed unless requested by DCM). DCM will then email a Final Reconciliation of Fees Statement to the Owner. If the Final Statement shows a net payment is owed to DCM, that amount must be paid prior to scheduling the year-end inspection. If the Final Statement shows a net refund is owed then a check will be mailed to the Owner.

SAMPLE PROGRESS SCHEDULE & REPORT				CONTRACTOR (Contractor may use own form in lieu of Form C-11):								DATE OF REPORT:							
DCM (BC) No.:												PROCEED DATE:							
PSCA projects: PSCA No.:																			
PROJECT:				ARCHITECT/ENGINEER:								PROJECTED COMPLETION DATE:							
WORK DIVISION		%	AMOUNT																
1.	GENERAL REQUIREMENTS																		
2.	SITEWORK																		
3.	CONCRETE																		
4.	MASONRY																		
5.	METALS																		
6.	WOOD AND PLASTIC														100%				
7.	THERMAL AND MOISTURE PROTECTION														90%				
8.	DOORS AND WINDOWS														80%				
9.	FINISHES														70%				
10.	SPECIALTIES														60%				
11.	EQUIPMENT														50%				
12.	FURNISHINGS														40%				
13.	SPECIAL CONSTRUCTION														30%				
14.	CONVEYING SYSTEMS														20%				
15.	MECHANICAL														10%				
16.	ELECTRICAL														0%				
TOTAL ORIG. CONTRACT		100%																	
ANTICIPATED DRAW IN \$1,000																			
ACTUAL DRAW IN \$1,000																			
<div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div>																			
LEGEND: ANTICIPATED ACTIVITY												ACTUAL ACTIVITY		ANTICIPATED CASH FLOW		ACTUAL CASH FLOW		USE ADDITIONAL SHEETS IF JOB IS SCHEDULED OVER 12 MONTHS.	

DCM Form C-11  
August 2021

## CONTRACT CHANGE ORDER

Change Order No. \_\_\_\_\_ Date \_\_\_\_\_ DCM (BC) No. \_\_\_\_\_

<b>TO: (Contractor)</b> Co. Name: Address:	<b>PROJECT:</b>
--	-----------------

TERMS: You are hereby authorized, subject to the provisions of your Contract for this project, to make the following changes thereto in accordance with your proposal(s) dated \_\_\_\_\_.

FURNISH the necessary labor, materials, and equipment to *(Description of work to be done or changes to be made. If the description is continued in an attachment, identify the attachment below.):*



Description continued from Page 1:

ORIGINAL CONTRACT SUM \$ \_\_\_\_\_  
NET TOTAL OF PREVIOUS CHANGE ORDERS \$ \_\_\_\_\_  
PREVIOUS REVISED CONTRACT SUM \$ \_\_\_\_\_  
THIS CHANGE ORDER WILL ☐ INCREASE ☐ DECREASE  
THE CONTRACT SUM BY \$ \_\_\_\_\_  
REVISED CONTRACT SUM, INCLUDING THIS CHANGE ORDER \$ \_\_\_\_\_

EXTENSION OF TIME resulting from this Change Order ☐ None or \_\_\_\_\_ Calendar days.

The Owner does hereby certify that this Change Order was executed in accordance with the provisions of Title 39, Code of Alabama, 1975, as amended.

<p>_____</p> <p>Architectural/Engineering Firm</p> <p>Recommended By _____</p> <p>Name &amp; Title _____</p>
--

**APPROVAL**

<p><b>ALABAMA STATE DEPARTMENT OF EDUCATION</b> <b>(SDE)</b> <i>(Required for locally-funded, SDE projects.)</i></p> <p>By _____ Date: _____</p> <p>State Superintendent of Education</p>
---

**CONTRACTING PARTIES**

<p>_____</p> <p>Contractor Company</p> <p>By _____</p> <p>Name &amp; Title _____</p>
--

<p>_____</p> <p>Awarding Authority/Owner Entity</p> <p>By _____</p> <p>Name &amp; Title _____</p>
---

<p><b>CONSENT OF SURETY</b> (for additive \$ change orders only)</p> <p>_____</p> <p>Surety Company</p> <p>By _____</p> <p>(Attach current Power of Attorney)</p> <p>Name &amp; Title _____</p>
---

Review/Signature flow: Architect/Engineer (prepare documents) > Contractor (review and sign) (> Surety for additive \$ change orders only [sign]) > Architect/Engineer (review and sign) > Owner (review and sign) > SDE (review, sign, distribute the fully executed Change Order to all parties and forward a copy to the Alabama Division of Construction Management [DCM]). Note: DCM does not sign fully locally-funded SDE project contract documents.

TO: **Alabama Department of Finance**

**Real Property Management**

**Division of Construction Management**

770 Washington Avenue, Suite 444  
Montgomery, Alabama 36104  
(334) 242-4082 FAX (334) 242-4182

# CHANGE ORDER JUSTIFICATION

**Change Order No.** \_\_\_\_\_

**Date:** \_\_\_\_\_

**DCM (BC) No.** \_\_\_\_\_

*Purpose and instructions on next page.*

*Do not staple this form and/or attachments; use clips.*

<b>(A)</b>	PROJECT NAME & LOCATION:	OWNER ENTITY NAME & ADDRESS:						
	CONTRACTOR COMPANY NAME & ADDRESS:	ARCHITECTURAL / ENGINEERING FIRM NAME & ADDRESS:						
<b>(B)</b>	DESCRIPTION OF PROPOSED CHANGE(S): <b>ATTACH CONTRACTOR'S DETAILED COST PROPOSAL(s)</b>							
	<b>AMOUNT:</b> <input type="checkbox"/> <b>ADD</b> <input type="checkbox"/> <b>DEDUCT</b> \$ _____ <b>TIME EXTENSION:</b> _____ <b>CALENDAR DAYS</b>							
<b>(C)</b>	<table style="width: 100%; border: none;"> <tr> <td style="width: 33%;">ORIGINAL CONTRACT AMOUNT</td> <td style="width: 33%;">PREVIOUS C.O.'s _____ THRU _____</td> <td style="width: 34%; text-align: right;">CONTRACT AMOUNT PRIOR TO PROPOSED CHANGE ORDER</td> </tr> <tr> <td>\$ _____</td> <td>+ \$ _____</td> <td>= \$ _____</td> </tr> </table>		ORIGINAL CONTRACT AMOUNT	PREVIOUS C.O.'s _____ THRU _____	CONTRACT AMOUNT PRIOR TO PROPOSED CHANGE ORDER	\$ _____	+ \$ _____	= \$ _____
ORIGINAL CONTRACT AMOUNT	PREVIOUS C.O.'s _____ THRU _____	CONTRACT AMOUNT PRIOR TO PROPOSED CHANGE ORDER						
\$ _____	+ \$ _____	= \$ _____						
<b>(D)</b>	JUSTIFICATION FOR NEED OF CHANGE(S):							
<b>(E)</b>	JUSTIFICATION OF CHANGE ORDER vs. COMPETITIVE BID:							
<b>(F)</b>	ARCHITECT / ENGINEER'S EVALUATION OF PROPOSED COST:							
<b>(G)</b>	<b>CHANGE ORDER RECOMMENDED</b>  _____ ARCHITECTURAL / ENGINEERING FIRM NAME  By: _____ ARCHITECT / ENGINEER'S SIGNATURE  By: _____ OWNER'S PROJECT REPRESENTATIVE'S SIGNATURE	<b>CHANGE ORDER JUSTIFIED AND APPROVED</b>  _____ LOCAL OWNER ENTITY NAME  By: _____ OWNER'S SIGNATURE  By: _____ OWNER'S LEGAL COUNSEL'S SIGNATURE						

## CHANGE ORDER JUSTIFICATION: PURPOSE and INSTRUCTIONS

### PURPOSE

The awarding of work through an existing contract may potentially conflict with, or violate, the "Competitive Bid Laws" of the State of Alabama. **The determination of legality of Change Orders rests with the Awarding Authority and its legal advisor.** In a June 15, 1979, Opinion, the Office of the Attorney General offered guidelines for making such determinations in conjunction with considering the facts and merits of each situation. The purpose of the CHANGE ORDER JUSTIFICATION is to provide a means through which the Awarding Authority considers these guidelines and the intent of the "Competitive Bid Laws" when authorizing Change Orders. Pursuant to these guidelines, the following types of changes meet the criteria for awarding work through Change Orders in lieu of through the Competitive Bid process:

- I. Minor Changes for a monetary value less than required for competitive bidding.
- II. Changes for matters relatively minor and incidental to the original contract necessitated by unforeseeable circumstances arising during the course of the work.
- III. Emergencies arising during the course of the work of the contract.
- IV. Bid alternates provided for in the original bidding where there is no difference in price of the change order from the original best bid on the alternate.
- V. Changes of relatively minor items not contemplated when the plans and specifications were prepared and the project was bid which are in the public interest and which do not exceed 10% of the contract price.

Under these guidelines the cumulative total of Change Orders, including any negotiations to bring the original contract price within the funds available, would become questionable if the total of such changes and negotiations exceed 10% of the original contract price. These guidelines are not intended to interfere with the Awarding Authority's good faith discretion to respond to specific situations in the public's best interest. If the cumulative change order amount exceeds 10% of the original contract amount then the Owner's legal consultant must sign the Change Order Justification prior to submission to the Division of Construction Management (DCM).

### INSTRUCTIONS

The CHANGE ORDER JUSTIFICATION is to be prepared by the design professional, who has evaluated the fairness and reasonableness of the proposed cost of the change(s) and recommends that the proposed Change Order be executed. The fully executed Form B-11: CHANGE ORDER JUSTIFICATION must accompany the proposed DCM Form C-12: Change Order. Instructions for completing the B-11 form are:

1. Insert the proposed Change Order Number, date of the Justification, and DCM (BC) Project Number in the spaces provided in the upper right-hand corner.
2. **Section (A):** Insert the complete name and address of the PROJECT, OWNER, CONTRACTOR, AND ARCHITECT/ENGINEER.
3. **Section (B):** Provide a complete description of the proposed changes in work, referring to and attaching revised specifications and/or drawings as appropriate. An attachment may be used if additional space is needed, but insert the proposed amount and time extension of the change(s) in the spaces provided. **Attached a copy of the contractor's detailed cost proposal.**
4. **Section (C):** Insert the Original Contract amount, the net increase or decrease of previous Change Orders, and the Current Contract amount (preceding the currently proposed Change Order).
5. **Section (D):** Explain why it is necessary, or in the public's interest, to make the proposed change(s) to the Work.
6. **Section (E):** Explain why award of the changed work to the existing contractor instead of awarding the work under the competitive bid process is justified.
7. **Section (F):** The design professional must state his evaluation of the reasonableness and fairness of the proposed costs based upon his review of the contractor's proposal.
8. **Section (G):** The design professional must recommend the Change Order to the Owner by signing the document; the Owner may require such recommendation from other individuals. The Owner must sign the document indicating that they believe change order action in lieu of the competitive bid process is justified for the proposed change(s). **Review of the matter and signing of the document by the Owner's legal counsel is highly recommended. If the cumulative change order amount exceeds 10% of the original contract amount then the Owner's legal consultant must sign the Change Order Justification prior to submission to DCM.**

**Alabama Department of Finance  
Real Property Management  
Division of Construction Management**

770 Washington Avenue, Suite 444  
Montgomery, Alabama 36104  
(334) 242-4082 (phone)

DCM Form B-12  
Revised July 2022

# CHANGE ORDER CHECKLIST

*For use with DCM Form C-12 and DCM Form 9-J*

## WHICH FORM DO YOU USE

Use **DCM Form C-12** for contracts of state agencies and departments and State Department of Education (SDE) projects. Also use for ACCS projects with Notice-to-Proceeds issued prior to August 1, 2021.

Use **DCM Form 9-J** for contracts of projects partially or fully Public School and College Authority (PSCA)-funded, except for ACCS projects with Notice-To-Proceeds issued after July 31, 2021. Include a completed

**DCM Form B-11: Change Order Justification** with **each copy of** either DCM Forms C-12 or 9-J.

Verify that the following information is inserted in the spaces provided on the CONTRACT CHANGE ORDER form, or attached to the form where attachments are noted to be acceptable or obviously necessary. Do not staple forms; use clips.

1.	<b>CHANGE ORDER NUMBER:</b> Insert current change order number.
2.	<b>DATE:</b> Insert date.
3.	<b>DCM (BC) PROJECT NUMBER</b> Insert DCM Project Number in the block provided at top of document.
4.	<b>CONTRACTOR</b> Insert name and address of the Contractor, exactly as they appear on the Construction Contract.
5.	<b>NAME OF PROJECT</b> Under Project, insert the complete name of the project as identified in the bid documents. If using DCM Form 9-J, insert the PSCA Project Number in the space provided.
6.	<b>CONTRACTOR'S PROPOSALS</b> Under TERMS, identify the change order proposals submitted by the contractor that are being addressed by the Contract Change Order. Identify these proposals by inserting their dates.
7.	<b>DESCRIPTION OF THE CHANGE S IN WORK</b> Fully describe the change or changes to the original contract work for which the Construction Contract is being modified. This description should be written so that a reader of the document who is not directly involved in the project can understand what is being changed. If the space provided on the form is inadequate for such a description, use attachments and cite them.
8.	<b>CONTRACT AND CHANGE ORDER AMOUNTS</b> Insert the applicable dollar amounts to record the original contract sum, change orders, and the currently revised contract sum.
9.	<b>EXTENSION OF TIME</b> If the Contract Time is being extended by the Contract Change Order, insert appropriate number of <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> in the space provided. If the Contract Time is not being extended, insert NONE.
10.	<b>RESPONSIBILITY FOR CHANGE ORDER FUNDING - DCM Form 9-J ONLY</b> The authority responsible for funding the change order is to be identified in the following sentence in the form: The amount of this Change Order will be the responsibility of _____. Insert whichever is appropriate: (1) PSCA, (2) name of LEA, or (3) PSCA and name of LEA.
11.	<b>SIGNATURES</b> The signature spaces for State Agency, PSCA and fully locally-funded Alabama Community College System projects are different from each other. Download the appropriate document per Owner/project type from <a href="http://www.dcm.alabama.gov/forms.aspx">www.dcm.alabama.gov/forms.aspx</a> . Before submitting a Contract Change Order to DCM, the document must be signed by the contractor, surety (for additive change orders only), design professional and owner (local owner or using agency). Signature by the surety is not necessary on deductive change orders or change orders involving only extensions of time. If the cumulative change order amount exceeds 10% of the original contract amount then the Owner's legal consultant must sign DCM Form B-11: Change Order Justification.
12.	<b>ATTACHMENTS</b> To each of the three (3) copies (with original signatures) of the Contract Change Order form, attach with clips (do not staple): a. Contractor's change order proposals and/or invoices providing a detailed breakdown of change order costs. General Contractors (GC) must include subcontractors' (sub) quotes as backup. All GC and sub quotes must be broken down by labor (hours and rates), materials including quantities and unit prices (with receipts or quotes attached), equipment whether rented or owned (with receipts or quotes attached), and Overhead & Profit (OH&P). 1. Total OH&P can be a maximum of 25% divided between GC and subs; GC can have a maximum of 15% OH&P (in which case a sub could have up to 10% OH&P). See General Conditions- Article #19. 2. Sales tax cannot be included in change orders. 3. Deductive change orders also require backup including breakdown of labor and material, and must also deduct OH&P if included in original bid. Include specification section regarding allowances. b. <b>POWER OF ATTORNEY</b> for the individual signing the Contract Change Order for the surety. c. <b>DCM Form B-11, CHANGE ORDER JUSTIFICATION:</b> completed and signed by the design professional and owner.

TO: **Alabama Department of Finance  
Real Property Management  
Division of Construction Management**

770 Washington Avenue, Suite 444  
Montgomery, AL 36130-1150  
(334) 242-4082

*Do not staple this form and/or attachments; use clips.  
Print single-sided; do not submit double-side printed documents.*

DCM Form C-13A  
Revised November 2022;  
(To be used for fully locally-funded K-12 & Public 4-Year University  
Capital Improvement, HVAC, & Roof Projects with **both** a total cost  
of \$750,000 or Less **and a contract awarded on or after 10/01/22**)

## CERTIFICATE OF SUBSTANTIAL COMPLETION

**ROUTING PROCEDURES** ON NEXT PAGE

DCM (BC) No. \_\_\_\_\_

<b>OWNER ENTITY NAME AND ADDRESS:</b>    Email to receive executed copy: _____	<b>ARCHITECTURAL / ENGINEERING FIRM NAME AND ADDRESS:</b>    Email to receive executed copy: _____
<b>CONTRACTOR COMPANY NAME AND ADDRESS:</b>    Email to receive executed copy: _____	<b>BONDING COMPANY NAME AND ADDRESS:</b>    Email to receive executed copy: _____
<b>PROJECT:</b>          	

**Substantial Completion** has been achieved for ☐ the entire Work ☐ the following portion of the Work:

\_\_\_\_\_  
\_\_\_\_\_.

The **Date of Substantial Completion** of the Work covered by this certificate is established to be \_\_\_\_\_.

"Substantial Completion" means the designated Work is sufficiently complete, in accordance with the Contract Documents, such that the Owner may occupy or utilize the Work for its intended use without disruption or interference by the Contractor in completing or correcting any remaining unfinished Work. The Date of Substantial Completion is the date upon which all warranties for the designated Work commence, unless otherwise agreed and recorded herein.

**Punch List:** A \_\_\_\_\_ page list of items to be completed or corrected prior to the Owner's approval of Final Payment is attached hereto, but does not alter the Contractor's responsibility to complete or correct all Work in full compliance with the Contract Documents. The Contractor shall complete or correct all items on the attached list, ready for re-inspection for Final Acceptance, within 30 days after the above Date of Substantial Completion, unless another date is stated here: \_\_\_\_\_. If completed or corrected within this period, warranties of these items commence on the Date of Substantial Completion, otherwise such warranties commence on the date of Final Acceptance of each item.

**Only one (1) originally executed substantial completion form shall be routed for signature. DCM office will mail the fully-executed original to the Owner and email copies to all parties.**

<b>RECOMMENDED BY</b> <i>(signature and email address required):</i>  ARCHITECT/ENGINEER: _____  CONTRACTING PARTIES: CONTRACTOR: _____ OWNER: _____ _____	DATE: _____  DATE: _____ DATE: _____ DATE: _____
<input type="checkbox"/> DCM recommends occupancy, subject to completion of all Punch List items referenced above. <input type="checkbox"/> DCM does NOT recommend occupancy. Violations of State Building Code have been identified but not corrected. DCM signatures below do not indicate concurrence with occupancy. List of violations are attached. DCM INSPECTOR: _____ DATE: _____ DCM CHIEF INSPECTOR: _____ DATE: _____ DCM DIRECTOR: _____ DATE: _____	

# **CERTIFICATE OF SUBSTANTIAL COMPLETION ROUTING PROCEDURE**

**Only one (1) originally executed substantial completion form shall be routed for signature. DCM office will mail the fully-executed original to the owner and email copies to all parties.**

**ARCHITECT/ENGINEER:** Sign and date document, then mail it to Contractor. Provide Owner with DCM Inspector's name & field office address; territories and addresses are available at [www.dcm.alabama.gov/staff.aspx](http://www.dcm.alabama.gov/staff.aspx).

**CONTRACTOR:** Sign and date document, then mail it to Owner.

**OWNER:** Sign and date document, then mail it to DCM Inspector's field office address; DCM Inspector territories and addresses are available at [www.dcm.alabama.gov/staff.aspx](http://www.dcm.alabama.gov/staff.aspx).

**DCM INSPECTOR:** Sign and date document, then mail it to DCM Montgomery office.

**DCM OFFICE:** After review and signature/date by DCM Chief Inspector and DCM Director, DCM office will mail the fully-executed original document to Owner and will email copies to all parties.

## **NOTICE**

**THE EXECUTED "GENERAL CONTRACTOR'S ROOFING GUARANTEE" (DCM Form C-9) AND ANY OTHER ROOFING WARRANTY REQUIRED BY THE CONTRACT MUST ACCOMPANY THIS CERTIFICATE TO OBTAIN DCM APPROVAL.**

Also, any standard manufacturer's roofing guarantees which contain language regarding the governing of the guarantee by any state other than the State of Alabama, must be amended to exclude such language, and substituting the requirement that the Laws of the State of Alabama shall govern all such guarantees.

## SAMPLE FORM OF ADVERTISEMENT FOR COMPLETION

### LEGAL NOTICE

In accordance with Chapter 1, Title 39, Code of Alabama, 1975, as amended, notice is hereby given

that \_\_\_\_\_,  
(Contractor Company Name)

Contractor, has completed the Contract for ☐ (Construction) ☐ (Renovation) ☐ (Alteration)  
☐ (Equipment) ☐ (Improvement) of \_\_\_\_\_  
(Name of Project):

at \_\_\_\_\_  
(Insert location data in County or City)

for the State of Alabama and the (County) (City) of \_\_\_\_\_,  
Owner(s), and have made request for final settlement of said Contract. All persons having  
any claim for labor, materials, or otherwise in connection with this project should immediately  
notify

\_\_\_\_\_  
\_\_\_\_\_  
(Architect / Engineer)

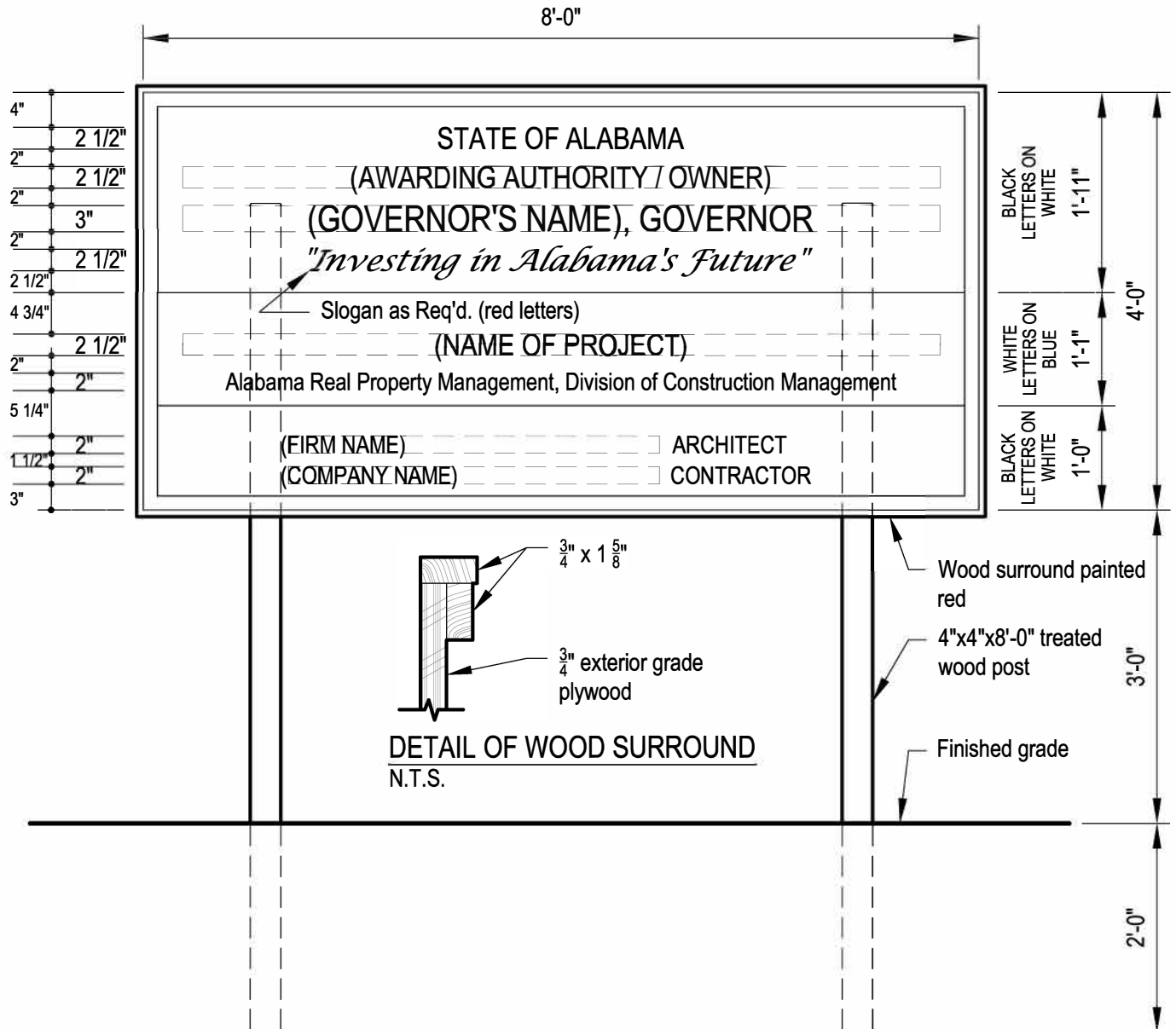
\_\_\_\_\_  
(Contractor)

\_\_\_\_\_  
(Business Address)

NOTE: This notice must be run once a week for four successive weeks for projects exceeding \$50,000.00. For projects of \$50,000.00 or less, run one time only. A copy of the publisher's affidavit of publication (including a copy of the advertisement) shall be submitted by the Contractor to the Design Professional for inclusion with DCM Form B-13: Final Payment Checklist for state agencies, PSCA-funded and other bond-funded projects.

## DETAIL OF PROJECT SIGN

N.T.S.



### Notes:

- Fully locally-funded State Agency and Public University projects: DCM Form C-15 must be included in the project manual regardless of expected bid amount. If the awarded contract sum is \$100,000.00 or more, Contractor shall furnish and erect a project sign.  
Fully locally-funded K-12 school projects: Project sign is not required unless requested by Owner, if project sign is requested by Owner, include DCM Form C-15 in the project manual.  
Partially or fully PSCA-funded projects: DCM Form C-15 must be included in the project manual. Contractor shall furnish and erect a project sign for all PSCA-funded projects, regardless of contract sum. "Alabama Public School and College Authority" as well as the local owner entity must be included as awarding authorities on the project sign of all PSCA-funded projects. Exception: Alabama Community College System (ACCS) PSCA-funded projects with Notice-To-Proceeds issued after July 31, 2021 are not submitted to DCM.  
Fully locally-funded ACCS projects with Notice-To-Proceeds issued prior to August 1, 2021: DCM Form C-15 must be included in the project manual regardless of expected bid amount. If the awarded contract sum is \$100,000.00 or more, Contractor shall furnish and erect a project sign.
- Sign to be constructed of 3/4" exterior grade plywood.
- Paint with two coats best grade exterior paint before letters are painted. Option: In lieu of painted lettering on plywood, a corrugated plastic sign (displaying the same lettering, layout and colors as above) may be secured directly to the unpainted exterior grade plywood.
- Sign shall be placed in a prominent location and easily readable from existing street or roadway.
- Sign shall be maintained in good condition until project completion.
- Slogan: Act 2020-167's title "Investing In Alabama's Future" should be placed on the project signs of all PSCA-funded projects, otherwise the Awarding Authority/Owner's slogan, if any, should be used. If the Awarding Authority/Owner of a fully locally-funded project does not have a slogan, the project sign does not require a slogan.



DCM (BC) Number: \_\_\_\_\_

PSCA Projects: PSCA Number: \_\_\_\_\_

Date of the Construction Contract: \_\_\_\_\_

## Contractor's Affidavit of Payment of Debts and Claims

<b>To Owner</b> ( <i>Entity name and address</i> ):	<b>Project</b> ( <i>Same as appears in the Construction Contract</i> ):

STATE OF:

COUNTY OF:

The undersigned hereby certifies that, except as listed below, payment has been made in full and all obligations have otherwise been satisfied for all materials and equipment furnished, for all work, labor and services performed, and for all known indebtedness and claims against the Contractor for damages arising in any manner in connection with the performance of the Construction Contract referenced above for which the Owner or Owner's property might in any way be held responsible or encumbered.

EXCEPTIONS:

Supporting Documents Attached Hereto:

1. Consent of Surety to Final Payment. Whenever Surety is involved, Consent of Surety is required. DCM Form C-20, Consent of Surety to Final Payment, may be used for this purpose.

Indicate attachment: ☐ Yes ☐ No

The following supporting document should be attached hereto if required by the Owner:

1. Contractor's Release of Waiver of Liens.
2. Separate Releases or Waivers of Liens from Subcontractors and material and equipment supplies, to the extent required by the Owner, accompanied by the list thereof.
3. Contractor's Affidavit of Release of Liens, DCM Form C-19.

**Contractor** (*Insert company name and address*):

By: \_\_\_\_\_  
Signature of authorized representative

\_\_\_\_\_  
Name and Title

Sworn to and subscribed before me this \_\_\_\_\_ day  
of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
Notary Public's Signature

My commission expires: \_\_\_\_\_

Seal:

DCM (BC) Number: \_\_\_\_\_

PSCA Projects: PSCA Number: \_\_\_\_\_

Date of the Construction Contract: \_\_\_\_\_

## Contractor's Affidavit of Release of Liens

<b>To Owner</b> ( <i>Entity name and address</i> ):	<b>Project</b> ( <i>Same as appears in the Construction Contract</i> ):

STATE OF:

COUNTY OF:

The undersigned hereby certifies that, except as listed below, the Releases or Waivers of Lien attached hereto include the Contractor, all Subcontractors, all suppliers of materials and equipment, and all performers of Work, labor or services who have or may have liens or encumbrances or the right to assert liens or encumbrances against any property of the Owner arising in any manner out of the performance of the Construction Contract referenced above.

EXCEPTIONS:

Supporting Documents Attached Hereto:

1. Contractor's Release of Waiver of Liens.
2. Separate Releases or Waivers of Liens from Subcontractors and material and equipment supplies, to the extent required by the Owner, accompanied by the list thereof.

**Contractor** (*Insert company name and address*):

By: \_\_\_\_\_  
Signature of authorized representative

\_\_\_\_\_  
Name and Title

Sworn to and subscribed before me this \_\_\_\_\_ day  
of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
Notary Public's Signature

My commission expires: \_\_\_\_\_

Seal:

DCM (BC) Number: \_\_\_\_\_

PSCA Projects: PSCA Number: \_\_\_\_\_

Date of the Construction Contract: \_\_\_\_\_

Surety's Bond Number: \_\_\_\_\_

## CONSENT OF SURETY TO FINAL PAYMENT

<b>To Owner</b> ( <i>Entity name and address</i> ):     	<b>Project</b> ( <i>Same as appears in the Construction Contract</i> ):     
---	---

In accordance with the provisions of the Contract between the Owner and the Contractor as indicated above, the

**Surety** (*Insert name and address of Surety*)

on bond of

**Contractor** (*Insert name and address of Contractor*)

hereby approves of the final payment to the Contractor, and agrees that final payment to the Contractor shall not relieve the Surety of any of its obligations to

**Owner** (*Insert name and address of Entity*):

as set forth in said Surety's bond.

**SIGNED AND SEALED** this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

**SURETY:**

Seal:

\_\_\_\_\_  
Company Name

By \_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Printed Name and Title

Note: Original Power of Attorney for the Surety's signatory shall be furnished with each of the original forms to be attached to each of the four (4) final payment forms.

# PRE-CONSTRUCTION CONFERENCE CHECKLIST

The following are recommended topics to be covered during the required Pre-Construction Conference. Contact the DCM Project Inspector at least fourteen (14) days prior to scheduling the conference.

*\*Item shall be discussed while Owner is present.*

<input type="checkbox"/>	*1. Name and relationship to job of local Owner personnel
<input type="checkbox"/>	2. Public officials involved
<input type="checkbox"/>	3. Names of architect/engineer personnel involved
<input type="checkbox"/>	4. Provide e-mail addresses on Pre-Construction Sign-in sheet
<input type="checkbox"/>	5. Construction sets of plans available to contractor
<input type="checkbox"/>	6. Verify alternates accepted, etc.
<input type="checkbox"/>	7. Approved list of sub-contractors
<input type="checkbox"/>	8. Approved cost breakdown & Progress Schedule
<input type="checkbox"/>	9. Method of approving monthly payment requests
<input type="checkbox"/>	10. Change Orders - Documentation - no prior work, <b>unless authorized in writing</b>
<input type="checkbox"/>	11. Shop drawings, time to process
<input type="checkbox"/>	<p>12. Advance notice for required inspections</p> <p>The contractor will notify the architect by email of the date the project will be ready for an inspection by the Division of Construction Management. Inspections must be requested 14 days in advance. When the DCM Inspector confirms the inspection date and time, the architect will send an email confirming the inspection date and time to all parties as well as a copy to <a href="mailto:inspections@realproperty.alabama.gov">inspections@realproperty.alabama.gov</a>. Cancellations of any scheduled inspection must be received in writing no later than 48 hours prior to the scheduled inspection. If the inspection is canceled, it will be rescheduled subject to the DCM Inspector's availability. Cancellations received less than 48 hours in advance shall incur a \$1,500.00 re-inspection fee. If the contractor is not ready for the scheduled inspection he shall incur a \$1,500.00 re-inspection fee.</p>
<input type="checkbox"/>	<p>13. Inspection Minimum Requirements</p> <p>The following minimum requirements listed below are provided to aid the contractors and architect in determining if a project is ready for a required inspection.</p> <p><u>Pre-Construction Conference:</u> Required Attendees: Contractor, Owner, Architect, Major Subs</p> <ul style="list-style-type: none"> <li>Fully-executed construction contract and Notice to Proceed</li> <li>Verification of permit fee payment (Exception: fully locally-funded K-12 &amp; public four-year University capital improvement, HVAC, or roof projects with <b>both</b> an estimated cost of \$750,000.00 or Less, <b>and a contract awarded on or after 10/01/22</b>, are exempt from DCM Fees.)</li> <li>Contractor's statement of responsibility and quality assurance plan (storm shelter)</li> <li>Fire alarm contractor and fire sprinkler contractor certification (from State Fire Marshal)</li> <li>ADEM permit, if more than one acre of land is disturbed</li> </ul> <p><u>Pre-Construction Conference for Storm Shelter:</u> Required Attendees: Contractor, Owner, Architect, Structural Engineer, Major Subs, Special Inspections Representative</p> <ul style="list-style-type: none"> <li>The completed and signed DCM Form C-17: Contractor's Statement of Responsibility for Construction of Tornado Storm Shelter (Hurricane Shelter Where Applicable) along with the required Quality Assurance Plan (QAP) must be submitted to the DCM Inspector at the pre-construction conference.</li> </ul>

<input type="checkbox"/>	<p>13. <u>Pre-Roofing Conference</u>: Required Attendees: Contractor, Owner, Architect, Roofing Sub, Roofing Manufacturer's Representative</p> <ul style="list-style-type: none"> <li>• Roofing submittals must be approved by the architect prior to pre-roofing conference</li> <li>• Roofing manufacturer must provide documentation that roof design and roofing materials meet code requirements for wind uplift and impact resistance</li> <li>• Copy of sample roof warranty – Note: Standard manufacturer's roofing guarantees which contain language regarding the governing of the guarantee by any state other than the State of Alabama, must be amended to exclude such language, and substituting the requirement that the Laws of the State of Alabama shall govern all such guarantees.</li> </ul> <p><u>Above Ceiling Inspections</u>: Required Attendees: Contractor, Owner, Architect, MEP Engineers, Major Subs</p> <ul style="list-style-type: none"> <li>• All work must be completed except for installation of ceiling tiles, and/or hard ceilings</li> <li>• Space must be conditioned</li> <li>• Permanent power must be connected unless otherwise arranged with the DCM Inspector</li> <li>• Grease duct must be inspected and approved by the DCM Inspector prior to fire wrapping and above-ceiling inspection</li> </ul> <p><u>Life Safety Inspections and Final Inspection</u>: Required Attendees: Contractor, Owner, Architect, Engineers, Major Subs, Local Fire Marshal</p> <ul style="list-style-type: none"> <li>• Fire alarm certification</li> <li>• Kitchen hood fire suppression system certification</li> <li>• General contractor's 5-year roofing guarantee (DCM Form C-9)</li> <li>• Roofing manufacturer's warranty</li> <li>• Above ground and below ground sprinkler certifications</li> <li>• Completed certificate of structural engineer's observations (for storm shelter)</li> <li>• Emergency and exit lighting tests</li> <li>• Fire alarm must be monitored</li> <li>• Elevator inspection completed and certificate of operation provided by the State of Alabama Department of Labor</li> <li>• Boiler/vessels inspection completed and certificate of operation provided by the State of Alabama Department of Labor</li> <li>• Pressure test/Flush test for underground sprinkler lines (witnessed by local fire marshal, fire chief and/or DCM Inspector)</li> <li>• Flush/pressure test for new and/or existing fire hydrants</li> <li>• Must have clear egress/access and emergency (for first responders) access to building</li> <li>• Must have ADA access completed</li> </ul> <p><u>Year-End Inspection</u>: Required Attendees: Contractor, Owner, Architect, Engineers and/or Major Subs may be required</p> <ul style="list-style-type: none"> <li>• Owner's list of documented warranty items</li> <li>• Reconciliation of user fees with DCM shall be completed prior to inspection</li> </ul>
<input type="checkbox"/>	14. Other inspections required before work is covered
<input type="checkbox"/>	15. Inspection report distribution – weekly per Owner-Architect Agreement
<input type="checkbox"/>	16. Record Drawings, definition of, procedures, addenda posted, etc.
<input type="checkbox"/>	*17. Project sign and other job signs
<input type="checkbox"/>	18. Point of contact for project. Job Superintendent and phone number.
<input type="checkbox"/>	*19. Overall phasing of job
<input type="checkbox"/>	20. Contractor's duty to coordinate work of separate contractors
<input type="checkbox"/>	*21. Use of site and existing building, access drive, signs
<input type="checkbox"/>	*22. Use of existing toilets
<input type="checkbox"/>	*23. Coordinate any utilities supplied by Owner
<input type="checkbox"/>	*24. Coordinate outages and work in existing building with Owner
<input type="checkbox"/>	25. Keeping existing exit paths open

<input type="checkbox"/>	26. Routine job cleanup
<input type="checkbox"/>	27. O.S.H.A. - Report all accidents - safety General Contractor's responsibility
<input type="checkbox"/>	28. Contractor is reminded of obligation to comply with the Alabama Child Labor Law and E-verify
<input type="checkbox"/>	29. Project limits
<input type="checkbox"/>	30. Building location relative to critical property line, easement, setback, etc.
<input type="checkbox"/>	31. Locating property line, corners, etc.
<input type="checkbox"/>	32. Verify sanitary outfall before committing floor level
<input type="checkbox"/>	33. ADEM land disturbance permits shall be required if site is over 1-acre.
<input type="checkbox"/>	34. Procedure if bad soil or rock is encountered: Geotech and special inspections
<input type="checkbox"/>	35. Stockpiling topsoil
<input type="checkbox"/>	36. Protecting trees
<input type="checkbox"/>	37. Soil compaction, type soil, lab tests, etc.
<input type="checkbox"/>	38. Soil Treatment, mix on site in presence of Job Superintendent
<input type="checkbox"/>	39. Surveyor to check foundation wall if location critical
<input type="checkbox"/>	40. Ready mix plant, file delivery tickets, slump tests, cylinders
<input type="checkbox"/>	41. Quality of concrete work; concrete testing
<input type="checkbox"/>	42. Inspections before pouring concrete
<input type="checkbox"/>	43. What is expected of masonry work, mortar additive
<input type="checkbox"/>	44. Problems with hollow metal - install proper fire labels
<input type="checkbox"/>	45. Pre-roofing Conference - no roofing materials installed prior to conference, all roofing submittals and warranties must have been reviewed and approved by the Architect prior to the Pre-roofing Conference. Manufacturer's Representative must be present at Pre-roofing conference. The Roofing Manufacturer must show compliance with the IBC wind and impact-resistance requirements. Contractor shall video existing building interior and exterior prior to roofing operations and provide copy to Owner.
<input type="checkbox"/>	46. General Contractor's Roofing Guarantee and Manufacturer's Roofing Warranties must be presented to DCM Inspector at Final Inspection and submitted with Certificate of Substantial Completion
<input type="checkbox"/>	47. Potential conflict of mechanical and electrical equipment; shop drawings
<input type="checkbox"/>	48. Return air plenums (no combustibles)
<input type="checkbox"/>	49. Fire damper installation issues
<input type="checkbox"/>	50. Certificate of Substantial Completion/Final Inspection
<input type="checkbox"/>	51. Conduct of contractor's personnel. No interaction with staff and/or students. No foul language, no smoking or use of tobacco products, no drugs and no firearms on school property.
<input type="checkbox"/>	52. Elevators/Pressure Vessels must be inspected and approved by the State of AL Dept. of Labor prior to final inspection.
<input type="checkbox"/>	53. Life safety, fire alarm, sprinkler and kitchen hood fire suppression systems must be complete and certified prior to final Inspection. Also, exit and emergency lighting must be complete.
<input type="checkbox"/>	54. Comply with ADA requirements: plumbing fixture heights, toilet partition widths, turnaround, signage, parking lot striping, etc.

<input type="checkbox"/>	55. Coordinate with local fire authority to assure access to the building for firefighting equipment during construction and before final acceptance. Provide fire extinguishers as required.
<input type="checkbox"/>	56. Light gauge metal roof framing and/or wood truss framing to be inspected by the structural engineer.
<input type="checkbox"/>	57. Comply with fire hydrant requirement; coordinate with local Fire Authority or State Fire Marshal.
<input type="checkbox"/>	58. Craft-faced insulation is not to be installed exposed.
<input type="checkbox"/>	59. Fire alarm contractor and fire sprinkler contractor must be permitted through the State of Alabama Fire Marshal's Office. Provide permits.
<input type="checkbox"/>	60. All sprinkler system valves must be electrically supervised
<input type="checkbox"/>	*61. Fire alarm monitoring requirements
<input type="checkbox"/>	62. Storm Shelter requirements <ul style="list-style-type: none"> <li>a. Contractor's Statement of Responsibility and Quality Assurance Plan – Provide paperwork at Pre-Construction Conference</li> <li>b. Certification of Structural Observations from the Structural Engineer of Record must be attached to the Certificate of Substantial Completion form.</li> </ul>
<input type="checkbox"/>	63. Third-party inspections/special inspections
<input type="checkbox"/>	64. Release of retainage – 30 days to complete punch list and closeout
<input type="checkbox"/>	*65. Sales tax savings (Alabama Department of Revenue)
<input type="checkbox"/>	66. Project Closeout - precedes Final Payment <ul style="list-style-type: none"> <li>a. Warranties</li> <li>b. Operating and Maintenance Manuals</li> <li>c. As-built Drawings</li> <li>d. Other requirements</li> </ul>
<input type="checkbox"/>	67. Advertisement of Completion - start ad after substantial completion <ul style="list-style-type: none"> <li>a. for projects less than \$50,000.00, Owner advertises 1 week</li> <li>b. for projects \$50,000.00 or more, Contractor advertises for 4 consecutive weeks</li> </ul>
<input type="checkbox"/>	68. Time Extensions
<input type="checkbox"/>	69. Final Payment Application checklist



# State of Alabama

## Disclosure Statement

Required by Article 3B of Title 41, Code of Alabama 1975

ENTITY COMPLETING FORM

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

This form is provided with:

☐ Contract ☐ Proposal ☐ Request for Proposal ☐ Invitation to Bid ☐ Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

☐ Yes ☐ No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT	TYPE OF GOODS/SERVICES	AMOUNT RECEIVED
-------------------------	------------------------	-----------------

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

☐ Yes ☐ No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT	DATE GRANT AWARDED	AMOUNT OF GRANT
-------------------------	--------------------	-----------------

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE	ADDRESS	STATE DEPARTMENT/AGENCY
----------------------------------	---------	-------------------------



2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE EMPLOYED
-----------------------	---------	---	--

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS
----------------------------------	---------

***By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.***

Signature	Date
-----------	------

Notary's Signature	Date	Date Notary Expires
--------------------	------	---------------------

*Article 3B of Title 41, Code of Alabama 1975 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.*

**1.02 DOCUMENT AVAILABILITY**

- A. A copy of the documents and forms noted above is attached hereto, as provided by the Alabama Department of Finance, Real Property Management. For the updated revision of each form go to <https://dcm.alabama.gov/forms.aspx>
- B. Additional copies may be obtained from the office of the Alabama Department of Finance, Real Property Management, 770 Washington Avenue, Suite 444, Montgomery, Alabama 36104, phone (334) 242-4082 or [www.realproperty.alabama.gov](http://www.realproperty.alabama.gov)

**PART 2 PRODUCTS - NOT USED**

**PART 3 EXECUTION - NOT USED**

**END OF SECTION**

## **SECTION 01 10 00**

### **SUMMARY**

#### **PART 1 GENERAL**

##### **1.01 PROJECT**

- A. Project Name: Asbestos Abatement of Council Training Center.
- B. Owner's Name: Alabama A & M University.
- C. The Project consists of the Asbestos Abatement of Council Training Center located at Alabama A&M University, Normal, Alabama.

##### **1.02 CONTRACT DESCRIPTION**

- A. Contract Type: A single prime contract based on a Stipulated Price as described in Construction Contract - DCM Form C-5 located in Section 00 50 00 - Construction Documents and Forms.

##### **1.03 PRE-BID CONFERENCE**

- A. A mandatory pre-bid conference shall be held at Alabama A&M University Facilities Department, 543 Buchanan Way, Normal, AL 35758 on July 26th, 2023 at 10:00 A.M. CDT.

##### **1.04 AID TO CONSTRUCTION**

- A. Obtain from Utility Company any additional charges for service of type, size and location called for. Include charges in bid to be paid by Contractor to appropriate party. Provide payment of these charges so as to allow logical progression of construction and avoid delay of completion.

##### **1.05 OWNER OCCUPANCY**

- A. The Owner intends to occupy the Project by the date stated in the Agreement as the contract completion date.

##### **1.06 CONTRACTOR USE OF SITE AND PREMISES**

- A. Arrange use of site and premises to allow:
  - 1. Owner occupancy.
  - 2. Work by Others.
  - 3. Work by Owner.
- B. Provide access to and from site as required by law and by Owner:
- C. Confine operations at site to area permitted by Owner.
- D. Do not unreasonably encumber site with materials or equipment.
- E. Assume full responsibility for protecting and safe-keeping of products stored on premises.

##### **1.07 WORK SEQUENCE**

- A. Coordinate construction schedule and operations with Owner.

**1.08 TIME**

- A. It is anticipated that the successful bidder will be issued a notice of award within forty (40) days of the bid date. Substantial completion must be achieved no later than Sixty (120) calendar days after the Notice to Proceed is issued.

**1.09 PROJECT SUPERVISION**

- A. The Contractor shall employ a competent supervisor and necessary assistants who shall be in attendance at the project site at all times during performance of the work. The project supervisor shall not be moved to another project or otherwise fail to be in attendance at the project site until the project is substantially complete or until the Owner approve of the supervisor's absence from the project site.

**1.10 SMOKING AND USE OF RADIOS**

- A. Owner does not allow smoking, tobacco, fire arms, or drugs on the job site.
- B. General Contractor and Subcontractors personnel shall not have a radio on job-site, shall wear shirts at all times on-site, shall not use foul language in the presence of students or school personnel. Persons violating any of these conditions shall be removed from the job site immediately by the Project Supervisor, warned by their respective employer, and if found violating any condition afterward shall be removed from the project site permanently without any return for any reason.

**PART 2 PRODUCTS - NOT USED**

**PART 3 EXECUTION - NOT USED**

**END OF SECTION**

## **SECTION 01 20 00**

### **PRICE AND PAYMENT PROCEDURES**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. Procedures for preparation and submittal of applications for progress payments.
- B. Documentation of changes in Contract Sum and Contract Time.
- C. Change procedures.
- D. Correlation of Contractor submittals based on changes.
- E. Procedures for preparation and submittal of application for final payment.

##### **1.02 RELATED REQUIREMENTS**

- A. Section 00 50 00 - Construction Documents and Forms: Agreement: Contract Sum, retainages, payment period, monetary values of unit prices.
- B. Section 00 50 00 - Construction Documents and Forms: General Conditions of the Contract and Document 00 50 00 - Supplementary Conditions: Additional requirements for progress payments, final payment, changes in the Work.
- C. Document 00 50 00 - Supplementary Conditions: Percentage allowances for Contractor's overhead and profit.
- D. Section 01 21 00 - Allowances: Payment procedures relating to allowances.

##### **1.03 SCHEDULE OF VALUES**

- A. Electronic media printout including equivalent information will be considered in lieu of standard form specified; submit sample to Owner for approval.
- B. Forms filled out by hand will not be accepted.
- C. Submit a printed schedule on DCM Form C-10, Application and Certificate for Payment Continuation Sheet. Contractor's standard form or electronic media printout will be considered.
- D. Submit Schedule of Values in duplicate within 15 days after date of Owner-Contractor Agreement.
- E. Format: Utilize the Table of Contents of this Project Manual. Identify each line item with number and title of the specification Section. Identify site mobilization and bonds and insurance.
- F. Include in each line item, the amount of Allowances specified in this section.
- G. Include within each line item, a direct proportional amount of Contractor's overhead and profit.
- H. Revise schedule to list approved Change Orders, with each Application For Payment.

##### **1.04 APPLICATIONS FOR PROGRESS PAYMENTS**

- A. Payment Period: 26th day through the 25th day of the next month.

- B. Electronic media printout including equivalent information will be considered in lieu of standard form specified; submit sample to Owner for approval.
- C. Forms filled out by hand will not be accepted.
- D. Present required information in typewritten form.
- E. Form: DCM Form C-10, Application and Certification for Payment. Utilize Schedule of Values for listing items in Application and Certificate for Payment.
- F. For each item, provide a column for listing each of the following:
  - 1. Item Number.
  - 2. Description of work.
  - 3. Scheduled Values.
  - 4. Previous Applications.
  - 5. Work in Place and Stored Materials under this Application.
  - 6. Authorized Change Orders.
  - 7. Total Completed and Stored to Date of Application.
  - 8. Percentage of Completion.
  - 9. Balance to Finish.
  - 10. Retainage.
- G. Execute certification by signature of authorized officer.
- H. Use data from approved Schedule of Values. Provide dollar value in each column for each line item for portion of work performed and for stored products.
- I. List each authorized Change Order as a separate line item, listing Change Order number and dollar amount as for an original item of Work.
- J. Submit six copies of each Application for Payment.
- K. Include the following with the application:
  - 1. Transmittal letter as specified for Submittals in Section 01 30 00.
  - 2. Construction progress schedule, revised and current as specified in Section 01 30 00.
  - 3. Affidavits attesting to off-site stored products.
- L. When Owner requires substantiating information, submit data justifying dollar amounts in question.

#### **1.05 MODIFICATION PROCEDURES**

- A. Submit name of the individual authorized to receive change documents and who will be responsible for informing others in Contractor's employ or subcontractors of changes to the Contract Documents.
- B. For minor changes not involving an adjustment to the Contract Price or Contract Time, Owner will issue instructions directly to Contractor.
- C. Include the stipulated sum of \$20,000.00 for Owner's discretionary use for Council Training Center.
- D. The Architect/Engineer will advise of minor changes in the Work not involving an adjustment to Contract Sum or Contract Time as authorized by the Conditions of the Contract. \_\_\_\_\_
- E. For other required changes, Owner will issue a document signed by Owner instructing Contractor to proceed with the change, for subsequent inclusion in a Change Order.

PRICE AND PAYMENT PROCEDURES

1. The document will describe the required changes and will designate method of determining any change in Contract Sum or Contract Time.
  2. Promptly execute the change.
- F. For changes for which advance pricing is desired, Owner will issue a document that includes a detailed description of a proposed change with supplementary or revised drawings and specifications, a change in Contract Time for executing the change with a stipulation of any overtime work required and the period of time during which the requested price will be considered valid. Contractor shall prepare and submit a fixed price quotation within 10 days.
- G. Contractor may propose a change by submitting a request for change to Owner, describing the proposed change and its full effect on the Work, with a statement describing the reason for the change, and the effect on the Contract Sum and Contract Time with full documentation and a statement describing the effect on Work by separate or other contractors. Document any requested substitutions in accordance with Section 01 6000.
- H. Computation of Change in Contract Amount: As specified in the Agreement and Conditions of the Contract.
1. For change requested by Owner for work falling under a fixed price contract, the amount will be based on Contractor's price quotation.
  2. For change requested by Contractor, the amount will be based on the Contractor's request for a Change Order as approved by Owner.
  3. For pre-determined unit prices and quantities, the amount will be based on the fixed unit prices.
- I. Substantiation of Costs: Provide full information required for evaluation.
1. On request, provide following data:
    - a. Quantities of products, labor, and equipment.
    - b. Taxes, insurance, and bonds.
    - c. Overhead and profit.
    - d. Justification for any change in Contract Time.
    - e. Credit for deletions from Contract, similarly documented.
  2. Support each claim for additional costs with additional information:
    - a. Origin and date of claim.
    - b. Dates and times work was performed, and by whom.
    - c. Time records and wage rates paid.
    - d. Invoices and receipts for products, equipment, and subcontracts, similarly documented.
  3. For Time and Material work, submit itemized account and supporting data after completion of change, within time limits indicated in the Conditions of the Contract.
- J. Execution of Change Orders: Owner will issue Change Orders for signatures of parties as provided in the Conditions of the Contract.
- K. After execution of Change Order, promptly revise Schedule of Values and Application for Payment forms to record each authorized Change Order as a separate line item and adjust the Contract Sum.
- L. Promptly revise progress schedules to reflect any change in Contract Time, revise sub-schedules to adjust times for other items of work affected by the change, and resubmit.
- M. Promptly enter changes in Project Record Documents.

**1.06 APPLICATION FOR FINAL PAYMENT**

- A. Prepare Application for Final Payment as specified for progress payments, identifying total adjusted Contract Sum, previous payments, and sum remaining due.
- B. Application for Final Payment will not be considered until the following have been accomplished:
  - 1. All closeout procedures specified in Section 01 70 00.

**PART 2 PRODUCTS - NOT USED**

**PART 3 EXECUTION - NOT USED**

**END OF SECTION**



## **SECTION 01 21 00**

### **ALLOWANCES**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. Cash allowances.
- B. Payment and modification procedures relating to allowances

##### **1.02 RELATED REQUIREMENTS**

- A. Section 01 20 00 - Price and Payment Procedures: Additional payment and modification procedures.

##### **1.03 CASH ALLOWANCES**

- A. Costs Included in Cash Allowances: Cost of Product to Contractor or Subcontractor, less applicable trade discounts, delivery to site and applicable taxes. All profit and overhead shall be included in the base bid and shall not be added to items covered by allowance.
- B. Costs Not Included in Cash Allowances: Product delivery to site and handling at the site, including unloading, uncrating, and storage; protection of products from elements and from damage; and labor for installation and finishing; and overhead and profit.
- C. Owner Responsibilities:
  - 1. Consult with Contractor for consideration and selection of products, suppliers, and installers.
  - 2. Select products in consultation with Owner and transmit decision to Contractor.
  - 3. Prepare Change Order.
- D. Contractor Responsibilities:
  - 1. Assist Owner in selection of products , and installers.
  - 2. Obtain proposals from suppliers and installers and offer recommendations.
  - 3. On notification of which products have been selected, execute purchase agreement with designated supplier and installer.
  - 4. Arrange for and process shop drawings, product data, and samples. Arrange for delivery.
  - 5. Promptly inspect products upon delivery for completeness, damage, and defects. Submit claims for transportation damage.
- E. Differences in costs will be adjusted by Change Order. At the Owner's discretion all or a portion of allowance may be reallocated for miscellaneous changes. Profit and overhead shall be excluded from the cost of changes applied to allowances.
- F. All changes covered by Allowance will be approved by the Owner in writing.
- G. At closeout of Contract, funds remaining in Allowances will be credited to Owner by Change Order, plus a minium of 5 percent for profit and overhead.

##### **1.04 ALLOWANCES SCHEDULE**

- A. Include the stipulated sum of \$20,000.00 for Owner's discretionary.

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ALLOWANCES

**PART 2 PRODUCTS - NOT USED**

**PART 3 EXECUTION - NOT USED**

**END OF SECTION**

## **SECTION 01 30 00**

### **ADMINISTRATIVE REQUIREMENTS**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. Communication.
- B. Preconstruction meeting.
- C. Site mobilization meeting.
- D. Progress meetings.
- E. Construction progress schedule.
- F. Coordination drawings.
- G. Submittals for review, information, and project closeout.
- H. Number of copies of submittals.
- I. Submittal procedures.

##### **1.02 COMMUNICATION**

- A. Electronic mail (e-mail) is required for communications.

##### **1.03 PROJECT COORDINATION**

- A. Coordinate scheduling, submittals, and Work of the various sections of the Project Manual to assure efficient and orderly sequence of installation of interdependent construction elements, with provisions for accommodating items installed later.
- B. Verify utility requirements and characteristics of operating equipment are compatible with building utilities. Coordinate work of various sections having interdependent responsibilities for installing, connecting to, and placing in service such equipment.
- C. Coordinate space requirements and installation of mechanical and electrical work which are indicated diagrammatically on Drawings. Follow routing shown for pipes, ducts, and conduit, as closely as practicable; place runs parallel with line of building. Utilize spaces efficiently to maximize accessibility for other installations, for maintenance, and for repairs.
- D. In finished areas except as otherwise indicated, conceal pipes, ducts, and wiring within the construction. Coordinate locations of fixtures and outlets with finish elements.
- E. Coordinate completion and clean up of Work of separate sections in preparation for Substantial Completion and for portions of Work designated for Owner's partial occupancy.
- F. After Owner occupancy of premises, coordinate access to site for correction of defective Work and Work not in accordance with Contract Documents, to minimize disruption of Owner's activities.

**PART 2 PRODUCTS - NOT USED**

**PART 3 EXECUTION**

**3.01 PRECONSTRUCTION MEETING**

- A. Owner will schedule a meeting after Notice of Award.
- B. Attendance Required:
  - 1. Owner.
  - 2. Owner.
  - 3. Contractor.
  - 4. Major Subcontractors or Suppliers.
- C. Agenda:
  - 1. Execution of Owner-Contractor Agreement.
  - 2. Submission of executed bonds and insurance certificates.
  - 3. Distribution of Contract Documents.
  - 4. Designation of personnel representing the parties in Contract, major subcontractors, and the Owner.
  - 5. Procedures and processing of field decisions, submittals, substitutions, applications for payments, proposal request, Change Orders, and Contract closeout procedures.
  - 6. Scheduling.
- D. Record minutes and distribute copies within two days after meeting to participants, with one copy to Owner, Owner, participants, and those affected by decisions made.

**3.02 SITE MOBILIZATION MEETING**

- A. Topics covered under this section will be addressed at the above mentioned Preconstruction Meeting.
- B. Owner will schedule a meeting at the Project site prior to Contractor occupancy.
- C. Attendance Required:
  - 1. Contractor.
  - 2. Owner.
  - 3. Owner.
  - 4. Special Consultants.
  - 5. Contractor's Superintendent.
  - 6. Major Subcontractors.
- D. Agenda:
  - 1. Use of premises by Owner and Contractor.
  - 2. Owner's requirements and occupancy prior to completion.
  - 3. Temporary utilities provided by Owner.
  - 4. Security and housekeeping procedures.
  - 5. Schedules.
  - 6. Application for payment procedures.
  - 7. Procedures for testing.
  - 8. Procedures for maintaining record documents.
  - 9. Requirements for start-up of equipment.
  - 10. Inspection and acceptance of equipment put into service during construction period.
- E. Record minutes and distribute copies within two days after meeting to participants, with one copy to Owner, Owner, participants, and those affected by decisions made.

### **3.03 PROGRESS MEETINGS**

- A. Schedule and administer meetings throughout progress of the Work at maximum maximum two week intervals during initial phase of construction and at one week intervals upon commencement of application of finish materials.
- B. Make arrangements for meetings, prepare agenda with copies for participants, preside at meetings.
- C. Attendance Required: Job superintendent, major Subcontractors and suppliers, Owner, Owner, as appropriate to agenda topics for each meeting.
- D. Agenda:
  - 1. Review minutes of previous meetings.
  - 2. Review of Work progress.
  - 3. Field observations, problems, and decisions.
  - 4. Identification of problems that impede, or will impede, planned progress.
  - 5. Review of submittals schedule and status of submittals.
  - 6. Review of off-site fabrication and delivery schedules.
  - 7. Maintenance of progress schedule.
  - 8. Corrective measures to regain projected schedules.
  - 9. Planned progress during succeeding work period.
  - 10. Coordination of projected progress.
  - 11. Maintenance of quality and work standards.
  - 12. Effect of proposed changes on progress schedule and coordination.
  - 13. Other business relating to Work.
- E. Record minutes and distribute copies within two days after meeting to participants, with one copy to Owner, Owner, participants, and those affected by decisions made.

### **3.04 CONSTRUCTION PROGRESS SCHEDULE - SEE SECTION 01 32 16**

- A. Within 10 days after date of the Agreement, submit preliminary schedule defining planned operations for the first 60 days of Work, with general outline for remainder of Work.
- B. If preliminary schedule requires revision after review, submit revised schedule within 10 days.
- C. Within 20 days after review of preliminary schedule, submit draft of proposed complete schedule for review.
  - 1. Include written certification that mechanical and electrical contractors have reviewed and accepted proposed schedule.
- D. Within 10 days after joint review, submit complete schedule.
- E. Submit updated schedule every 30 days.

### **3.05 SUBMITTALS FOR REVIEW**

- A. When the following are specified in individual sections, submit them for review:
  - 1. Product data.
  - 2. Shop drawings.
  - 3. Samples for selection.
  - 4. Samples for verification.
- B. Submit to Owner for review for the limited purpose of checking for conformance with information given and the design concept expressed in the contract documents.
- C. Samples will be reviewed only for aesthetic, color, or finish selection.

- D. After review, provide copies and distribute in accordance with SUBMITTAL PROCEDURES article below and for record documents purposes described in Section 01 78 00 - Closeout Submittals.

### **3.06 SUBMITTALS FOR INFORMATION**

- A. When the following are specified in individual sections, submit them for information:
1. Design data.
  2. Certificates.
  3. Test reports.
  4. Inspection reports.
  5. Manufacturer's instructions.
  6. Manufacturer's field reports.
  7. Other types indicated.
- B. Submit for the Owner's knowledge as contract administrator or for the Owner.

### **3.07 SUBMITTALS FOR PROJECT CLOSEOUT**

- A. When the following are specified in individual sections, submit them at project closeout:
1. Project record documents.
  2. Operation and maintenance data.
  3. Warranties.
  4. Bonds.
  5. Other types as indicated.
- B. Submit for Owner's benefit during and after project completion.

### **3.08 NUMBER OF COPIES OF SUBMITTALS**

- A. Documents for Review:
1. Small Size Sheets, Not Larger Than 8-1/2 x 11 inches: Submit the number of copies that Contractor requires, plus two that will be retained by Owner.
  2. Larger Sheets, Not Larger Than 30 x 42 inches: Submit the number of opaque reproductions that Contractor requires, plus two copies that will be retained by Owner.
- B. Documents for Information: Submit two copies.
- C. Documents for Project Closeout: Make one reproduction of submittal originally reviewed. Submit one extra of submittals for information.
- D. Samples: Submit the number specified in individual specification sections; one of which will be retained by Owner.
1. After review, produce duplicates.
  2. Retained samples will not be returned to Contractor unless specifically so stated.

### **3.09 SUBMITTAL PROCEDURES**

- A. Shop Drawing Procedures:
1. Prepare accurate, drawn-to-scale, original shop drawing documentation by interpreting the Contract Documents and coordinating related Work.
  2. Generic, non-project specific information submitted as shop drawings do not meet the requirements for shop drawings.
- B. Transmit each submittal with a copy of approved submittal form.
- C. Transmit each submittal with approved form.

- D. Sequentially number the transmittal form. Revise submittals with original number and a sequential alphabetic suffix.
- E. Identify Project, Contractor, Subcontractor or supplier; pertinent drawing and detail number, and specification section number, as appropriate on each copy.
- F. Apply Contractor's stamp, signed or initialed certifying that review, approval, verification of Products required, field dimensions, adjacent construction Work, and coordination of Information is in accordance with the requirements of the Work and Contract Documents.
- G. Deliver submittals to Architect at 301 Jefferson Street, Huntsville, AL 35801.
- H. Schedule submittals to expedite the Project, and coordinate submission of related items.
- I. For each submittal for review, allow 15 days excluding delivery time to and from the Contractor.
- J. Identify variations from Contract Documents and Product or system limitations that may be detrimental to successful performance of the completed Work.
- K. Provide space for Contractor and Architect review stamps.
- L. When revised for resubmission, identify all changes made since previous submission.
- M. Distribute reviewed submittals as appropriate. Instruct parties to promptly report any inability to comply with requirements.
- N. Submittals not requested will not be recognized or processed.
- O. Shop Drawings and/or submittals requiring resubmission to the Architect due to non-compliance with the Contract Documents and /or incompleteness shall be thoroughly reviewed by the Contractor prior to delivery to the Architect for review. The Contractor shall ensure the completeness and compliance of the submittal materials. Cost incurred by the Owner for review of submittals after the second submittal is rejected will be the responsibility of the Contractor at the rate of \$150.00 per hour, including travel time.

**END OF SECTION**

## **SECTION 01 32 16**

### **CONSTRUCTION PROGRESS SCHEDULE**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. Preliminary schedule.
- B. Construction progress schedule, bar chart type.

##### **1.02 RELATED SECTIONS**

- A. Section 01 10 00 - Summary: Work sequence.

##### **1.03 REFERENCES**

- A. AGC (CPSM) - Construction Planning and Scheduling Manual.
- B. M-H (CPM) - CPM in Construction Management - Project Management with CPM.

##### **1.04 SUBMITTALS**

- A. Within 10 days after date of Agreement, submit preliminary schedule defining planned operations for the first 30 days of Work with a general outline for remainder of Work.
- B. If preliminary schedule requires revision after review, submit revised schedule within 10 days.
- C. Within 20 days after review of preliminary schedule, submit draft of proposed complete schedule for review.
  - 1. Include written certification that major contractors have reviewed and accepted proposed schedule.
  - 2. Notify Architect of any material or trade that may be a potential delay.
- D. Within 10 days after joint review, submit complete schedule.
- E. Submit updated schedule with each Application for Payment.
- F. Submit under transmittal letter form specified in Section 01 30 00.

##### **1.05 QUALITY ASSURANCE**

- A. Scheduler: Contractor's personnel or specialist Consultant specializing in CPM scheduling with one years minimum experience in scheduling construction work of a complexity comparable to this Project, and having use of computer facilities capable of delivering a detailed graphic printout within 48 hours of request.
- B. Contractor's Administrative Personnel: five years minimum experience in using and monitoring CPM schedules on comparable projects.

##### **1.06 SCHEDULE FORMAT**

- A. Listings: In chronological order according to the start date for each activity. Identify each activity with the applicable specification section number.
- B. Diagram Sheet Size: Maximum 24 x 36 inches or width required.
- C. Sheet Size: Multiples of 8-1/2 x 11 inches.



- D. Scale and Spacing: To allow for notations and revisions.

## **PART 2 PRODUCTS - NOT USED**

## **PART 3 EXECUTION**

### **3.01 PRELIMINARY SCHEDULE**

- A. Prepare preliminary schedule in the form of a horizontal bar chart.

### **3.02 CONTENT**

- A. Show complete sequence of construction by activity, with dates for beginning and completion of each element of construction.
- B. Identify each item by specification section number.
- C. Identify work of separate stages and other logically grouped activities.
- D. Provide sub-schedules for each stage of Work identified in Section 01 10 00.
- E. Provide sub-schedules to define critical portions of the entire schedule.
- F. Include conferences and meetings in schedule.
- G. Show accumulated percentage of completion of each item, and total percentage of Work completed, as of the first day of each month.
- H. Coordinate content with schedule of values specified in Section 01 20 00.
- I. Provide legend for symbols and abbreviations used.

### **3.03 BAR CHARTS**

- A. Include a separate bar for each major portion of Work or operation.
- B. Identify the first work day of each week.

### **3.04 REVIEW AND EVALUATION OF SCHEDULE**

- A. Participate in joint review and evaluation of schedule with Owner at each submittal.
- B. Evaluate project status to determine work behind schedule and work ahead of schedule.
- C. After review, revise as necessary as result of review, and resubmit within 10 days.

### **3.05 UPDATING SCHEDULE**

- A. Maintain schedules to record actual start and finish dates of completed activities.
- B. Indicate progress of each activity to date of revision, with projected completion date of each activity.
- C. Update diagrams to graphically depict current status of Work.
- D. Identify activities modified since previous submittal, major changes in Work, and other identifiable changes.
- E. Indicate changes required to maintain Date of Final Completion.
- F. Submit reports required to support recommended changes.

## CONSTRUCTION PROGRESS SCHEDULE

- G. Provide narrative report to define problem areas, anticipated delays, and impact on the schedule. Report corrective action taken or proposed and its effect including the effects of changes on schedules of separate contractors.

### **3.06 DISTRIBUTION OF SCHEDULE**

- A. Distribute copies of updated schedules to Contractor's project site file, to Subcontractors, suppliers, Owner, Owner , and other concerned parties.
- B. Instruct recipients to promptly report, in writing, problems anticipated by projections shown in schedules.

**END OF SECTION**

## **SECTION 01 40 00**

### **QUALITY REQUIREMENTS**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. References and standards.
- B. Quality assurance submittals.
- C. Mock-ups.
- D. Control of installation.
- E. Tolerances.
- F. Testing and inspection Testing services.
- G. Manufacturers' field services.

##### **1.02 RELATED REQUIREMENTS**

- A. Document 00 72 00 - General Conditions: Inspections and approvals required by public authorities.
- B. Section 01 30 00 - Administrative Requirements: Submittal procedures.
- C. Section 01 60 00 - Product Requirements: Requirements for material and product quality.

##### **1.03 SUBMITTALS**

- A. See Section 01 30 00 - Administrative Requirements, for submittal procedures.
- B. Certificates: When specified in individual specification sections, submit certification by the manufacturer and Contractor or installation/application subcontractor to Owner, in quantities specified for Product Data.
  - 1. Indicate material or product conforms to or exceeds specified requirements. Submit supporting reference data, affidavits, and certifications as appropriate.
  - 2. Certificates may be recent or previous test results on material or product, but must be acceptable to Owner.
- C. Manufacturer's Instructions: When specified in individual specification sections, submit printed instructions for delivery, storage, assembly, installation, start-up, adjusting, and finishing, for the Owner's information. Indicate special procedures, perimeter conditions requiring special attention, and special environmental criteria required for application or installation.
- D. Manufacturer's Field Reports: Submit reports for Owner's benefit as contract administrator or for Owner.
  - 1. Submit report in duplicate within 30 days of observation to Owner for information.
  - 2. Submit for information for the limited purpose of assessing conformance with information given and the design concept expressed in the contract documents.
- E. Erection Drawings: Submit drawings for Owner's benefit as contract administrator or for Owner.

1. Submit for information for the limited purpose of assessing conformance with information given and the design concept expressed in the contract documents.
2. Data indicating inappropriate or unacceptable Work may be subject to action by Owner or Owner.

#### **1.04 REFERENCES AND STANDARDS - SEE SECTION 01 42 19**

- A. For products and workmanship specified by reference to a document or documents not included in the Project Manual, also referred to as reference standards, comply with requirements of the standard, except when more rigid requirements are specified or are required by applicable codes.
- B. Conform to reference standard of date of issue current on date of Contract Documents, except where a specific date is established by applicable code.
- C. Obtain copies of standards where required by product specification sections.
- D. Maintain copy at project site during submittals, planning, and progress of the specific work, until Substantial Completion.
- E. Should specified reference standards conflict with Contract Documents, request clarification from Owner before proceeding.
- F. Neither the contractual relationships, duties, or responsibilities of the parties in Contract nor those of Owner shall be altered from the Contract Documents by mention or inference otherwise in any reference document.

#### **1.05 TESTING AND INSPECTION AGENCIES**

- A. Owner will employ and pay for services of an independent testing agency to perform soil and concrete testing all other testing is by Contractor.
- B. Employment of agency in no way relieves Contractor of obligation to perform Work in accordance with requirements of Contract Documents.

### **PART 2 PRODUCTS - NOT USED**

### **PART 3 EXECUTION**

#### **3.01 CONTROL OF INSTALLATION**

- A. Monitor quality control over suppliers, manufacturers, products, services, site conditions, and workmanship, to produce Work of specified quality.
- B. Comply with manufacturers' instructions, including each step in sequence.
- C. Should manufacturers' instructions conflict with Contract Documents, request clarification from Owner before proceeding.
- D. Comply with specified standards as minimum quality for the Work except where more stringent tolerances, codes, or specified requirements indicate higher standards or more precise workmanship.
- E. Have Work performed by persons qualified to produce required and specified quality.
- F. Verify that field measurements are as indicated on shop drawings or as instructed by the manufacturer.
- G. Secure products in place with positive anchorage devices designed and sized to withstand stresses, vibration, physical distortion, and disfigurement.

### **3.02 MOCK-UPS**

- A. Tests will be performed under provisions identified in this section and identified in the respective product specification sections.
- B. Assemble and erect specified items with specified attachment and anchorage devices, flashings, seals, and finishes.
- C. Accepted mock-ups shall be a comparison standard for the remaining Work.
- D. Where mock-up has been accepted by Owner and is specified in product specification sections to be removed, remove mock-up and clear area when directed to do so.

### **3.03 TOLERANCES**

- A. Monitor fabrication and installation tolerance control of products to produce acceptable Work. Do not permit tolerances to accumulate.
- B. Comply with manufacturers' tolerances. Should manufacturers' tolerances conflict with Contract Documents, request clarification from Owner before proceeding.
- C. Adjust products to appropriate dimensions; position before securing products in place.

### **3.04 TESTING AND INSPECTION**

- A. See individual specification sections for testing required.
- B. Testing Agency Duties:
  - 1. Test samples of mixes submitted by Contractor.
  - 2. Provide qualified personnel at site. Cooperate with Owner and Contractor in performance of services.
  - 3. Perform specified sampling and testing of products in accordance with specified standards.
  - 4. Ascertain compliance of materials and mixes with requirements of Contract Documents.
  - 5. Promptly notify Owner and Contractor of observed irregularities or non-conformance of Work or products.
  - 6. Perform additional tests and inspections required by Owner.
  - 7. Attend preconstruction meetings and progress meetings.
  - 8. Submit reports of all tests/inspections specified.
- C. Limits on Testing/Inspection Agency Authority:
  - 1. Agency may not release, revoke, alter, or enlarge on requirements of Contract Documents.
  - 2. Agency may not approve or accept any portion of the Work.
  - 3. Agency may not assume any duties of Contractor.
  - 4. Agency has no authority to stop the Work.
- D. Contractor Responsibilities:
  - 1. Deliver to agency at designated location, adequate samples of materials proposed to be used that require testing, along with proposed mix designs.
  - 2. Cooperate with laboratory personnel, and provide access to the Work and to manufacturers' facilities.
  - 3. Provide incidental labor and facilities:
    - a. To provide access to Work to be tested/inspected.
    - b. To obtain and handle samples at the site or at source of Products to be tested/inspected.
    - c. To facilitate tests/inspections.
    - d. To provide storage and curing of test samples.

4. Notify Owner and laboratory 24 hours prior to expected time for operations requiring testing/inspection services.
  5. Employ services of an independent qualified testing laboratory and pay for additional samples, tests, and inspections required by Contractor beyond specified requirements.
  6. Arrange with Owner's agency and pay for additional samples, tests, and inspections required by Contractor beyond specified requirements.
- E. Re-testing required because of non-conformance to specified requirements shall be performed by the same agency on instructions by Owner.
- F. Re-testing required because of non-conformance to specified requirements shall be paid for by Contractor.
- G. Re-testing required because of non-conformance to specified requirements shall be performed by the same agency on instructions by Owner. Payment for re testing will be charged to the Contractor by deducting testing charges from the Contract Price.

### **3.05 MANUFACTURERS' FIELD SERVICES**

- A. When specified in individual specification sections, require material or product suppliers or manufacturers to provide qualified staff personnel to observe site conditions, conditions of surfaces and installation, quality of workmanship, start-up of equipment, test, adjust and balance of equipment as applicable, and to initiate instructions when necessary.
- B. Submit qualifications of observer to Owner 30 days in advance of required observations.
1. Observer subject to approval of Owner.
  2. Observer subject to approval of Owner.
- C. Report observations and site decisions or instructions given to applicators or installers that are supplemental or contrary to manufacturers' written instructions.

### **3.06 DEFECT ASSESSMENT**

- A. Replace Work or portions of the Work not conforming to specified requirements.
- B. If, in the opinion of Owner, it is not practical to remove and replace the Work, Owner will direct an appropriate remedy or adjust payment.

### **END OF SECTION**

**SECTION 01 41 00**

**REGULATORY REQUIREMENTS**

**PART 1 GENERAL**

**PART 2 PRODUCTS - NOT USED**

**PART 3 EXECUTION - NOT USED**

**END OF SECTION**

## **SECTION 01 50 00**

### **TEMPORARY FACILITIES AND CONTROLS**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. Temporary utilities.
- B. Temporary telecommunications services.
- C. Temporary telephone service.
- D. Temporary sanitary facilities.
- E. Temporary Controls: Barriers, enclosures, and fencing.
- F. Security requirements.
- G. Vehicular access and parking.
- H. Waste removal facilities and services.
- I. Field offices.

##### **1.02 RELATED REQUIREMENTS**

- A. Section 01 51 00 - Temporary Utilities.

##### **1.03 TELECOMMUNICATIONS SERVICES**

- A. Provide, maintain, and pay for telecommunications services to field office at time of project mobilization.
- B. Telecommunications services shall include:
  - 1. Windows-based personal computer dedicated to project telecommunications, with necessary software and laser printer.
  - 2. Internet Connections: Minimum of one; DSL modem or faster.
  - 3. Email: Account/address reserved for project use.

##### **1.04 TEMPORARY SANITARY FACILITIES**

- A. Provide and maintain required facilities and enclosures. Provide at time of project mobilization.
- B. Use of existing facilities located at project site is not permitted.
- C. Maintain daily in clean and sanitary condition.
- D. At end of construction, return facilities to same or better condition as originally found.

##### **1.05 BARRIERS**

- A. Provide barriers to prevent unauthorized entry to construction areas and to protect existing facilities and adjacent properties from damage from construction operations .
- B. Provide barricades and covered walkways required by governing authorities for public rights-of-way and for public access to existing building.
- C. Provide protection for plants designated to remain. Replace damaged plants.



- D. Protect non-owned vehicular traffic, stored materials, site, and structures from damage.

#### **1.06 FENCING**

- A. Construction Material: Contractor's option.

#### **1.07 SECURITY**

- A. Provide security and facilities to protect Work, existing facilities, and Owner's operations from unauthorized entry, vandalism, or theft.
- B. Coordinate with Owner security program.

#### **1.08 VEHICULAR ACCESS AND PARKING**

- A. Coordinate access and haul routes with governing authorities and Owner.
- B. Provide and maintain access to fire hydrants, free of obstructions.
- C. Provide means of removing mud from vehicle wheels before entering streets.
- D. Existing on-site roads may be used for construction traffic.
- E. Provide temporary parking areas to accommodate construction personnel. When site space is not adequate, provide additional off-site parking.
- F. Do not allow vehicle parking on existing pavement.

#### **1.09 WASTE REMOVAL**

- A. Provide waste removal facilities and services as required to maintain the site in clean and orderly condition.
- B. Provide containers with lids. Remove trash from site periodically.
- C. If materials to be recycled or re-used on the project must be stored on-site, provide suitable non-combustible containers; locate containers holding flammable material outside the structure unless otherwise approved by the authorities having jurisdiction.
- D. Open free-fall chutes are not permitted. Terminate closed chutes into appropriate containers with lids.

#### **1.10 FIELD OFFICES- SEE SECTION 01 5213**

- A. Office: Weathertight, with lighting, electrical outlets, heating, cooling equipment, and equipped with sturdy furniture. Contractor may designate area of existing structure as a field office.
- B. Provide space for Project meetings, with table and chairs to accommodate 6 persons.

#### **1.11 REMOVAL OF UTILITIES, FACILITIES, AND CONTROLS**

- A. Remove temporary utilities, equipment, facilities, materials, prior to Final Application for Payment inspection.
- B. Clean and repair damage caused by installation or use of temporary work.
- C. Restore existing facilities used during construction to original condition.

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TEMPORARY FACILITIES AND CONTROLS

**PART 2 PRODUCTS - NOT USED**

**PART 3 EXECUTION - NOT USED**

**END OF SECTION**

## **SECTION 01 51 00**

### **TEMPORARY UTILITIES**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. Temporary Utilities: Electricity, lighting, heat, ventilation, and water.

##### **1.02 RELATED REQUIREMENTS**

- A. Section 01 5000 - Temporary Facilities and Controls: Telephone service for administrative purposes.

##### **1.03 TEMPORARY ELECTRICITY**

- A. Cost: Contractor needs to figure in cost of electricity and power in case power is not available.
- B. Connect to Owner's existing power service.
  - 1. Exercise measures to conserve energy.
- C. Provide power outlets for construction operations, with branch wiring and distribution boxes located at each floor. Provide flexible power cords as required.
- D. Provide main service disconnect and over-current protection at convenient location and meter.
- E. Provide adequate distribution equipment, wiring, and outlets to provide single phase branch circuits for power and lighting.

##### **1.04 TEMPORARY LIGHTING FOR CONSTRUCTION PURPOSES**

- A. Provide and maintain incandescent lighting for construction operations to achieve a minimum lighting level of 2 watt/sq ft .
- B. Provide and maintain 1 watt/sq ft lighting to exterior staging and storage areas after dark for security purposes.
- C. Provide and maintain 0.25 watt/sq ft H.I.D. lighting to interior work areas after dark for security purposes.
- D. Provide branch wiring from power source to distribution boxes with lighting conductors, pigtails, and lamps as required.
- E. Maintain lighting and provide routine repairs.
- F. Permanent building lighting may be utilized during construction.

##### **1.05 TEMPORARY HEATING**

- A. Cost of Energy: By Owner.
- B. Provide heating devices and heat as needed to maintain specified conditions for construction operations.
- C. Maintain minimum ambient temperature of 50 degrees F in areas where construction is in progress, unless indicated otherwise in specifications.
- D. Owner's existing heat plant may be used.
  - 1. Exercise measures to conserve energy.

2. Enclose building prior to activating temporary heat.
- E. Prior to operation of permanent equipment for temporary heating purposes, verify that installation is approved for operation, equipment is lubricated and filters are in place. Provide and pay for operation, maintenance, and regular replacement of filters and worn or consumed parts.

#### **1.06 TEMPORARY COOLING**

- A. Cost of Energy: By Owner.
- B. Provide cooling devices and cooling as needed to maintain specified conditions for construction operations.
- C. Maintain maximum ambient temperature of 80 degrees F in areas where construction is in progress, unless indicated otherwise in specifications.
- D. Owner's existing cooling plant may be used.
  1. Exercise measures to conserve energy.
  2. Enclose building prior to activating temporary cooling.
- E. Prior to operation of permanent equipment for temporary cooling purposes, verify that installation is approved for operation, equipment is lubricated and filters are in place. Provide and pay for operation, maintenance, and regular replacement of filters and worn or consumed parts.

#### **1.07 TEMPORARY VENTILATION**

- A. Utilize ventilation equipment as required to maintain clean air for construction operations.

#### **1.08 TEMPORARY WATER SERVICE**

- A. Cost of Water Used: By Owner.
- B. Provide and maintain suitable quality water service for construction operations at time of project mobilization.
- C. Connect to existing water source.
  1. Exercise measures to conserve water.
- D. Extend branch piping with outlets located so water is available by hoses with threaded connections.

#### **PART 2 PRODUCTS - NOT USED**

#### **PART 3 EXECUTION - NOT USED**

#### **END OF SECTION**

## **SECTION 01 60 00**

### **PRODUCT REQUIREMENTS**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. General product requirements.
- B. Re-use of existing products.
- C. Transportation, handling, storage and protection.
- D. Product option requirements.
- E. Substitution limitations and procedures.
- F. Procedures for Owner-supplied products.
- G. Maintenance materials, including extra materials, spare parts, tools, and software.

##### **1.02 RELATED REQUIREMENTS**

- A. Section 00 10 00 - Bid Documents and Forms: Instructions to Bidders: Product options and substitution procedures prior to bid date.
- B. Section 01 40 00 - Quality Requirements: Product quality monitoring.

##### **1.03 REFERENCE STANDARDS**

- A. NEMA MG 1 - Motors and Generators.
- B. NFPA 70 - National Electrical Code.

##### **1.04 SUBMITTALS**

- A. Product Data Submittals: Submit manufacturer's standard published data. Mark each copy to identify applicable products, models, options, and other data. Supplement manufacturers' standard data to provide information specific to this Project.
- B. Shop Drawing Submittals: Prepared specifically for this Project; indicate utility and electrical characteristics, utility connection requirements, and location of utility outlets for service for functional equipment and appliances.
- C. Sample Submittals: Illustrate functional and aesthetic characteristics of the product, with integral parts and attachment devices. Coordinate sample submittals for interfacing work.
  - 1. For selection from standard finishes, submit samples of the full range of the manufacturer's standard colors, textures, and patterns.
- D. Indicate utility and electrical characteristics, utility connection requirements, and location of utility outlets for service for functional equipment and appliances.

#### **PART 2 PRODUCTS**

##### **2.01 EXISTING PRODUCTS**

- A. Do not use materials and equipment removed from existing premises unless specifically required or permitted by the Contract Documents.

- B. Reused Products: Reused products include materials and equipment previously used in this or other construction, salvaged and refurbished as specified.

## **2.02 NEW PRODUCTS**

- A. Provide new products unless specifically required or permitted by the Contract Documents.
- B. Where all other criteria are met, Contractor shall give preference to products that:
  - 1. If used on interior, have lower emissions.
  - 2. If wet-applied, have lower VOC content.
- C. Provide interchangeable components of the same manufacture for components being replaced.
- D. Motors: Refer to Division 22, NEMA MG 1 Type. Specific motor type is specified in individual specification sections.
- E. Wiring Terminations: Provide terminal lugs to match branch circuit conductor quantities, sizes, and materials indicated. Size terminal lugs to NFPA 70, include lugs for terminal box.
- F. Cord and Plug: Provide minimum 6 foot cord and plug including grounding connector for connection to electric wiring system. Cord of longer length is specified in individual specification sections.

## **2.03 PRODUCT OPTIONS**

- A. Products Specified by Reference Standards or by Description Only: Use any product meeting those standards or description.
- B. Products Specified by Naming One or More Manufacturers: Use a product of one of the manufacturers named and meeting specifications, no options or substitutions allowed.
- C. Products Specified by Naming One or More Manufacturers with a Provision for Substitutions: Submit a request for substitution for any manufacturer not named.

## **2.04 SPARE PARTS AND MAINTENANCE PRODUCTS**

- A. Provide spare parts, maintenance, and extra products of types and in quantities specified in individual specification sections.
- B. Deliver to Project site and place in location as directed by Owner; obtain receipt prior to final payment.

## **PART 3 EXECUTION**

### **3.01 SUBSTITUTION PROCEDURES**

- A. Instructions to Bidders specify time restrictions for submitting requests for substitutions during the bidding period. Comply with requirements specified in this section.
- B. Architect will consider requests for substitutions only within 15 days after date of Agreement.
- C. Substitutions may be considered when a product becomes unavailable through no fault of the Contractor.
- D. Document each request with complete data substantiating compliance of proposed substitution with Contract Documents.
- E. A request for substitution constitutes a representation that the submitter:

1. Has investigated proposed product and determined that it meets or exceeds the quality level of the specified product.
  2. Will provide the same warranty for the substitution as for the specified product.
  3. Will coordinate installation and make changes to other Work that may be required for the Work to be complete with no additional cost to Owner.
  4. Waives claims for additional costs or time extension that may subsequently become apparent.
  5. Will reimburse Owner for all costs incurred for review or redesign services associated with approval by Architect or Architect's Consultants.
- F. Substitutions will not be considered when they are indicated or implied on shop drawing or product data submittals, without separate written request, or when acceptance will require revision to the Contract Documents.

### **3.02 TRANSPORTATION AND HANDLING**

- A. Package products for shipment in manner to prevent damage; for equipment, package to avoid loss of factory calibration.
- B. If special precautions are required, attach instructions prominently and legibly on outside of packaging.
- C. Coordinate schedule of product delivery to designated prepared areas in order to minimize site storage time and potential damage to stored materials.
- D. Transport and handle products in accordance with manufacturer's instructions.
- E. Transport materials in covered trucks to prevent contamination of product and littering of surrounding areas.
- F. Promptly inspect shipments to ensure that products comply with requirements, quantities are correct, and products are undamaged.
- G. Provide equipment and personnel to handle products by methods to prevent soiling, disfigurement, or damage.
- H. Arrange for the return of packing materials, such as wood pallets, where economically feasible.

### **3.03 STORAGE AND PROTECTION**

- A. Designate receiving/storage areas for incoming products so that they are delivered according to installation schedule and placed convenient to work area in order to minimize waste due to excessive materials handling and misapplication.
- B. Store and protect products in accordance with manufacturers' instructions.
- C. Store with seals and labels intact and legible.
- D. Store sensitive products in weather tight, climate controlled, enclosures in an environment favorable to product.
- E. For exterior storage of fabricated products, place on sloped supports above ground.
- F. Provide bonded off-site storage and protection when site does not permit on-site storage or protection.
- G. Protect products from damage or deterioration due to construction operations, weather, precipitation, humidity, temperature, sunlight and ultraviolet light, dirt, dust, and other contaminants.
- H. Comply with manufacturer's warranty conditions, if any.

- I. Cover products subject to deterioration with impervious sheet covering. Provide ventilation to prevent condensation and degradation of products.
- J. Store loose granular materials on solid flat surfaces in a well-drained area. Prevent mixing with foreign matter.
- K. Prevent contact with material that may cause corrosion, discoloration, or staining.
- L. Provide equipment and personnel to store products by methods to prevent soiling, disfigurement, or damage.
- M. Arrange storage of products to permit access for inspection. Periodically inspect to verify products are undamaged and are maintained in acceptable condition.

**END OF SECTION**



## **SECTION 01 70 00**

### **EXECUTION AND CLOSEOUT REQUIREMENTS**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. Examination, preparation, and general installation procedures.
- B. Pre-installation meetings.
- C. Cutting and patching.
- D. Surveying for laying out the work.
- E. Cleaning and protection.
- F. Starting of systems and equipment.
- G. Demonstration and instruction of Owner personnel.
- H. Closeout procedures, except payment procedures.

##### **1.02 RELATED REQUIREMENTS**

- A. Section 01 30 00 - Administrative Requirements: Submittals procedures.
- B. Section 01 40 00 - Quality Requirements: Testing and inspection procedures.
- C. Section 01 50 00 - Temporary Facilities and Controls: Temporary exterior enclosures.
- D. Section 01 78 00 - Closeout Submittals: Project record documents, operation and maintenance data, warranties and bonds.
- E. Section 07 84 00 - Firestopping.

##### **1.03 SUBMITTALS**

- A. See Section 01 30 00 - Administrative Requirements, for submittal procedures.
- B. Cutting and Patching: Submit written request in advance of cutting or alteration that affects:
  - 1. Structural integrity of any element of Project.
  - 2. Integrity of weather exposed or moisture resistant element.
  - 3. Efficiency, maintenance, or safety of any operational element.
  - 4. Visual qualities of sight exposed elements.
  - 5. Work of Owner or separate Contractor.
  - 6. Include in request:
    - a. Identification of Project.
    - b. Location and description of affected work.
    - c. Necessity for cutting or alteration.
    - d. Description of proposed work and products to be used.
    - e. Alternatives to cutting and patching.
    - f. Effect on work of Owner or separate Contractor.
    - g. Written permission of affected separate Contractor.
    - h. Date and time work will be executed.

#### 1.04 PROJECT CONDITIONS

- A. Grade site to drain. Maintain excavations free of water. Provide, operate, and maintain pumping equipment.
- B. Protect site from puddling or running water. Provide water barriers as required to protect site from soil erosion.
- C. Ventilate enclosed areas to assist cure of materials, to dissipate humidity, and to prevent accumulation of dust, fumes, vapors, or gases.
- D. Dust Control: Execute work by methods to minimize raising dust from construction operations. Provide positive means to prevent air-borne dust from dispersing into atmosphere.
- E. Erosion and Sediment Control: Plan and execute work by methods to control surface drainage from cuts and fills, from borrow and waste disposal areas. Prevent erosion and sedimentation.
  - 1. Minimize amount of bare soil exposed at one time.
  - 2. Provide temporary measures such as berms, dikes, and drains, to prevent water flow.
  - 3. Construct fill and waste areas by selective placement to avoid erosive surface silts or clays.
  - 4. Periodically inspect earthwork to detect evidence of erosion and sedimentation; promptly apply corrective measures.
- F. Noise Control: Provide methods, means, and facilities to minimize noise f produced by construction operations.
- G. Pest Control: Provide methods, means, and facilities to prevent pests and insects from damaging the work.
- H. Rodent Control: Provide methods, means, and facilities to prevent rodents from accessing or invading premises.

#### 1.05 COORDINATION

- A. Coordinate scheduling, submittals, and work of the various sections of the Project Manual to ensure efficient and orderly sequence of installation of interdependent construction elements.
- B. Notify affected utility companies and comply with their requirements.
- C. Verify that utility requirements and characteristics of new operating equipment are compatible with building utilities. Coordinate work of various sections having interdependent responsibilities for installing, connecting to, and placing in service, such equipment.
- D. Coordinate space requirements, supports, and installation of mechanical and electrical work that are indicated diagrammatically on Drawings. Follow routing shown for pipes, ducts, and conduit, as closely as practicable; place runs parallel with lines of building. Utilize spaces efficiently to maximize accessibility for other installations, for maintenance, and for repairs.
- E. In finished areas except as otherwise indicated, conceal pipes, ducts, and wiring within the construction. Coordinate locations of fixtures and outlets with finish elements.
- F. Coordinate completion and clean-up of work of separate sections.

- G. After Owner occupancy of premises, coordinate access to site for correction of defective work and work not in accordance with Contract Documents, to minimize disruption of Owner's activities.

## **PART 2 PRODUCTS**

### **2.01 PATCHING MATERIALS**

- A. New Materials: As specified in product sections; match existing products and work for patching and extending work.
- B. Type and Quality of Existing Products: Determine by inspecting and testing products where necessary, referring to existing work as a standard.
- C. Product Substitution: For any proposed change in materials, submit request for substitution described in Section 01 60 00.

## **PART 3 EXECUTION**

### **3.01 EXAMINATION**

- A. Verify that existing site conditions and substrate surfaces are acceptable for subsequent work. Start of work means acceptance of existing conditions.
- B. Verify that existing substrate is capable of structural support or attachment of new work being applied or attached.
- C. Examine and verify specific conditions described in individual specification sections.
- D. Take field measurements before confirming product orders or beginning fabrication, to minimize waste due to over-ordering or misfabrication.
- E. Verify that utility services are available, of the correct characteristics, and in the correct locations.
- F. Prior to Cutting: Examine existing conditions prior to commencing work, including elements subject to damage or movement during cutting and patching. After uncovering existing work, assess conditions affecting performance of work. Beginning of cutting or patching means acceptance of existing conditions.

### **3.02 PREPARATION**

- A. Clean substrate surfaces prior to applying next material or substance.
- B. Seal cracks or openings of substrate prior to applying next material or substance.
- C. Apply manufacturer required or recommended substrate primer, sealer, or conditioner prior to applying any new material or substance in contact or bond.

### **3.03 PREINSTALLATION MEETINGS**

- A. When required in individual specification sections, convene a preinstallation meeting at the site prior to commencing work of the section.
- B. Require attendance of parties directly affecting, or affected by, work of the specific section.
- C. Notify Owner four days in advance of meeting date.

### **3.04 LAYING OUT THE WORK**

- A. Verify locations of survey control points prior to starting work.

- B. Promptly notify Owner of any discrepancies discovered.
- C. Contractor shall locate and protect survey control and reference points.
- D. Utilize recognized engineering survey practices.
- E. Establish a minimum of two permanent bench marks on site, referenced to established control points. Record locations, with horizontal and vertical data, on project record documents.
- F. Establish elevations, lines and levels. Locate and lay out by instrumentation and similar appropriate means:
  - 1. Site improvements including pavements; stakes for grading, fill and topsoil placement; utility locations, slopes, and invert elevations.
  - 2. Grid or axis for structures.
  - 3. Building foundation, column locations, ground floor elevations.
- G. Periodically verify layouts by same means.
- H. Maintain a complete and accurate log of control and survey work as it progresses.

### **3.05 GENERAL INSTALLATION REQUIREMENTS**

- A. Install products as specified in individual sections, in accordance with manufacturer's instructions and recommendations, and so as to avoid waste due to necessity for replacement.
- B. Make vertical elements plumb and horizontal elements level, unless otherwise indicated.
- C. Install equipment and fittings plumb and level, neatly aligned with adjacent vertical and horizontal lines, unless otherwise indicated.
- D. Make consistent texture on surfaces, with seamless transitions, unless otherwise indicated.
- E. Make neat transitions between different surfaces, maintaining texture and appearance.

### **3.06 CUTTING AND PATCHING**

- A. Whenever possible, execute the work by methods that avoid cutting or patching.
- B. Perform whatever cutting and patching is necessary to:
  - 1. Complete the work.
  - 2. Fit products together to integrate with other work.
  - 3. Provide openings for penetration of mechanical, electrical, and other services.
  - 4. Match work that has been cut to adjacent work.
  - 5. Repair areas adjacent to cuts to required condition.
  - 6. Repair new work damaged by subsequent work.
  - 7. Remove samples of installed work for testing when requested.
  - 8. Remove and replace defective and non-conforming work.
- C. Execute cutting and patching including excavation and fill to complete the work, to uncover work in order to install improperly sequenced work, to remove and replace defective or non-conforming work, to remove samples of installed work for testing when requested, to provide openings in the work for penetration of mechanical and electrical work, to execute patching to complement adjacent work, and to fit products together to integrate with other work.

- D. Execute work by methods that avoid damage to other work and that will provide appropriate surfaces to receive patching and finishing. In existing work, minimize damage and restore to original condition.
- E. Employ skilled and experienced installer to perform cutting for weather exposed and moisture resistant elements, and sight exposed surfaces.
- F. Cut rigid materials using masonry saw or core drill. Pneumatic tools not allowed without prior approval.
- G. Restore work with new products in accordance with requirements of Contract Documents.
- H. Fit work air tight to pipes, sleeves, ducts, conduit, and other penetrations through surfaces.
- I. At penetrations of fire rated walls, partitions, ceiling, or floor construction, completely seal voids with fire rated material in accordance with Section 07 84 00, to full thickness of the penetrated element.
- J. Patching:
  - 1. Finish patched surfaces to match finish that existed prior to patching. On continuous surfaces, refinish to nearest intersection or natural break. For an assembly, refinish entire unit.
  - 2. Match color, texture, and appearance.
  - 3. Repair patched surfaces that are damaged, lifted, discolored, or showing other imperfections due to patching work. If defects are due to condition of substrate, repair substrate prior to repairing finish.
- K. Refinish surfaces to match adjacent finish. For continuous surfaces, refinish to nearest intersection or natural break. For an assembly, refinish entire unit.
- L. Patch or replace surfaces that are damaged, lifted, discolored, or showing other imperfections due to patching work. Repair substrate prior to patching finish. Finish patches to produce uniform finish and texture over entire area. When finish cannot be matched, refinish entire surface to nearest intersections.

### **3.07 PROGRESS CLEANING**

- A. Maintain areas free of waste materials, debris, and rubbish. Maintain site in a clean and orderly condition.
- B. Remove debris and rubbish from pipe chases, plenums, attics, crawl spaces, and other closed or remote spaces, prior to enclosing the space.
- C. Broom and vacuum clean interior areas prior to start of surface finishing, and continue cleaning to eliminate dust.
- D. Collect and remove waste materials, debris, and trash/rubbish from site periodically and dispose off-site; do not burn or bury.

### **3.08 PROTECTION OF INSTALLED WORK**

- A. Protect installed work from damage by construction operations.
- B. Provide special protection where specified in individual specification sections.
- C. Provide temporary and removable protection for installed products. Control activity in immediate work area to prevent damage.
- D. Provide protective coverings at walls, projections, jambs, sills, and soffits of openings.

- E. Protect finished floors, stairs, and other surfaces from traffic, dirt, wear, damage, or movement of heavy objects, by protecting with durable sheet materials.
- F. Prohibit traffic or storage upon waterproofed or roofed surfaces. If traffic or activity is necessary, obtain recommendations for protection from waterproofing or roofing material manufacturer.
- G. Prohibit traffic from landscaped areas.
- H. Remove protective coverings when no longer needed; reuse or recycle plastic coverings if possible.

### **3.09 SYSTEMS STARTUP**

- A. Coordinate schedule for start-up of various equipment and systems.
- B. Notify Owner and owner seven days prior to start-up of each item.
- C. Verify that each piece of equipment or system has been checked for proper lubrication, drive rotation, belt tension, control sequence, and for conditions that may cause damage.
- D. Verify tests, meter readings, and specified electrical characteristics agree with those required by the equipment or system manufacturer.
- E. Verify that wiring and support components for equipment are complete and tested.
- F. Execute start-up under supervision of applicable Contractor personnel and manufacturer's representative in accordance with manufacturers' instructions.
- G. Submit a written report that equipment or system has been properly installed and is functioning correctly.

### **3.10 DEMONSTRATION AND INSTRUCTION**

- A. Demonstrate operation and maintenance of products to Owner's personnel two weeks prior to date of final inspection.
- B. Demonstrate start-up, operation, control, adjustment, trouble-shooting, servicing, maintenance, and shutdown of each item of equipment at agreed time, at designated location.
- C. For equipment or systems requiring seasonal operation, perform demonstration for other season within six months.
- D. Provide a qualified person who is knowledgeable about the Project to perform demonstration and instruction of owner personnel.
- E. Utilize operation and maintenance manuals as basis for instruction. Review contents of manual with Owner's personnel in detail to explain all aspects of operation and maintenance.
- F. Prepare and insert additional data in operations and maintenance manuals when need for additional data becomes apparent during instruction.
- G. The amount of time required for instruction on each item of equipment and system is that specified in individual sections.

### **3.11 ADJUSTING**

- A. Adjust operating products and equipment to ensure smooth and unhindered operation.

- B. Testing, adjusting, and balancing HVAC systems: See Section 23 05 93.

### **3.12 FINAL CLEANING**

- A. Execute final cleaning prior to final project assessment.
- B. Use cleaning materials that are nonhazardous.
- C. Clean interior and exterior glass, surfaces exposed to view; remove temporary labels, stains and foreign substances, polish transparent and glossy surfaces, vacuum carpeted and soft surfaces.
- D. Clean equipment and fixtures to a sanitary condition with cleaning materials appropriate to the surface and material being cleaned.
- E. Replace filters of operating equipment.
- F. Clean debris from roofs, gutters, downspouts, and drainage systems.
- G. Clean site; sweep paved areas, rake clean landscaped surfaces.
- H. Remove waste, surplus materials, trash/rubbish, and construction facilities from the site; dispose of in legal manner; do not burn or bury.

### **3.13 CLOSEOUT PROCEDURES**

- A. Make submittals that are required by governing or other authorities.
  - 1. Provide copies to Owner.
- B. Accompany Architect on preliminary inspection to determine items to be listed for completion or correction in Contractor's Notice of Substantial Completion.
- C. Notify Owner when work is considered ready for Substantial Completion.
- D. Submit written certification that Contract Documents have been reviewed, work has been inspected, and that work is complete in accordance with Contract Documents and ready for Owner's review.
- E. Owner will occupy portions of the building as specified in Section 01 10 00.
- F. Correct items of work listed in executed Certificates of Substantial Completion and comply with requirements for access to Owner-occupied areas.
- G. Accompany Architect on preliminary final inspection.
- H. Notify Owner when work is considered finally complete.
- I. Complete items of work determined by Owner's final inspection.

### **3.14 MAINTENANCE SERVICE**

- A. Furnish service and maintenance of components indicated in specification sections during the warranty period.
- B. Examine system components at a frequency consistent with reliable operation. Clean, adjust, and lubricate as required.
- C. Include systematic examination, adjustment, and lubrication of components. Repair or replace parts whenever required. Use parts produced by the manufacturer of the original component.

- D. Maintenance service shall not be assigned or transferred to any agent or Subcontractor without prior written consent of the Owner.

**END OF SECTION**



## **SECTION 01 78 00**

### **CLOSEOUT SUBMITTALS**

#### **PART 1 GENERAL**

##### **1.01 SECTION INCLUDES**

- A. Project Record Documents.
- B. Operation and Maintenance Data.
- C. Warranties and bonds.

##### **1.02 RELATED REQUIREMENTS**

- A. Section 00 72 00 - General Conditions: Performance bond and labor and material payment bonds, warranty, and correction of work.
- B. Section 01 30 00 - Administrative Requirements: Submittals procedures, shop drawings, product data, and samples.
- C. Section 01 70 00 - Execution and Closeout Requirements: Contract closeout procedures.
- D. Individual Product Sections: Specific requirements for operation and maintenance data.
- E. Individual Product Sections: Warranties required for specific products or Work.

##### **1.03 SUBMITTALS**

- A. Project Record Documents: Submit documents to Owner with claim for final Application for Payment.
- B. Operation and Maintenance Data:
  - 1. Submit two copies of preliminary draft or proposed formats and outlines of contents before start of Work. Owner will review draft and return one copy with comments.
  - 2. For equipment, or component parts of equipment put into service during construction and operated by Owner, submit completed documents within ten days after acceptance.
  - 3. Submit one copy of completed documents 15 days prior to final inspection. This copy will be reviewed and returned after final inspection, with Owner comments. Revise content of all document sets as required prior to final submission.
  - 4. Submit two sets of revised final documents in final form within 10 days after final inspection.
- C. Warranties and Bonds:
  - 1. For equipment or component parts of equipment put into service during construction with Owner's permission, submit documents within 10 days after acceptance.
  - 2. Make other submittals within 10 days after Date of Substantial Completion, prior to final Application for Payment.
  - 3. For items of Work for which acceptance is delayed beyond Date of Substantial Completion, submit within 10 days after acceptance, listing the date of acceptance as the beginning of the warranty period.

**PART 2 PRODUCTS - NOT USED**

**PART 3 EXECUTION**

**3.01 PROJECT RECORD DOCUMENTS**

- A. Maintain on site one set of the following record documents; record actual revisions to the Work:
  - 1. Drawings.
  - 2. Specifications.
  - 3. Addenda.
  - 4. Change Orders and other modifications to the Contract.
  - 5. Reviewed shop drawings, product data, and samples.
  - 6. Manufacturer's instruction for assembly, installation, and adjusting.
- B. Ensure entries are complete and accurate, enabling future reference by Owner.
- C. Store record documents separate from documents used for construction.
- D. Record information concurrent with construction progress.
- E. Specifications: Legibly mark and record at each product section description of actual products installed, including the following:
  - 1. Manufacturer's name and product model and number.
  - 2. Product substitutions or alternates utilized.
  - 3. Changes made by Addenda and modifications.
- F. Record Drawings and Shop Drawings: Legibly mark each item to record actual construction including:
  - 1. Measured depths of foundations in relation to finish first floor datum.
  - 2. Measured horizontal and vertical locations of underground utilities and appurtenances, referenced to permanent surface improvements.
  - 3. Measured locations of internal utilities and appurtenances concealed in construction, referenced to visible and accessible features of the Work.
  - 4. Field changes of dimension and detail.
  - 5. Details not on original Contract drawings.

**3.02 OPERATION AND MAINTENANCE DATA**

- A. Source Data: For each product or system, list names, addresses and telephone numbers of Subcontractors and suppliers, including local source of supplies and replacement parts.
- B. Product Data: Mark each sheet to clearly identify specific products and component parts, and data applicable to installation. Delete inapplicable information.
- C. Drawings: Supplement product data to illustrate relations of component parts of equipment and systems, to show control and flow diagrams.
- D. Typed Text: As required to supplement product data. Provide logical sequence of instructions for each procedure, incorporating manufacturer's instructions.

**3.03 OPERATION AND MAINTENANCE DATA FOR MATERIALS AND FINISHES**

- A. For Each Product, Applied Material, and Finish:
  - 1. Product data, with catalog number, size, composition, and color and texture designations.
  - 2. Information for re-ordering custom manufactured products.

- B. Instructions for Care and Maintenance: Manufacturer's recommendations for cleaning agents and methods, precautions against detrimental cleaning agents and methods, and recommended schedule for cleaning and maintenance.
- C. Moisture protection and weather-exposed products: Include product data listing applicable reference standards, chemical composition, and details of installation. Provide recommendations for inspections, maintenance, and repair.
- D. Additional information as specified in individual product specification sections.
- E. Where additional instructions are required, beyond the manufacturer's standard printed instructions, have instructions prepared by personnel experienced in the operation and maintenance of the specific products.
- F. Provide a listing in Table of Contents for design data, with tabbed fly sheet and space for insertion of data.

### **3.04 OPERATION AND MAINTENANCE DATA FOR EQUIPMENT AND SYSTEMS**

- A. For Each Item of Equipment and Each System:
  - 1. Description of unit or system, and component parts.
  - 2. Identify function, normal operating characteristics, and limiting conditions.
  - 3. Include performance curves, with engineering data and tests.
  - 4. Complete nomenclature and model number of replaceable parts.
- B. Where additional instructions are required, beyond the manufacturer's standard printed instructions, have instructions prepared by personnel experienced in the operation and maintenance of the specific products.
- C. Panelboard Circuit Directories: Provide electrical service characteristics, controls, and communications; typed.
- D. Include color coded wiring diagrams as installed.
- E. Operating Procedures: Include start-up, break-in, and routine normal operating instructions and sequences. Include regulation, control, stopping, shut-down, and emergency instructions. Include summer, winter, and any special operating instructions.
- F. Maintenance Requirements: Include routine procedures and guide for preventative maintenance and trouble shooting; disassembly, repair, and reassembly instructions; and alignment, adjusting, balancing, and checking instructions.
- G. Provide servicing and lubrication schedule, and list of lubricants required.
- H. Include manufacturer's printed operation and maintenance instructions.
- I. Include sequence of operation by controls manufacturer.
- J. Provide original manufacturer's parts list, illustrations, assembly drawings, and diagrams required for maintenance.
- K. Provide control diagrams by controls manufacturer as installed.
- L. Provide Contractor's coordination drawings, with color coded piping diagrams as installed.
- M. Provide charts of valve tag numbers, with location and function of each valve, keyed to flow and control diagrams.

- N. Provide list of original manufacturer's spare parts, current prices, and recommended quantities to be maintained in storage.
- O. Include test and balancing reports.
- P. Additional Requirements: As specified in individual product specification sections.

### **3.05 ASSEMBLY OF OPERATION AND MAINTENANCE MANUALS**

- A. Assemble operation and maintenance data into durable manuals for Owner's personnel use, with data arranged in the same sequence as, and identified by, the specification sections.
- B. Where systems involve more than one specification section, provide separate tabbed divider for each system.
- C. Binders: Commercial quality, 8-1/2 by 11 inch three D side ring binders with durable plastic covers; 2 inch maximum ring size. When multiple binders are used, correlate data into related consistent groupings.
- D. Cover: Identify each binder with typed or printed title OPERATION AND MAINTENANCE INSTRUCTIONS; identify title of Project; identify subject matter of contents.
- E. Project Directory: Title and address of Project; names, addresses, and telephone numbers of Owner, Consultants, Contractor and subcontractors, with names of responsible parties.
- F. Tables of Contents: List every item separated by a divider, using the same identification as on the divider tab; where multiple volumes are required, include all volumes Tables of Contents in each volume, with the current volume clearly identified.
- G. Dividers: Provide tabbed dividers for each separate product and system; identify the contents on the divider tab; immediately following the divider tab include a description of product and major component parts of equipment.
- H. Text: Manufacturer's printed data, or typewritten data on 24 pound paper.
- I. Drawings: Provide with reinforced punched binder tab. Bind in with text; fold larger drawings to size of text pages.
- J. Arrange content by systems under section numbers and sequence of Table of Contents of this Project Manual.
- K. Contents: Prepare a Table of Contents for each volume, with each product or system description identified, in three parts as follows:
  - 1. Part 1: Directory, listing names, addresses, and telephone numbers of Owner, Contractor, Subcontractors, and major equipment suppliers.
  - 2. Part 2: Operation and maintenance instructions, arranged by system and subdivided by specification section. For each category, identify names, addresses, and telephone numbers of Subcontractors and suppliers. Identify the following:
    - a. Significant design criteria.
    - b. List of equipment.
    - c. Parts list for each component.
    - d. Operating instructions.
    - e. Maintenance instructions for equipment and systems.
    - f. Maintenance instructions for special finishes, including recommended cleaning methods and materials, and special precautions identifying detrimental agents.

3. Part 3: Project documents and certificates, including the following:
  - a. Shop drawings and product data.
  - b. Air and water balance reports.
  - c. Certificates.
  - d. Photocopies of warranties and bonds.
- L. Provide a listing in Table of Contents for design data, with tabbed dividers and space for insertion of data.
- M. Table of Contents: Provide title of Project; names, addresses, and telephone numbers of Owner, Consultants, and Contractor with name of responsible parties; schedule of products and systems, indexed to content of the volume.

### **3.06 WARRANTIES AND BONDS**

- A. Obtain warranties and bonds, executed in duplicate by responsible Subcontractors, suppliers, and manufacturers, within 10 days after completion of the applicable item of work. Except for items put into use with Owner's permission, leave date of beginning of time of warranty until the Date of Substantial completion is determined.
- B. Verify that documents are in proper form, contain full information, and are notarized.
- C. Co-execute submittals when required.
- D. Retain warranties and bonds until time specified for submittal.
- E. Include originals of each in operation and maintenance manuals, indexed separately on Table of Contents.
- F. Manual: Bind in commercial quality 8-1/2 by 11 inch three D side ring binders with durable plastic covers.
- G. Cover: Identify each binder with typed or printed title WARRANTIES AND BONDS, with title of Project; name, address and telephone number of Contractor and equipment supplier; and name of responsible company principal.
- H. Table of Contents: Neatly typed, in the sequence of the Table of Contents of the Project Manual, with each item identified with the number and title of the specification section in which specified, and the name of product or work item.
- I. Separate each warranty or bond with index tab sheets keyed to the Table of Contents listing. Provide full information, using separate typed sheets as necessary. List Subcontractor, supplier, and manufacturer, with name, address, and telephone number of responsible principal.

**END OF SECTION**

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SECTION 13010 - ASBESTOS REMOVAL

PART I GENERAL

I.1 RELATED DOCUMENTS

General provisions of the contract, including General and Supplementary Conditions and other specification sections apply to work of this specification, which has been prepared by Bear Creek Contracting, Inc.

1.2 PROJECT/WORK IDENTIFICATION

- A. Summary by References: Work of the Contract can be summarized by references to the Contract, General Conditions, Supplementary Conditions, Specification Sections, addenda and modifications to the contract documents issued subsequent to the initial printing of this specification and including but not necessarily limited to printed material referenced by any of these. Work of the contract is also unavoidably affected or influenced by governing regulations, natural phenomenon including weather conditions and other forces outside the contract documents.
- B. Abbreviated Written Summary: Briefly and without force and effect upon the contract documents, the work of this Section can be summarized as follows:

Exploratory demolition of all "above ceiling" areas, and all chases and wall cavities, to observe for and identify all additional asbestos-containing materials.

Controlled preparation, removal, clean up and disposal of asbestos-containing materials, as described in this specification section and shown on the attached drawings.

All of the friable asbestos -containing materials must be properly removed and disposed before building demolition. Identified friable asbestos-containing materials include pipe insulation, flue insulation, tank insulation, boiler insulation, boiler gaskets, duct insulation, cementitious exhaust pipe insulation, cementitious coatings on/in non-asbestos insulation, ceiling finish, flex connectors, sheet flooring, sink undercoating, and caulk.

Category I non-friable asbestos-containing materials are only regulated under EPA's NESHAP if they become friable or are subjected to sanding, grinding, cutting or abrading. The boiler gaskets are friable and must be removed prior to building demolition. If the Contractor's demolition activities will not cause the other category I non-friable asbestos-containing materials to become regulated under EPA's NESHAP, the Contractor may choose to demolish and dispose of those materials with the building. Other identified category I non-friable asbestos-containing materials include floor tile and stair tread.

Category I non-friable materials are only regulated under EPA's NESHAP if they become friable, or have a high probability of becoming, or have become, crumbled, pulverize d, or reduced to a powder by forces expected to act on them during the course of demolition activities. If the Contractor's demolition activities will not cause the category II non-friable asbestos-containing materials to become regulated under EPA's NESHAP, the Contractor may choose to demolish and dispose of those materials with the building. Identified category II non-friable materials include cement-

asbestos flue pipe, flooring mastics/adhesives, cove base adhesive, bituminous coatings and vinyl coatings. Because it is brittle, the cement-asbestos flue pipe will be made regulated by traditional demolition activities, and must therefore be properly removed and disposed prior to building demolition.

OSHA considers removal of the ceiling finish and thermal system insulations to be Class I Asbestos Work, and removal of the other identified asbestos materials, or demolition of buildings containing those type materials, to be Class II Asbestos Work. OSHA's requirements for Class I work are more stringent than their requirements for Class II work, and for both classes they require establishment of regulated areas, supervision by a competent person, worker training, adherence to specified work practices and respiratory protection (or documentation that it is not required).

The Alabama Department of Environmental Management (ADEM) requires that all asbestos wastes be disposed in a permitted facility. Friable asbestos waste must be properly containerized and labeled, and can only be disposed in a landfill that is permitted to accept friable asbestos waste. If the contractor intends to recycle building components, he must remove any asbestos materials that are attached to those components. As an example, if concrete floor slabs are intended to be recycled all asbestos floor tile, stair tread, and mastic must first be properly removed from those concrete floor slabs.

Note: No consideration will be given for additional quantities of those other non-friable materials, including any that may be discovered during the exploratory demolition.

- C. Allowances for Additional Materials: There may be asbestos materials in areas of the building that were not accessible at the time of the survey or which were otherwise not noted. There will be no additional change orders issued. Quantities provided are not for bid purposes. It is the contractor's responsibility to be familiar with the project and determine quantities of asbestos containing materials. All ACM is to be abated.

- D. Project Designer: The Project Designer for the asbestos removal work included in this project is:

Bear Creek Contracting, Inc.  
P. O. Box 412  
Moody, Alabama 35004  
205-617-6124

The Owner will provide administration. Services provided by the Owner do not in any way relieve the Contractor of his obligation to perform the work in conformity with the drawings, specifications, and governmental regulations.

### 1.3 COORDINATION AND SCHEDULING

- A. In order to prevent the uncontrolled release of asbestos fibers and exposure of demolition workers and other building occupants to elevated airborne asbestos concentrations, it is necessary to properly remove asbestos-containing materials prior to commencement of building demolition.
- B. The General Contractor and any subcontractors must be aware of the location of asbestos materials within/on the ALABAMA A & M UNIVERSITY building, and must coordinate their activities to ensure that asbestos materials are only disturbed under controlled conditions as specified herein.
- C. Exterior asbestos removal work is only to be performed at times when the weather is fair and the air is calm. Cease asbestos removal immediately if a breeze picks up, or if rain is imminent.

#### 1.4 REGULATORY REQUIREMENTS

- A. By executing the Contract, the Contractor does hereby acknowledge awareness and familiarity with the contents and requirements of the regulations, codes, and standards listed in this section and assume responsibility for the performance of the Work in strict compliance therewith and for every instance of failure to comply therewith.
- B. The current issue of each document shall govern. Where conflict among requirements or with these specifications exists, the more stringent requirements shall apply.
  - 1. U. S. Department of Labor, Occupational Safety and Health Administration (OSHA): Construction Industry Standards (Code of Federal Regulations Title 29, Part 1926).
  - 2. U. S. Department of Labor, Occupational Safety and Health Administration (OSHA): Construction Standard for Asbestos (Code of Federal Regulations Title 29, Part 1926.1101).
  - 3. U. S. Department of Labor, Occupational Safety and Health Administration (OSHA): Personal Protective Equipment Standard (Code of Federal Regulations Title 29, Part 1910.132).
  - 4. U. S. Department of Labor, Occupational Safety and Health Administration (OSHA): Respiratory Protection Standard (Code of Federal Regulations Title 29, Part 1910.134).
  - 5. U. S. Department of Labor, Occupational Safety and Health Administration (OSHA): Hazard Communication Standard (Code of Federal Regulations Title 29, Part 1910.1200).
  - 6. U. S. Environmental Protection Agency (EPA): National Emissions Standards for Hazardous Air Pollutants (NESHAP), 40 CFR, Part 61, Subparts A and M.
  - 7. U. S. Environmental Protection Agency (EPA): "Asbestos Containing Materials in Schools; Final Rule and Notice" (Code of Federal Regulations Title 40, Part 763.80).
  - 8. U. S. Environmental Protection Agency (EPA): "Model Accreditation Plan" (Code of Federal Regulations Title 40, Part 763).
  - 9. U. S. Environmental Protection Agency (EPA): "Asbestos School Hazard Abatement Reauthorization Act (ASHARA)" (Code of Federal Regulations Title 40, Part 763).
  - 10. U. S. Department of Transportation (DOT): Transportation Standards (Code of Federal Regulations Title 49, Part 100 - 185).
  - 11. The Alabama Asbestos Contractors Accreditation Act, 89-517.
  - 12. All other Federal, State, County and City regulations, codes and ordinances as applicable.
- C. This list is provided as a convenience to the Contractor and is not to be considered all-inclusive of the codes, standards, regulations and laws. It is the sole responsibility of the Contractor to maintain a safe work site.

#### 1.5 SUBMITTALS

- A. Submit to the Owner for his review the following Pre-Job Submittals. The Pre-Job Submittals are to be submitted in electronic format on a CD, or by email. The listed documents must be combined into a single document in Portable Document Format (PDF). They must be arranged in the order listed below,



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- B. and except for tabs or explanatory letters, only the listed documents are to be included. The Work of this specification may not proceed until the complete Pre-Job Submittal package has been reviewed and approved by the Project Designer.

Note: The Owner will only accept complete sets of both Pre and Post-Job Submittals. If incomplete sets are submitted the Owner or his representative will prepare correspondence advising the contractor that his submittal is incomplete, and then the Owner will discard the incomplete submittals.

1. Copy of Contractor's "Notice of impending commencement of asbestos removal work" which was submitted in writing not fewer than ten days before work commences on the Project to:  
  
The Alabama Department of Environmental Management  
Attention: Mr. Donald W. Barron  
Air Division  
P.O. Box 301463  
Montgomery, Alabama 36130-1463
2. Copy of the Contractor's ADEM certificate to perform asbestos removal work within the State of Alabama.
3. Copies of the Safe State Certificates of Accreditation for the workers and supervisors that will be assigned to the project.
4. Signed statement from the Asbestos Removal Contractor certifying that all of his employees that will be on site have had medical evaluations by a licensed physician within the last twelve months.
5. Documentation of respiratory protection training and fit testing for each Contractor employee that will be on site. Fit testing dates must be within six months of the anticipated project completion date.
6. Individually signed Worker's Acknowledgment forms by each and every worker to be utilized on the project. A copy of this form is included in this specification section.

Note: The asbestos removal contractor is required to submit a signed Worker's Acknowledgment form from each of his personnel, and his subcontractor personnel, who are present at the job site during the course of the project. For those personnel who are not asbestos removal workers or supervisors, and who will not enter the work area, the Contractor can cross out and initial the paragraphs that address respiratory protection, training and medical examination, if those personnel are not required to participate in those programs.

7. Copy of the Contractor's written OSHA Hazard Communication Program, Contingency/Emergency Plan, and Safety Program.
8. The names, titles and telephone numbers of at least two Contractor representatives that can be contacted in the event of an emergency.
9. Letter from the chosen waste disposal facility indicating that they will accept the friable asbestos waste from this project and are permitted by ADEM to accept friable asbestos waste.
10. Copy of any applicable permits required by the City of Huntsville.
11. Safety Data Sheets (SDSs) for all chemicals that will be used or that will be present on the job site.

- C. Submit to the Owner for his review the following Post-Job Submittals. The Post-Job Submittals are to be submitted in electronic format on a CD, or by email. The listed documents must be combined into a single document in Portable Document Format (PDF). They must be arranged in the order listed below, and except for tabs or explanatory letters, only the listed documents are to be included. Requests for final payment will not be approved until the Post-Job Submittal package has been reviewed and approved by Owner.
1. Receipts from the recycling facility that acknowledge the Contractor's delivery(s) of ballasts shielding and flashing, and includes the signature of an authorized representative of the recycling facility. Receipts must show the quantity accepted, the delivery date, and the project title.
  2. Receipts from landfill operator, which acknowledges the Contractor's delivery(s) of waste material and includes the signature of an authorized representative of the landfill. Receipts must show the quantity accepted, the delivery date, and the project title.
  3. Copies of daily sign-in/sign-out logs. These logs shall include the name, date, time entering and leaving work area, company or agency represented, and reason for entry for every person entering the work area.
  4. Copies of daily project log, including descriptions of daily work activities and any unexpected situations or unusual events that occurred.
  5. Copies of the Safe State Certificates, documentation of respiratory protection training and fit testing, and signed Worker Acknowledgement forms for any workers or supervisors that worked on the project but whose documentation was not included with the pre-job submittals.

#### 1.6 QUALITY CRITERIA

- A. The Asbestos Removal Contractor shall be approved by the Alabama Department of Environmental Management in accordance with the Alabama Asbestos Contractors Accreditation Act and have a record of not less than two years successful experience in asbestos removal and related work similar in scope and magnitude to this Project.
- B. The Asbestos Removal Contractor shall maintain on site a superintendent who is accredited and has not less than one year of full-time experience in responsible charge of asbestos removal operations in similar scope and magnitude to this Project within the two-year period preceding start of project. The Superintendent must be approved by the Project Designer prior to the start of the Work and shall not be changed without prior approval of the Project Designer.
- C. Use only experienced, Safe State accredited asbestos removal workers to perform the Work.

#### 1.7 PERSONAL PROTECTION

- A. Prior to commencement of work, all workers shall be instructed in, and shall be knowledgeable of, the appropriate procedures for personal protection involving asbestos removal.
- B. Contractor acknowledges and agrees that he is solely responsible for enforcing worker protection requirements at least equal to those specified in these specifications.
- C. Provide workers with personally issued and marked respiratory equipment approved by NIOSH and OSHA to be suitable for the asbestos exposure levels encountered in the work areas according to OSHA 29 CFR 1926, or as more stringently specified elsewhere in the Contract Documents.

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- D. Where respirators with disposable filters are used, provide sufficient filters for replacement as necessary by the workers or as required in the Contract Documents. Use P100 particulate filters. Stack particulate filters with organic vapor filters when necessary for both particulate and organic vapor protection.
- E. Provide respiratory protection at all times which is in compliance with or in excess of the Occupational Safety and Health Administration guidelines for respiratory protection.
- F. Provide respiratory protection from the time that the first operation involved in the Project requires contact with asbestos-containing materials until acceptance of final air test results by Project Designer. Minimum respiratory protection requirements are:

<u>Fiber Concentration</u>	<u>Respiratory Protection</u>
start-up (if anticipated $\leq 0.2$ f/cc)	PAPR
<0.1 f/cc	half face respirator
0.1 to 0.2 f/cc	PAPR
>0.2 f/cc	supplied air

If solvents are used to remove mastics provide workers with appropriate respiratory protection for organic vapor concentrations that may be present.

- G. Permit no visitors, except governmental inspectors having jurisdiction, in the work areas after commencement of asbestos disturbance or removal.
- H. Provide workers with sufficient sets of protective disposable clothing, consisting of full-body coveralls, head covers, gloves and foot covers; of sizes to properly fit individual workers.
- I. Provide eye protection, hearing protection, foot protection, protection from electrical shock, fall protection, and hard hats as required for job conditions or by applicable safety regulations. Leave reusable footwear, hard hats, and eye protection devices in the contaminated equipment room until the end of the asbestos abatement work, at which time such items shall be disposed of as asbestos waste or decontaminated for reuse.
- J. Provide protective clothing for use by the Project Designer or his representative. Furnish protective clothing in as many sets as required for monitoring.

#### 1.8 AIR MONITORING

- A. The Contractor to perform daily air monitoring for the Owner. This air monitoring may be conducted during the removal and clean-up operations. The Contractor will perform clearance air monitoring for the Owner.
- B. Notify Owner of the commencement of asbestos removal at least five days in advance and provide at least 72-hour prior notification. Contractor may not proceed until such time as the observations have been performed by the Contractor's monitoring representative.
- C. Air monitoring samples will be analyzed by phase contract microscopy in general accordance with the procedures outlined in the NIOSH 7400 Method.
- D. The Contractor will perform all observations, monitoring, testing and conduct specified clearance testing. Such testing for the Owner does not relieve the Contractor of providing necessary tests required by other regulations, codes, and standards for the protection of his workers, or for any other purposes.

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- E. Services provided by the Owner shall not relieve the Contractor of his obligation to perform the work in conformity with the drawings, specifications, and governmental regulations.

1.9 WORK AREA CLEARANCE

A. Contractor release criteria:

The work areas are considered ready for re-occupancy when all of the work is completed, the work area is visually clean, and airborne fiber levels have been reduced to the level specified below.

B. Clearance Testing

1. Perform cleaning of all surfaces in work area and any other immediately adjacent contaminated areas.
2. Upon notice from Contractor that work areas and all other contaminated and cleaned areas are ready for Clearance Testing, the Contractor's Representative will perform visual observations and air tests. For Clearance the work area must be visually clean and the airborne fiber concentration must be equal to or less than 0.01 fibers per cubic centimeter (f/cc).
3. Areas which do not comply with the standard of cleaning shall continue to be cleaned by and at the Contractor's expense until the specified standard of cleaning is achieved as evidenced by visual observations and results of air sampling tests Contractor's Representative as previously specified. The costs of all follow-up observations, sampling and analyses necessitated by the failure of previous observations and/or air tests to meet the clearance criteria shall be borne by the Contractor.
4. When the airborne fiber concentration of 0.01 f/cc or less is achieved and observation by Contractor's Representative determines that the area has been visually decontaminated, the decontamination enclosure system shall be removed, the area thoroughly cleaned, and materials from the equipment room and shower disposed of as contaminated waste. The remaining barriers between contaminated and clean areas and all seals on openings into the work area and fixtures shall be removed and disposed of as contaminated waste.

C. Final Observation:

Final observation of the cleaning work of this Section be performed by Contractor's Representative to determine if the areas are visibly clean.

D. Contractor's Representation:

By requesting that Clearance be performed in a work area the Contractor or his representative represents that all of the asbestos work for that work area has been performed as specified and he agrees that should it be subsequently discovered that all of the work was not performed as specified he will take those steps necessary to cause it to be performed as specified; to include re-mobilization, preparation, abatement, cleanup and disposal.

By stating that Clearance has been achieved for a work area, the Contractor represents that the results of the Contractor's Representative air testing indicate that the airborne fiber concentrations within the work area meet the specified clearance criteria and that brief visual observations by the Contractor's Representative indicate that the specified materials appear to have been removed from the work area and that the work area appears to have been cleaned. A statement of Clearance by the Contractor's

Representative does not relieve the Contractor of his responsibility to perform all of the work as specified.

#### 1.10 WORKSITE CONDITIONS

Worker and Visitor Procedures: The Contractor and/or subcontractor is hereby advised that asbestos has been determined by the U. S. Government to be a CANCER-CAUSING AGENT. Contractor and/or subcontractor shall provide workers and visitors with respirators that, at a minimum, shall meet the requirements of OSHA 29 CFR 1926. Contractor shall provide protective clothing during actual asbestos removal and until air clearance tests results comply with the requirements of the Contract Documents.

### PART 2 - PRODUCTS

#### 2.1 MATERIALS

- A. Plastic sheeting - Shall be fire resistant, of thickness specified, and sized to minimize the frequency of joints.
- B. Tape - Shall be glass fiber or other type capable of sealing joints of adjacent sheets of plastic and for attachment of plastic sheet to finished or unfinished surfaces or dissimilar materials.
- C. Surfactant (wetting agent) - Shall consist of resin materials in water base which have been tested to indicate material is nontoxic and non-irritating to skin and eyes, and non-carcinogenic.
- D. Sealant (encapsulant) - Shall be manufactured by reputable, established manufacturer of encapsulation/sealant materials and be approved specifically for use in asbestos-contaminated environments.
- E. Organic solvent - Shall be low odor solvent formulated for removal of floor tile mastic.
- F. Impermeable Containers - Shall be suitable to receive and retain any asbestos-containing or contaminated materials until disposal at an approved site and shall be labeled in accordance with OSHA Regulations 29 CFR 1926. Containers must be both airtight and watertight and suitable for the waste they contain. Wastes with sharp edges or corners that could puncture plastic sheeting must be contained in more substantial containers. Use a minimum of two impermeable containers for each portion of waste.
- G. Cardboard sheeting/boxes or other appropriate padding - Shall be as required to prevent floor tile and other sharp waste materials from puncturing disposal bags.
- H. Warning Labels, Signs and Barricade Tape - Shall be as required by OSHA Regulation 29 CFR 1926.
- I. Other Materials - Provide all other materials, such as lumber, plywood, carriage bolts, nails and hardware, which may be required to construct the decontamination area and the barriers that isolate the work area(s).

#### 2.2 TOOLS AND EQUIPMENT

- A. Air Purifying Equipment - Shall be HEPA filtration systems. Ensure that no air movement system or purification equipment exhausts contaminated air from the work areas outside the work area.

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- B. Hand tools as needed to isolate the work areas and perform the required demolition and abatement operations.
- C. HEPA Vacuum Equipment - Shall be wet/dry vacuum unit equipped with HEPA filtration system.
- D. Scaffolding and/or ladders - Must be erected, maintained and removed in compliance with the requirements of OSHA Regulations 29 CFR 1926, Part 1926.450 to provide access and support where required.
- E. Water Sprayers - Utilize airless or other low-pressure sprayer for amended water application.
- F. Garden hoses or other means to keep asbestos-containing waste wet.
- G. Dumpsters or other appropriate equipment for on-site storage and transportation of asbestos-containing waste and of construction wastes.
- H. Safety equipment as required to protect workers while on the job site.

## 2.3 PRODUCT HANDLING

- A. Deliver all materials in the original packages, containers or bundles bearing the name of the manufacturer and the brand name.
- B. Store all materials subject to damage off the ground, away from wet or damp surfaces and under cover sufficient to prevent damage or contamination.
- C. Remove from the premises all damaged or deteriorating materials. Dispose of materials that become contaminated with asbestos in accordance with applicable regulatory standards.

## PART 3 - EXECUTION

### 3.1 SUMMARY OF WORK

- A. Work Included
  - 1. Identify location and amount of asbestos materials described on the drawings or in the specification.
  - 2. Perform the specified exploratory demolition and coordinate with the Project Designer to document quantities of additional asbestos materials.
  - 3. Prepare the work areas as specified.
  - 4. Remove asbestos materials as described on the drawings or in the specification.
  - 5. Properly clean using wet-cleaning methods and/or HEPA vacuum methods all work areas following asbestos removal.
  - 6. Leave all work areas decontaminated and visibly clean following the work of this Section.

7. Properly dispose of asbestos-containing waste material and debris.
8. Maintain existing emergency exits or establish alternative exits satisfactory to the local fire department.

- B. Approval of or acceptance by Owner of various construction activities or methods proposed by Contractor does not constitute an assumption of liability either by the Project Designer or Owner for inadequacy or adverse consequences of said activities or methods.

### 3.2 EXPLORATORY DEMOLITION

There are suspended ceilings throughout most of the building. There are also vertical chases and wall cavities that are likely to conceal asbestos materials. Prior to commencing asbestos removal, the contractor must perform sufficient exploratory demolition of ceilings and walls to be able to observe all "above ceiling" areas and all areas of chases and wall cavities to identify all additional asbestos materials. Where additional asbestos containing materials are discovered, their quantities must be first documented by the Contractor or his representative, verified and approved by the Owner, and then they will be removed/disposed as allowance material.

### 3.3 PREPARATION

- A. Coordinate sequence of work area preparation with the Owner and General Contractor in order to properly segregate work areas from areas that must remain fully or partially occupied or operational, or in which other special considerations are required.

B. Interior Asbestos Removal Work Areas

1. Post warning signs at all entrances into the work area and set up a restricted area using asbestos warning tape.
2. Shut down and tag out all HVAC equipment serving the work areas. Shut down and tag out electricity and other utilities at other areas where they could be damaged by the work or otherwise present a hazard to workers or other building occupants. Provide temporary electrical and water service as necessary to accomplish the specified work.
3. Using minimum six-mil thick plastic sheeting and tape/glue, isolate the work area by completely sealing off all openings such as corridors, doorways, ducts, grilles, diffusers and any other penetrations of the work area.
4. Seal electrical panels, switch boxes, etc. with minimum two layers of six-mil plastic sheeting.
5. Place minimum six-inch plastic sheeting on the floor below all asbestos materials, except in areas of floor tile and mastic removal. Extend plastic sheeting for a minimum of five feet beyond the extent of the asbestos materials. Where walls are encountered, turn the plastic sheeting up the wall a minimum of twelve inches. Securely attach plastic sheeting to floors and walls with tape and spray glue.

Note: In areas of asbestos flooring removal the floor plastic is not required, however removal of all other asbestos materials within that work area must be performed before removal of the asbestos flooring.

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6. Set up scaffolding, ladders and/or manlifts in accordance with OSHA requirements where required to provide access to asbestos materials or for additional wall/ceiling demolition.
7. Perform additional demolition required to access asbestos materials. Do not disturb asbestos during the course of demolition. If demolition cannot be accomplished without disturbing asbestos materials, delay demolition until all preparation is completed, the work area is under negative air pressure, and workers have donned appropriate personal protective equipment.
8. Provide worker decontamination facilities in accordance with EPA and OSHA requirements.
9. Place the work area under reduced air pressure utilizing HEPA filtration systems that comply with ANSI Z9.2-79, local exhaust ventilation. Allow no air movement system or air filtering equipment to discharge unfiltered air outside the work area. Maintain a reduced pressure on the work area continuously (24 hours per day) from the start of asbestos removal and until the area has been decontaminated and certified as such by the required inspection and air testing. The reduced air pressure equipment shall have sufficient capacity to effect one air change in the work area every fifteen minutes and maintain a minimum negative air pressure of 0.02 inches water column. Exhaust all filtered and discharged air outside the building away from air intake devices.
10. Ensure that all barriers and plastic enclosures remain effectively sealed and taped for duration of asbestos removal and subsequent cleaning. Repair damaged barriers and remedy defects immediately upon discovery. Visually inspect enclosures at the beginning of each work period. Check the pressure differential across the enclosure at the start of each work shift and at any other time there is an indication that the reduced air pressure system is not functioning properly.
11. Notify the Owner for observation of the preparation of work areas prior to any removal of asbestos-containing material.
12. Maintain for the duration of the project from the first activity requiring disturbance of asbestos-containing materials, a sign-in/out log in the immediate area of the change room. Log entries shall be made by every person who enters the work area.

C. Exterior Asbestos Removal Work Areas

1. Isolate the work area by placing barricade tape and warning signs around the areas of the building where asbestos materials will be removed. Place the tape and signs a minimum of twenty feet beyond the asbestos materials. Close all windows, doors, and other openings into the building that are within twenty feet of the work area.
2. Erect ladders and/or scaffolding in accordance with OSHA requirements to provide safe access to elevated work areas. Provide appropriate fall protection for workers, in accordance with OSHA requirements.
3. Abate any loose ACM on the ground prior to placing plastic. Place plastic sheeting on the ground beneath the area of asbestos removal. Extend plastic sheeting for a minimum of twenty feet beyond the extent of the asbestos materials. Where necessary, based on the height of the material and other conditions, extend the plastic sheeting further than twenty feet to ensure that fallen asbestos materials remain on the plastic sheeting. Where walls are encountered, turn the plastic sheeting up the wall a minimum of twelve inches. Securely attach plastic sheeting to walls with tape and spray glue. Use weights and/or stakes to secure the plastic sheeting to the ground.

Note: Exterior asbestos removal work is only to be performed at times when the weather is fair and the air is calm. Cease asbestos removal immediately if a breeze picks up, or if rain is imminent.



4. Isolate the area of plaster soffit removal by enclosing it with minimum six-mil plastic sheeting, and place that work area under reduced air pressure in compliance with EPA and OSHA requirements.
5. Provide worker decontamination facilities in accordance with EPA and OSHA requirements.
6. Ensure that all signs, seals, and barriers remain in place for duration of asbestos removal. Repair damaged barriers and remedy defects immediately upon discovery. Visually inspect signs, seals, and barricade tape at the beginning of each work period.
7. Notify Contractor's Representative for observation of work area preparation prior to any removal of asbestos-containing material.
8. Maintain for the duration of the project from the first activity requiring disturbance of asbestos-containing materials, a sign-in/out log in the immediate area of the change room. A complete entry shall be made in this log by every person who enters the work area.

#### 3.4 ASBESTOS REMOVAL

- A. Remove and properly dispose of all asbestos-containing materials indicated to be removed in accordance with the methods and procedures outlined in the U. S. Department of Occupational Safety and Health Administration (OSHA) Asbestos Regulations (Code of Federal Regulations Title 29, Section 1926) or as more stringently specified in these specifications.
- B. Removal of Corrugated Paper Insulation and Cementitious Insulation/Coating
  1. Prepare work area as specified in Section 3.3.
  2. Perform sufficient wall/ceiling demolition, if necessary, to access the insulation.
  3. Spray the surface of the insulation with amended water, then puncture the insulation and saturate it with amended water. Do not use excessive water.
  4. Remove the insulation from the pipe, tank, flue, boiler, or duct. Scrub and/or brush the surface of the pipe, tank, flue, boiler, or duct to remove any asbestos residue. Where asbestos insulation abuts non-asbestos insulation, remove three to five inches of the abutting non-asbestos insulation.
  5. Place/seal removed asbestos and debris in six-mil pre-labeled asbestos disposal bags and then in another properly labeled impermeable container. Saturate asbestos waste with amended water before sealing the bags.
- C. Removal of Ceiling Finish
  1. Prepare work area as specified in Section 3.3.
  2. Spray ceiling finish with amended water, using spray equipment recommended by surfactant manufacturer capable of providing a mist application to reduce the release of fibers. Wet the material sufficiently to saturate it to the substrate without causing excessive dripping. Spray the ceiling finish repeatedly during removal to maintain wet condition but do not use excessive amounts of water.

3. ***Remove acoustical ceiling tile as ACM prior to removal of ceiling finishes.*** Remove the ceiling finish, and any over-spray, from all surfaces within the specified area, including the deck, piping, conduit, wiring, ductwork, HVAC equipment, supports, etc. Do not allow ceiling finish to dry out. As it is removed, place all removed ceiling finish and associated debris in sealable plastic bags of six-mil minimum thickness and label for disposal.

Note: Where necessary, loosen fasteners supporting ductwork, conduit, junction boxes, hangers, and other deck-mounted items to remove any ceiling finish that is sandwiched between the item and the deck.

4. After completion of ceiling finish removal work, all surfaces within the work area, including HVAC, ductwork, light fixtures, conduit, junction boxes, and other equipment shall be wet wiped and/or HEPA vacuumed to remove all visible residue.

#### D. Removal of HVAC Flex Connectors

1. Prepare work area as specified in Section 3.3.
2. Spray the flexible connector with amended water, using spray equipment recommended by surfactant manufacturer capable of providing a mist application to reduce the release of fibers. Wet the connector sufficiently to saturate it without causing excessive dripping. Spray the material repeatedly during removal to maintain wet condition but do not use excessive amounts of water.
3. Remove the connector from the adjoining equipment and/or ductwork by unfastening it or by cutting the adjacent section of duct/equipment.
4. Wrap or box removed connector and any attached pieces of duct, equipment or debris in cardboard or use other method to prevent sharp edges from puncturing disposal bags/containers.
5. Place removed connector and debris in properly labeled six mil disposal bags and then in another approved container. Ensure that the outer container is not punctured.

#### E. Removal of Boiler Gaskets

1. Prepare work area as specified in Section 3.3.
2. Spray exposed edges of the gasket with amended water, using spray equipment recommended by surfactant manufacturer capable of providing a mist application to reduce the release of fibers. Carefully remove the boiler access panel to expose the remainder of the gasket, spraying the gasket with amended water as it is exposed. Spray the gasket repeatedly during removal to maintain wet condition.
3. Remove all gasket from the boiler and any remnants from the access panel. Do not allow gasket material to dry out. As it is removed, place the material in a pre-labeled plastic asbestos disposal bag of six-mil minimum thickness.
4. Using a brush, rags, and/or other appropriate implement, clean all residue from the boiler and access panel surfaces.
5. Add water to bagged waste until all waste is thoroughly saturated. Seal waste bags, ensure they are properly labeled, and place them in containers for transport and disposal.

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F. Removal of Cement-Asbestos (Transite) Flue Pipe

1. Prepare work area as specified in Section 3.3.
2. Erect scaffolding in accordance with OSHA requirements or provide other means to access the cement-asbestos flue pipe, and to support it.
3. Spray the surface with amended water, then puncture the insulation and saturate it with amended water. Do not use excessive water.
4. Support the sections of cement-asbestos flue pipe so that they do not fall when disconnected.
5. Wrap the connector sections in six-mil plastic sheeting and then carefully break the connector sections within the plastic sheeting. Cut the sheeting sufficiently to remove the broken connector pieces and place them in asbestos disposal bags.
6. Disconnect the flue pipe sections, and carefully lower them to the floor.
7. Wrap flue sections and debris in two layers of six-mil plastic sheeting sealed with tape and label for disposal.

G. Removal of Cement-Asbestos (Transite) Panels

1. Prepare work area as specified in Section 3.3.
2. Erect scaffolding or use of manlifts in accordance with OSHA requirements or provide other means to access the cement-asbestos panels, and to support it.
3. Spray the surface with amended water, saturate it with amended water. Do not use excessive water.
4. Remove roofing materials or other building materials atop of panels prior to abatement of cement-asbestos panels.
5. Support the sections of cement-asbestos panels so that they do not break or fall when disconnected.
6. Disconnect panels sections, and carefully lower them to the floor.
7. Wrap panels sections and debris in two layers of six-mil plastic sheeting sealed with tape and label for disposal.

H. Removal of Sinks with Asbestos Undercoating

1. Prepare work area as specified in Section 3.3.
2. Ensure that water service to the sink is turned off and tagged out.
3. Disconnect water supply and drain piping to the sink.
4. Spray the surface with amended water, saturate it with amended water. Do not use excessive water.

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ASBESTOS ABATEMENT

5. Remove the fasteners supporting the sink. Remove the sink, cover any sharp edges or corners with cardboard, seal the sink in a minimum of two layers of six-mil plastic sheeting and label it for disposal.

I. Removal of Sheet Flooring

1. Prepare work area as specified in Section 3.3.
2. Spray the surface with amended water, saturate it with amended water. Do not use excessive water.
3. Remove sheet flooring materials with mechanical methods. Remove using methods that minimize tearing. Use sufficient water to keep floor material wet, but do not allow water to seep under walls or through floor slabs.
4. Where sheet flooring materials extend beneath walls and/or millwork, perform sufficient demolition of the walls and/or millwork to allow for removal of all sheet flooring materials from beneath them.
5. Remove flooring adhesive using mechanical methods and minimum amounts of organic solvents. Use solvent materials and methods that minimize vapors. Provide workers with appropriate respiratory protection for solvent vapors as well as asbestos fibers.
6. Place removed sheet flooring materials and debris in sealable plastic bags of six-mil minimum thickness and then in another impermeable container approved by the Project Designer.
7. Label bags and containers and dispose of as asbestos-containing waste.

J. Removal of Caulk

1. Prepare work area as specified in Section 3.3.
2. Spray the caulk surfaces with encapsulant, and secure the window/door units as necessary to prevent them from falling as they are being removed.
3. Using mechanical methods carefully remove the window/door units from the building. Carefully lower the window/door units to the ground surface. Cover sharp edges with cardboard or other appropriate padding. Wrap/seal the removed window/door units in a minimum of two layers of six-mil plastic sheeting and label for disposal.
4. Scrape all remnants of caulk from around the opening from which each window/door unit was removed. Seal removed caulk in properly labeled six-mil disposal bags.

Note: Building security must be maintained where windows and doors are removed. If the site is not properly fenced it may be necessary to securely cover window/door openings where doors and/or windows are removed. On the first-floor level, and at other areas where the windows are reasonably accessible from the ground without a ladder, the contractor must securely cover the exterior face of openings with minimum 7/16" thick plywood or OSB that is securely fastened over the opening. Edges of plywood/OSB that do not bear against a wall must overlap the adjacent sheet of plywood/OSB by a minimum of six inches and those two pieces of plywood/OSB must be securely fastened together.

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K. Removal of Floor Tile, Stair Tread, and Mastic

1. Prepare work areas as specified in Section 3.3.

Note: In areas where other asbestos-containing materials are to be removed, the asbestos flooring materials are to be removed last.

2. Spray the surface of the insulation with amended water, saturate it with amended water. Do not use excessive water.
3. Perform demolition of walls and casework as necessary to access asbestos flooring that extends beneath them.
4. Remove carpet where it overlies asbestos flooring. Removed carpet that is contaminated with asbestos materials must be properly wrapped, labeled, and disposed as asbestos waste. Removed carpet that is not contaminated with asbestos can be removed from the work area and disposed as construction debris.
5. Mist the asbestos flooring with amended water until the surfaces are wet. Do not apply so much water that it spreads or runs. Mop up excess water as necessary.
6. Using mechanical methods remove floor tile and stair tread with minimal breakage.
7. Remove flooring mastic using mechanical methods and minimum amounts of organic solvents. Use solvent materials and methods that minimize vapors. Provide workers with appropriate respiratory protection for solvent vapors as well as asbestos fibers.
8. Wrap or box removed flooring in cardboard or use other method to prevent sharp edges from puncturing disposal bags/containers.
9. Place removed tile, mastic, and debris in properly labeled six mil disposal bags and then in another approved container. Ensure that tile does not puncture the outer container.

L. Removal of Cove Base Adhesive

1. Prepare work areas as specified in Section 3.3.
2. Spray the surface with amended water, then puncture the insulation and saturate it with amended water. Do not use excessive water.
3. Using mechanical methods, remove the cove base from the wall surface.
4. Mist the exposed surfaces of the cove base adhesive with amended water until the surfaces are wet. Do not apply excess water.
5. Using mechanical methods scrape/remove the cove base adhesive from the wall substrate.
6. Place/seal removed cove base, cove base adhesive, and debris in properly labeled six mil disposal bags and then in another approved container.

M. Removal of Non-Friable Coatings/Sealants

1. Prepare work area as specified in Section 3.3.
2. Spray the surface of the coating/sealant with encapsulant.

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3. Using mechanical methods remove the coating/sealant from the substrate. Where necessary use small amounts of appropriate solvent to remove coatings/sealants from pipes, ducts, hangers, and other building components. Provide workers with appropriate respiratory protection for solvent vapors as well as asbestos fibers.
4. Seal removed asbestos and debris in six-mil pre-labeled asbestos disposal bags and then in another properly labeled impermeable container.

3.5 CLEAN UP

- A. Provide general cleaning of work area concurrently with the removal of asbestos-containing materials. Do not permit accumulation of removed materials on floor or roof.
- B. Cleaning Sequence:
  1. Remove all visible accumulations of asbestos material and debris.
  2. Wet clean all surfaces in the work area.
  3. Clean all sealed impermeable containers and all equipment (excluding that needed for further cleaning) used in the work area and remove from work area.
  4. Notify Contractor's Representative for observation of cleaning to determine completeness.
  5. Following acceptance of cleaning by the Contractor's Representative and following successful compliance with clearance testing requirements, carefully remove plastic sheeting from walls, folding inward to trap debris.

3.6 REMOVAL OF CONTAMINATED WASTE FROM WORK AREA

Remove sealed and labeled containers of contaminated material as follows:

- A. Clean plastic bags (using HEPA or wet cleaning methods) while in the work area.
- B. Pass cleaned plastic bags outside for loading.
- C. Seal asbestos waste in leak-proof impermeable containers labeled in accordance with OSHA 29 CFR 1926 or applicable local standards.

3.7 HAZARDOUS AND UNIVERSAL WASTE

A. MERCURY BULBS AND SWITCHES

1. Don appropriate personnel protective clothing/equipment.
2. Without damaging the bulbs or switches, remove outer protective case, to expose the bulb or switch.
3. Remove any fasteners, and then remove the bulb or switch.
4. Containerize the bulbs in a cardboard box and switches in a 5-gallon bucket with lid.

5. Remove from the work area and store in a secure location until disposal.

B. BALLASTS

1. Don appropriate personnel protective clothing/equipment.
2. Without damaging the bulbs or switches, remove outer protective case, to expose the bulb or switch.
3. Remove any fasteners, and then remove the ballasts.
4. Containerize the ballasts in a 55-gallon metal drum.

3.8 WASTE DISPOSAL

- A. All light bulbs, mercury bulbs, ballasts, and mercury containing devices (hazardous and/or universal) waste material must be packaged and disposed in accordance with EPA and DOT regulation and standards. Retain receipts for post-job submittals.
- B. Asbestos-containing waste material and debris must be packaged in accordance with the provisions of this specification and disposed at a properly permitted "Subtitle D" landfill within the State of Alabama.
- C. Dispose of asbestos-containing waste as follows:
  1. Seal asbestos waste in leak-proof impermeable containers labeled in accordance with OSHA, DOT and EPA standards.
  2. Carefully load containerized waste on enclosed or covered trucks/dumpsters for transport. Exercise care before and during transport to ensure that no unauthorized persons have access to the material.
  3. Use only enclosed or covered trucks/dumpsters to haul impermeable containers to prevent loss or damage to container in route to the landfill.
  4. Allow only sealed plastic bags or impermeable containers to be deposited in landfill. Leave damaged, leaking or broken plastic bags in the impermeable container and deposit entire container in landfill.
  5. Ensure that there are no visible emissions to the outside air from site where materials and waste are deposited.
  6. Contractor may recycle uncontaminated impermeable containers.
  7. Retain receipts from landfill for asbestos wastes disposed.

Witness



**ALABAMA AGRICULTURAL & MECHANICAL UNIVERSITY  
P.O. BOX 1837  
NORMAL, ALABAMA 35762**

**ASBESTOS AND LEAD BASED PAINT SURVEY  
COUNCIL TRAINING CENTER  
ALABAMA AGRICULTURAL & MECHANICAL UNIVERSITY  
NORMAL, ALABAMA  
PROJECT NO. 23-0179**

**MARCH 24, 2023**



**PREPARED BY:**

**GEO SOLUTIONS, L.L.C.  
7201 OPPORTUNITY BOULEVARD  
HUNTSVILLE, ALABAMA 35810**

# ***GEO SOLUTIONS, L.L.C.***

*Geotechnical Engineering and Materials Testing Services*

March 24, 2023

Alabama Agricultural & Mechanical University  
P.O. Box  
Normal, Alabama 35762

ATTENTION: Mr. Greg Bryant

SUBJECT: Asbestos and Lead Based Paint Survey  
Council Training Center  
Alabama Agricultural & Mechanical University  
Normal, Alabama  
GEO Solutions Project No.: 23-0179

## **Introduction**

GEO Solutions, LLC, is pleased to present this report for the Asbestos and Lead Based Paint Samples that were analyzed for Council Training Center located on the campus of Alabama Agricultural & Mechanical University in Normal, Alabama. We understand that the building is scheduled for renovation.

## **Limited Asbestos Survey Scope of Work and Methodology**

The asbestos sampling performed was of a limited nature and was not intended to comply with the strict requirements of OSHA or AHERA. The samples were provided by you and submitted to Professional Services Industries (PSI) in Pittsburgh, Pennsylvania (National Voluntary Laboratory Accreditation Program Certification No. 101350-0) for analysis by polarized light microscopy (PLM). The report of laboratory analysis and chain-of-custody forms are attached to this letter.

## **Limited Asbestos Survey Results**

A total of 46 bulk samples were collected and submitted to the laboratory for analysis by Polarized Light Microscopy (PLM). Listed below is a summary of the samples collected, sample location and analysis results. The laboratory report and chain of custody are also attached to this letter.

<b>SAMPLE NUMBER</b>	<b>SAMPLE DESCRIPTION</b>	<b>LOCATION</b>	<b>ASBESTOS DETECTED</b>	<b>NON- ASBESTOS MATERIAL PRESENT</b>
S001	9x9 Beige Floor Tile	North Hall	4% Chrysotile	None Reported
S002	Black Mastic	North Hall	2% Chrysotile	None Reported
S003	9x9 Black Floor Tile	North Hall	4% Chrysotile	None Reported
S004	Black Mastic	North Hall	2% Chrysotile	None Reported

<b>SAMPLE NUMBER</b>	<b>SAMPLE DESCRIPTION</b>	<b>LOCATION</b>	<b>ASBESTOS DETECTED</b>	<b>NON-ASBESTOS MATERIAL PRESENT</b>
S005	9x9 Red Floor Tile	North Hall	4% Chrysotile	None Reported
S006	Black Mastic	North Hall	2% Chrysotile	None Reported
S007	9x9 Beige Floor Tile	Top of Stairs	3% Chrysotile	None Reported
S008	Black Mastic	Top of Stairs	2% Chrysotile	None Reported
S009	9x9 Beige Floor Tile	Room 28	4% Chrysotile	None Reported
S010	Black Mastic	Room 28	2% Chrysotile	None Reported
S011	9x9 Black Floor Tile	Room 28	4% Chrysotile	None Reported
S012	Black Mastic	Room 28	2% Chrysotile	None Reported
S013	12x12 Red Floor Tile	Room 31	No Asbestos Detected	None Reported
S014	12x12 Beige Floor Tile	Bathroom	No Asbestos Detected	None Reported
S015	Black Mastic	Bathroom	2% Chrysotile	None Reported
S016	Gray Caulking	Room 28	No Asbestos Detected	None Reported
S017	White Pipe Wrap	Bathroom	No Asbestos Detected	40% Cellulose Fiber 40% Fibrous Glass
S018	9x9 Beige Floor Tile	Room 26 Under Carpet	3% Chrysotile	None Reported
S019	Black Mastic	Room 26 Under Carpet	2% Chrysotile	None Reported
S020	12x12 White Floor Tile	East Storage Room	No Asbestos Detected	None Reported
S021	Black Mastic	East Storage Room	2% Chrysotile	None Reported
S022	9x9 Beige Floor Tile	Academic Enhancement Room	3% Chrysotile	None Reported
S023	Yellow Mastic	Academic Enhancement Room	No Asbestos Detected	None Reported
S024	9x9 Beige Floor Tile	Compliance/Academic Enhancement Under Carpet	3% Chrysotile	None Reported

<b>SAMPLE NUMBER</b>	<b>SAMPLE DESCRIPTION</b>	<b>LOCATION</b>	<b>ASBESTOS DETECTED</b>	<b>NON-ASBESTOS MATERIAL PRESENT</b>
S025	<b>Black Mastic</b>	<b>Compliance/Academic Enhancement Under Carpet</b>	<b>2% Chrysotile</b>	None Reported
S026	<b>9x9 Beige Floor Tile</b>	<b>Compliance/Academic Enhancement Office Under Carpet</b>	<b>3% Chrysotile</b>	None Reported
S027	<b>Black Mastic</b>	<b>Compliance/Academic Enhancement Office Under Carpet</b>	<b>2% Chrysotile</b>	None Reported
S028	12x12 Beige Floor Tile	Reception Area	No Asbestos Detected	None Reported
S029	<b>Black Mastic</b>	<b>Reception Area</b>	<b>2% Chrysotile</b>	None Reported
S030	<b>9x9 Beige Floor Tile</b>	<b>ROTC Wing Hallway</b>	<b>3% Chrysotile</b>	None Reported
S031	<b>Black Mastic</b>	<b>ROTC Wing Hallway</b>	<b>2% Chrysotile</b>	None Reported
S032	<b>9x9 Beige Floor Tile</b>	<b>ROTC Wing Office</b>	<b>3% Chrysotile</b>	None Reported
S033	Yellow Mastic	ROTC Wing Office Under Carpet	No Asbestos Detected	None Reported
S034	<b>White Caulking</b>	<b>Class Room 8</b>	<b>3% Chrysotile</b>	None Reported
S035	White Ceiling Tile	Uniform Room	No Asbestos Detected	90% Cellulose Fiber
S036	<b>12x12 Beige Floor Tile</b>	<b>Uniform Room</b>	<b>3% Chrysotile</b>	None Reported
S037	<b>Black Mastic</b>	<b>Uniform Room</b>	<b>2% Chrysotile</b>	None Reported
S038	Gray Caulking	Exterior of Uniform Room	No Asbestos Detected	None Reported
S039	<b>Gray Insulation Around Boiler</b>	<b>Boiler Room</b>	<b>80% Chrysotile</b>	None Reported
S040	White Pipe Wrap	Basement/Boiler Room	No Asbestos Detected	20% Fibrous Glass
S041	<b>Gray Roofing</b>	<b>Roof Overhang</b>	<b>25% Chrysotile</b>	None Reported
S042	Roof Flashing	Roof	No Asbestos Detected	30% Cellulose Fiber
S043	Pebble Exterior Wall	Exterior Wall	No Asbestos Detected	15% Cellulose Fiber
S044	<b>Ceiling</b>	<b>Gym</b>	<b>25% Chrysotile</b>	None Reported

SAMPLE NUMBER	SAMPLE DESCRIPTION	LOCATION	ASBESTOS DETECTED	NON-ASBESTOS MATERIAL PRESENT
S045	Roof Material	Roof	No Asbestos Detected	30% Cellulose Fiber
S046	Roof Material	Roof	No Asbestos Detected	20% Fibrous Glass

As indicated from the sampling results, all 9x9 floor tile and black mastic throughout the building are asbestos containing materials. The interior caulking in Class Room 8 in the ROTC wing is asbestos containing material. In the boiler room area, insulation around the boiler and the corrugated pipe insulation is asbestos containing material. The roof overhand and the gymnasium ceiling are both transite and asbestos containing material.

#### **Limited Lead-Based Paint Survey**

Limited Lead-Based Paint (LBP) sampling was performed by collection of paint chip samples by you and analysis from selected areas on the subject property.

A positive classification indicates lead is present on the tested component at or above the Housing and Urban Development (HUD) standard. The "HUD standard" for lead in paint is 1.0 mg/cm<sup>2</sup> by XRF analysis or 0.5% by weight (this is equivalent to 5,000 mg/kg or parts per million). The "HUD standard" is the standard used in the industry to determine an exposure hazard due to lead.

The following table summarizes the sampled materials collected and analyzed. The complete analytical report and chain-of-custody documentation are attached to this letter.

SUMMARY OF SAMPLED MATERIALS			
Client Sample Material #	Material Description	Location	Lead Content by Weight (%)
P001	Off-White Paint	Bathroom	0.034
P002	Maroon Paint	Hallway	<0.019
P003	White Paint	East Bathroom	0.052
P004	White/Green Paint	Reception Area	0.057
P005	Maroon/Green Paint	Reception Area	0.071
P006	Green Paint	Uniform Room	0.26
P007	Blue Paint	Gym	<0.018

As indicated from the above results, the samples analyzed did not contain concentrations of lead greater than 0.5% by weight. Several areas of the ROTC wing were not accessible during our survey.

**Closing**

GEO Solutions appreciates the opportunity to be of service. Should you have any questions regarding the report, please do not hesitate to contact us for assistance.

Respectfully submitted,  
**GEO SOLUTIONS, LLC**



Barbara R. Lehman, P.E.  
Project Manager



William T. Kennard, P.E.  
Partner

Attachments: Report of Bulk Sample Analysis for Asbestos  
Report of Paint for Lead Determination  
Chains of Custody  
Accredations



The University of Alabama  
Safe State Program



***INSPECTOR***

**Barbara Lehman**

**Accreditation No. AIN0922286353**

**Valid Thru: 09/07/2023**

*Kalyn Tew*

**Kalyn Tew, Environmental Services Manager**



THE UNIVERSITY OF  
**ALABAMA**  
COLLEGE OF CONTINUING STUDIES

*Certifies that*

***Barbara Lehman***

286353

7201 Opportunity Blvd.  
Huntsville, AL 35810

*successfully completed a course and passed a course examination  
and a hands-on skills assessment in the English language for*

***Lead Inspector Refresher***

*to obtain this certificate*

**2023-LDINSR-04**

<b>Course Completed:</b>	<b>January 25, 2023</b>
<b>Examination Passed:</b>	<b>January 25, 2023</b>
<b>Certificate Expiration Date:</b>	<b>January 24, 2026</b>
<b>Registration Expiration Date:</b>	<b>January 24, 2026</b>
<b>Course Location:</b>	<b>Tuscaloosa, Alabama</b>

*This training course was accredited on August 17, 1998, by the Georgia Department of Natural Resources, Environmental Protection Division, and is in compliance with Rules at Chapter 391-3-24. This training course is in compliance with US-EPA regulations at 40 CFR Part 745 (Requirements for Lead-Based Paint Activities in Target Housing and Child Occupied Facilities).*



*James A. Biele*

Principal Instructor

*Angie Cabel*

Environmental Program Manager, SafeState

*R. H. III*

Associate Provost, O.T.I.D.E.

The University of Alabama, O.T.I.D.E., Division of Environmental & Industrial Programs  
Box 870310, Tuscaloosa, AL 35487-0388  
Phone: 205-348-3005 or TOLL FREE 1-877-508-7246





## REPORT OF BULK SAMPLE ANALYSIS FOR ASBESTOS

TESTED FOR: Geo Solutions  
7201 Opportunity Boulevard  
Huntsville, AL 35810  
Attn: Barbara Lehman

Project ID: 0815660  
23-0179  
Council Training Center - Asbestos

Date Received: 3/16/2023

Date Completed: 3/23/2023

Date Reported: 3/23/2023

Analyst: Chris Kopar		Work Order: 2303373		Page: 1 of 3	
Client ID	Lab ID (Layer)	Sample Description (Color, Texture, Etc.) <i>Analyst's Comment</i>	Asbestos Content (Percent and Type)	Non-asbestos Fibers (Percent and Type)	
S001	001A	(1) Beige, Floor Tile, Homogeneous	4% Chrysotile	None Reported	
S002	002A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported	
S003	003A	(1) Black, Floor Tile, Homogeneous	4% Chrysotile	None Reported	
S004	004A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported	
S005	005A	(1) Red, Floor Tile, Homogeneous	4% Chrysotile	None Reported	
S006	006A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported	
S007	007A	(1) Beige, Floor Tile, Homogeneous	3% Chrysotile	None Reported	
S008	008A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported	
S009	009A	(1) Beige, Floor Tile, Homogeneous	4% Chrysotile	None Reported	
S010	010A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported	
S011	011A	(1) Black, Floor Tile, Homogeneous	4% Chrysotile	None Reported	
S012	012A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported	
S013	013A	(1) Red, Floor Tile, Homogeneous	NO ASBESTOS DETECTED	None Reported	
S014	014A	(1) Beige, Floor Tile, Homogeneous	NO ASBESTOS DETECTED	None Reported	
S015	015A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported	
S016	016A	(1) Gray, Caulking, Homogeneous	NO ASBESTOS DETECTED	None Reported	

Quantitation is based on a visual estimation of the relative area of bulk sample components, unless otherwise noted in the "Comments" section of this report. The results are valid only for the item tested as received. This report may not be used to claim product endorsement by NVLAP or any agency of the U.S. Government. Method used: E.P.A. Interim Method for the Determination of Asbestos in Bulk Insulation Samples (EPA 600/M4-82-020). Polarized Light Microscopy is not consistently reliable in detecting asbestos in floor coverings and similar non-friable organically bound materials. Quantitative Transmission Electron Microscopy is currently the only method that can be used to determine if the material can be considered or treated as non-asbestos containing. Samples will be disposed of within 30 days unless notified in writing by the client. No part of this report may be reproduced, except in full, without written permission of the laboratory. The reporting limit is 1% by weight. NVLAP Lab Code 101350-0.

Respectfully submitted,  
PSI, Inc.

*Morgan Ryan*

Approved Signatory  
Morgan Ryan

Analyst: Chris Kopar

Work Order: 2303373

Page: 2 of 3

Client ID	Lab ID (Layer)	Sample Description (Color, Texture, Etc.) <i>Analyst's Comment</i>	Asbestos Content (Percent and Type)	Non-asbestos Fibers (Percent and Type)
S017	017A	(1) White, Pipe Wrap, Homogeneous	NO ASBESTOS DETECTED	40% Cellulose Fiber 40% Fibrous Glass
S018	018A	(1) Beige, Floor Tile, Homogeneous	3% Chrysotile	None Reported
S019	019A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported
S020	020A	(1) White, Floor Tile, Homogeneous	NO ASBESTOS DETECTED	None Reported
S021	021A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported
S022	022A	(1) Beige, Floor Tile, Homogeneous	3% Chrysotile	None Reported
S023	023A	(1) Yellow, Mastic, Homogeneous <i>Insufficient black mastic</i>	NO ASBESTOS DETECTED	None Reported
S024	024A	(1) Beige, Floor Tile, Homogeneous	3% Chrysotile	None Reported
S025	025A	(1) Black, Mastic, Homogeneous <i>Inseparable black/yellow mastics</i>	2% Chrysotile	None Reported
S026	026A	(1) Beige, Floor Tile, Homogeneous	3% Chrysotile	None Reported
S027	027A	(1) Black, Mastic, Homogeneous <i>Inseparable black/yellow mastics</i>	2% Chrysotile	None Reported
S028	028A	(1) Beige, Floor Tile, Homogeneous	NO ASBESTOS DETECTED	None Reported
S029	029A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported
S030	030A	(1) Beige, Floor Tile, Homogeneous	3% Chrysotile	None Reported
S031	031A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported
S032	032A	(1) Beige, Floor Tile, Homogeneous	3% Chrysotile	None Reported
S033	033A	(1) Yellow, Mastic, Homogeneous <i>Insufficient black mastic</i>	NO ASBESTOS DETECTED	None Reported
S034	034A	(1) White, Caulking, Homogeneous	3% Chrysotile	None Reported
S035	035A	(1) White, Ceiling Tile, Homogeneous	NO ASBESTOS DETECTED	90% Cellulose Fiber

Quantitation is based on a visual estimation of the relative area of bulk sample components, unless otherwise noted in the "Comments" section of this report. The results are valid only for the item tested as received. This report may not be used to claim product endorsement by NVLAP or any agency of the U.S. Government. Method used: E.P.A. Interim Method for the Determination of Asbestos in Bulk Insulation Samples (EPA 600/M4-82-020). Polarized Light Microscopy is not consistently reliable in detecting asbestos in floor coverings and similar non-friable organically bound materials. Quantitative Transmission Electron Microscopy is currently the only method that can be used to determine if the material can be considered or treated as non-asbestos containing. Samples will be disposed of within 30 days unless notified in writing by the client. No part of this report may be reproduced, except in full, without written permission of the laboratory. The reporting limit is 1% by weight. NVLAP Lab Code 101350-0.

Respectfully submitted,  
PSI, Inc.

*Morgan Ryan*

Approved Signatory  
Morgan Ryan

Analyst: Chris Kopar

Work Order: 2303373

Page: 3 of 3

Client ID	Lab ID (Layer)	Sample Description (Color, Texture, Etc.) <i>Analyst's Comment</i>	Asbestos Content (Percent and Type)	Non-asbestos Fibers (Percent and Type)
S036	036A	(1) Beige, Floor Tile, Homogeneous	3% Chrysotile	None Reported
S037	037A	(1) Black, Mastic, Homogeneous	2% Chrysotile	None Reported
S038	038A	(1) Gray, Caulking, Homogeneous	NO ASBESTOS DETECTED	None Reported
S039	039A	(1) Gray, Insulation, Homogeneous	80% Chrysotile	None Reported
S040	040A	(1) White, Pipe Wrap, Homogeneous	NO ASBESTOS DETECTED	20% Fibrous Glass
S041	041A	(1) Gray, Roofing, Homogeneous <i>Transite</i>	25% Chrysotile	None Reported
S042	042A	(1) Black, Flashing, Homogeneous	NO ASBESTOS DETECTED	30% Cellulose Fiber
S043	043A	(1) White, Plaster, Homogeneous	NO ASBESTOS DETECTED	15% Cellulose Fiber
S044	044A	(1) Gray, Transite, Homogeneous <i>Ceiling</i>	25% Chrysotile	None Reported
S045	045A	(1) Black, Roofing, Homogeneous	NO ASBESTOS DETECTED	30% Cellulose Fiber
S046	046A	(1) Black, Roofing, Homogeneous	NO ASBESTOS DETECTED	20% Fibrous Glass

Report Notes: (PT) Point Count Results

Quantitation is based on a visual estimation of the relative area of bulk sample components, unless otherwise noted in the "Comments" section of this report. The results are valid only for the item tested as received. This report may not be used to claim product endorsement by NVLAP or any agency of the U.S. Government. Method used: E.P.A. Interim Method for the Determination of Asbestos in Bulk Insulation Samples (EPA 600/M4-82-020). Polarized Light Microscopy is not consistently reliable in detecting asbestos in floor coverings and similar non-friable organically bound materials. Quantitative Transmission Electron Microscopy is currently the only method that can be used to determine if the material can be considered or treated as non-asbestos containing. Samples will be disposed of within 30 days unless notified in writing by the client. No part of this report may be reproduced, except in full, without written permission of the laboratory. The reporting limit is 1% by weight. NVLAP Lab Code 101350-0.

Respectfully submitted,  
PSI, Inc.

*Morgan Ryan*

Approved Signatory  
Morgan Ryan

# CHAIN OF CUSTODY - ASB/LEAD/IH

## Project Information

Project Name:	Lowell Training Center - Asbestos
Project No:	23-0179
PO Number:	

## Send Results To:

Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

## Requested Turnaround Time:

Same Day	1-2 Day	3-5 Day	Requested Date:
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	3/16/2008

## Stop at First Positive

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

## Laboratory Use Only

All Samples In Acceptable Condition:	Y	N
Comments:		
Shipping Charges Apply:		

## Send Invoice To:

Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net

## Parameter

Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Paint Chip	Lead TCP	PCM	PCM "B Rules"	TEM AHRA	TEM 7402	TEM Chatfield	TEM Vacuum	TEM Wipe	NY PLM Friable/NOB	NY TEM NOB	NY SOF-V	Total Nuisance Dust	Respirable Dust	Cadmium	Zinc	Total Chromium	Other
5001 Floor Tile																									
5002 Mastic																									
5003 Floor Tile																									
5004 Mastic																									
5005 Floor Tile																									
5006 Mastic																									

## Relinquished by

Barbara Lehman

Date/Time

3/16/2008

## Received by

Swensen

Date/Time

3/16/2008

Analyst Name:

Analyst Signature:

Special Instructions / Comments:

298

# CHAIN OF CUSTODY - ASB/LEAD/IH

2303373

Project Information	
Project Name:	Carroll Training Center
Project No:	23-0179
PO Number:	

**PSI** Information  
To Build On  
Engineering • Consulting • Testing

IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228/425

Send Results To:	
Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

Send Invoice To:	
Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net

Requested Turnaround Time:		
Same Day	1-2 Day	3-5 Day
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Requested Date:		3/20/2023

Stop at First Positive	
Y	N
<input type="checkbox"/>	<input type="checkbox"/>

Laboratory Use Only	
All Samples In Acceptable Condition	
Comments:	
Shipping Charges Apply:	

Parameter																										
Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Paint Chip	Lead TCLP	PCM	PCM "B Rules"	TEM AHERA	TEM 7402	TEM Chatfield	TEM Vacuum	TEM Wipe	NY PLM Friable/NOB	NY TEM NOB	NY SOF-V	Total Nuisance Dust	Respirable Dust	Cadmium	Zinc	Total Chromium	Other	
5007 Floor Tile		✓																								
5008 Mastic		✓																								
5009 Floor Tile		✓																								
5010 Mastic		✓																								
5011 Floor Tile		✓																								
5012 Mastic		✓																								
5013 Floor Tile		✓																								

Relinquished by	Date/Time	Received by	Date/Time
Barbara Lehman	3/16/2023	SW 3/16/2023	

Analyst Name:	Analyst Signature:

Special Instructions / Comments:

# CHAIN OF CUSTODY - ASB/LEAD/IH

2303373 398

## Project Information

Project Name:	Cambria Training Center
Project No:	23-0179
PO Number:	



IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228/425

## Send Results To:

Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

## Send Invoice To:

Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net

## Requested Turnaround Time:

Same Day	1-2 Day	3-5 Day	Requested Date:
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	3/20/2023

## Stop at First Positive

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

## Laboratory Use Only

All Samples In Acceptable Condition	Y	N
Comments:		
Shipping Charges Apply		

## Parameter

Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Paint Chip	Lead TCP	PCM	PCM "B Rules"	TEM ALPHA	TEM 7402	TEM Charfield	TEM Vacuum	TEM Wipe	NY PLM Friable/NOB	NY TEM NOB	NY SOF-V	Total Nuisance Dust	Respirable Dust	Cadmium	Zinc	Total Chromium	Other
5014 Floor Tile																									
5015 Mastic																									
5016 Caulking																									
5017 Pipe Wrap																									
5018 Floor Tile																									
5019 Mastic																									

## Relinquished by

*Barbara Lehman*

Date/Time

3/16/2023/2:30

## Received by

SW 3/16/2023/2PM

Date/Time

Analyst Name:

Analyst Signature:

Special Instructions / Comments:

2303373 4 of 8

**PSI** Information  
To Build On  
Engineering • Consulting • Testing

IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228

<b>Send Invoice To:</b>	
<b>Company:</b>	GEO Solutions
<b>Attn:</b>	Lisa Kennard
<b>Address:</b>	7201 Opportunity Boulevard, Huntsville, Alabama 35810
<b>Telephone:</b>	256-837-6708
<b>Email:</b>	lkennard@geo-solutions.net

Stop at First Positive	
Y	N
<input type="checkbox"/>	<input type="checkbox"/>

Laboratory Use Only		Y	N
All samples in acceptable condition.			
Comments:			
Shipping Charges Apply:			

[illegible]

Relinquished by	Date/Time	Received by	Date/Time
<i>Buckley</i>	3/10/2013/2:00	<i>g w</i>	3/11/2013/8:00
Analyst Name:		Analyst Signature:	

Special Instructions / Comments:	
----------------------------------	--



# CHAIN OF CUSTODY - ASB/LEAD/IH

## Project Information

Project Name:	Cum-til Training Center
Project No:	23-0179
PO Number:	

## Send Results To:

Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

## Requested Turnaround Time:

Same Day	1-2 Day	3-5 Day	Requested Date
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	3/20/2023

## Stop at First Positive

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

## Laboratory Use Only

All Samples In Acceptable Condition	Y	N
Comments:		
Shipping Charges Apply:		

## Send Invoice To:

Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net



IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228/425

## Parameter

Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Palm Chip	Lead TCP	PCM	PCM "B Rules"	TEM AHRA	TEM 7402	TEM Chatfield	TEM Vacuum	TEM Wipe	NV PLM Friable/NOB	NV TEM NOB	NV SOF-V	Total Nuisance Dust	Respirable Dust	Cadmium	Zinc	Other
5026 Floor Tile																								
5027 Mastie																								
5028 Floor Tile																								
5029 Mastie																								
5030 Floor Tile																								
5031 Mastie																								

## Relinquished by

*Barbara Lehman*

Date/Time

3/16/2023/2:00

## Received by

*SW 3/16/2023/2:00*

Date/Time

Analyst Name:

Analyst Signature:

Special Instructions / Comments:



6 of 8

# CHAIN OF CUSTODY - ASB/LEAD/IH

2303373

Project Information	
Project Name:	Council Training Center
Project No:	23-0179
PO Number:	



IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228/425

Send Results To:	
Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

Send Invoice To:	
Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net

Requested Turnaround Time:		
Same Day	1-2 Day	3-5 Day
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
		Requested Date: 3/20/2023

Stop at First Positive	
Y	N
<input type="checkbox"/>	<input type="checkbox"/>

Laboratory Use Only	
All Samples In Acceptable Condition:	
Y	N
<input type="checkbox"/>	<input type="checkbox"/>
Comments:	
Shipping Charges Apply:	

Parameter																											
		Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Paint Chip	Lead TCP	PCM	PCM "B Rules"	TEM/AMERA	TEM 7402	TEM Chatfield	TEM Vacuum	TEM Wipe	NY PLM Friable/NOB	NY TEM NOB	NY SOF-V	Total Nuisance Dust	Respirable Dust	Gadolinium	Zinc	Total Chromium	Other
	5032 Floor Tile																										
	5033 Mastic																										
	5034 Caulking																										
	5035 Chiling Tile																										
	5036 Floor Tile																										
	5037 Mastic																										
	5038 Caulking																										

Relinquished by	Date/Time	Received by	Date/Time
<i>Barbara Lehman</i>	3/16/2023/2200	<i>SW 3/16/2023 bpr</i>	

Analyst Name:	Analyst Signature:

Special Instructions / Comments:

# CHAIN OF CUSTODY - ASB/LEAD/IH

## Project Information

Project Name:	Council Training Center
Project No:	23-0179
PO Number:	



IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228/425

## Send Results To:

Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

## Send Invoice To:

Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net

## Requested Turnaround Time:

Same Day	<input type="checkbox"/>	1-2 Day	<input type="checkbox"/>	3-5 Day	<input checked="" type="checkbox"/>	Requested Date:	3/20/2023
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## Stop at First Positive

Y	<input type="checkbox"/>	N	<input type="checkbox"/>
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## Laboratory Use Only

All Samples In Acceptable Condition:	Y	N
Comments:		
Shipping Charges Apply:		

## Parameter

Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Paint Chip	Lead TCLP	PCM	PCM "B Rules"	TEM AHERA	TEM 7402	TEM Chatfield	TEM Vacuum	TEM Wipe	NY PLM Friable/NOB	NY TEM NOB	NY SOF-V	Total Nuisance Dust	Respirable Dust	Cadmium	Zinc	Other
5039 Insulation		///																						
5040 Pipewrap		///																						
5041 Roofing		///																						
5042 Flashing		///																						
5043 Ext Wall		///																						
5044 Ceiling		///																						
5045 Roofing		///																						

## Relinquished by

Barbara Lehman

Date/Time

3/16/2023

## Received by

SW

Date/Time

3/16/2023

Analyst Name:

Analyst Signature:

Special Instructions / Comments:



### Project Information

Project Name:	Child Training Center
Project No:	23-0179
PO Number:	

**Send Results To:**

Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

## Send Invoice To:

<b>Company:</b>	GEO Solutions
<b>Attn:</b>	Lisa Kennard
<b>Address:</b>	7201 Opportunity Boulevard, Huntsville, Alabama 35810
<b>Telephone:</b>	256-837-6708
<b>Email:</b>	lkennard@geo-solutions.net

## Requested Turnaround Time:

Same Day	1-2 Day	3-5 Day	Requested Date:
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	3/20/2023

**Stop at First Positive**

N	<input type="checkbox"/>
Y	<input type="checkbox"/>

## Laboratory Use Only

[illegible]

## Parameter

[illegible]

## Relinquished by

	received by	Date / Time
2 Bush on 22/00	3/10/2003/02:00	SU 3/16/2003/1pm

## Analyst Name:

2. empirical relevance	
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## Special Instructions / Comments:

100



**Analytical Report**  
**Analysis of Paint for Lead Determination**

**TESTED FOR:** Geo Solutions  
7201 Opportunity Boulevard  
Huntsville, AL 35810  
Attn: Barbara Lehman

**Project ID:** 0815660  
23-0179  
Council Training Center Paint

**Date Received:** 3/16/2023      **Date Analyzed:** 3/21/2023      **Date of Issue:** 3/23/2023

**Analyst:** Richard Cornelius

**Work Order:** 2303380

**Page:** 1 of 1

Lab Sample #	Client Sample #	Reporting Limit	
		% Lead by Weight	% Lead by Weight
001A	P001	0.034	0.019
002A	P002	< 0.019	0.019
003A	P003	0.052	0.017
004A	P004	0.057	0.018
005A	P005	0.071	0.018
006A	P006	0.26	0.017
007A	P007	< 0.018	0.018

**Analytical &** PSI WI-506 mod. EPA SW846 7000B, Rev 2, 2007

**Prep Method** PSI WI-502 mod. EPA SW846 3050B, Rev 2, 1996

*Analysis was performed by flame AA using a PE PinAAcle 900F.*

Reporting limit = 15µg Pb per representative subsample.

Results are based on a representative subsample of the total sample submitted by the client.

AIHA-LAP, LLC #100373; NYELAP ID #10930; CA Lab ID #2377.

Unless otherwise noted, all samples were acceptable upon receipt.

Sample results are not corrected for blanks.

All quality control sample results are within the acceptance range, unless noted.

All results are calculated based on 2 significant figures. Results relate only to items tested as received.

Client submitted data is the determining factor in the accuracy of calculated results.

The attached Chain of Custody is incorporated into and becomes a part of the final report.

This report may not be reproduced, except in full, without written approval of PSI, Inc.

Respectfully submitted,  
PSI, Inc.

Approved Signatory  
George Skarupa

# CHAIN OF CUSTODY - ASB/LEAD/IH

2303380

12/1



IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228/425

<b>Project Information</b>	
Project Name:	Council Training Center Paint
Project No:	23-0179
PO Number:	

<b>Send Results To:</b>	
Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

<b>Send Invoice To:</b>	
Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net

<b>Requested Turnaround Time:</b>			
Same Day	1-2 Day	3-5 Day	Requested Date:
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	3/20/2003

<b>Stop at First Positive</b>	
Y	N
<input type="checkbox"/>	<input type="checkbox"/>

<b>Laboratory Use Only</b>	
All Samples in Acceptable Condition:	Y <input type="checkbox"/> N <input type="checkbox"/>
Comments:	
Shipping Charges Apply:	<input type="checkbox"/>

Parameter															
Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Paint Chip	Lead TCLP	PCM	PCM "B Rules"	TEM AHERA	TEM 7402	TEM Chatfield	TEM Vacuum
P001 Off white															
P002 Maroon															
P003 White															
P004 White/Green															
P005 Maroon/Green															
P006 Green															
P007 Blue															

Relinquished by	Date/Time	Received by	Date/Time
Barbara Lehman	3/18/2003/2:00	Michael	3/16/2003 1:00pm
Analyst Name:		Analyst Signature:	

Special Instructions / Comments:

**ALABAMA AGRICULTURAL & MECHANICAL UNIVERSITY  
P.O. BOX 1837  
NORMAL, ALABAMA 35762**

**ASBESTOS SURVEY  
COUNCIL TRAINING CENTER ADDITIONAL TESTING  
ALABAMA AGRICULTURAL & MECHANICAL UNIVERSITY  
NORMAL, ALABAMA  
PROJECT NO. 23-0366**

**MAY 16, 2023**



**PREPARED BY:**

**GEO SOLUTIONS, L.L.C.  
7201 OPPORTUNITY BOULEVARD  
HUNTSVILLE, ALABAMA 35810**



# ***GEO SOLUTIONS, L.L.C.***

## *Geotechnical Engineering and Materials Testing Services*

May 16, 2023

Alabama Agricultural & Mechanical University  
P.O. Box  
Normal, Alabama 35762

ATTENTION: Mr. Greg Bryant

SUBJECT: Asbestos and Lead Based Paint Survey  
Council Training Center Additional Testing  
Alabama Agricultural & Mechanical University  
Normal, Alabama  
GEO Solutions Project No.: 23-0366

### **Introduction**

GEO Solutions, LLC, is pleased to present this report for the additional testing for asbestos samples that were analyzed for Council Training Center located on the campus of Alabama Agricultural & Mechanical University in Normal, Alabama. We understand that the building is scheduled for renovation or possible demolition.

### **Limited Asbestos Survey Scope of Work and Methodology**

The asbestos sampling performed was of a limited nature and was not intended to comply with the strict requirements of OSHA or AHERA. The samples were provided by you and submitted to Professional Services Industries (PSI) in Pittsburgh, Pennsylvania (National Voluntary Laboratory Accreditation Program Certification No. 101350-0) for analysis by polarized light microscopy (PLM). The report of laboratory analysis and chain-of-custody forms are attached to this letter.

### **Limited Asbestos Survey Results**

A total of 12 bulk samples were collected and submitted to the laboratory for analysis by Polarized Light Microscopy (PLM). Listed below is a summary of the samples collected, sample location and analysis results. The laboratory report and chain of custody are also attached to this letter.

<b>SAMPLE NUMBER</b>	<b>SAMPLE DESCRIPTION</b>	<b>LOCATION</b>	<b>ASBESTOS DETECTED</b>	<b>NON- ASBESTOS MATERIAL PRESENT</b>
S001	Gray Glazing	Office 2 ROTC	No	None Reported
S002	Gray Glazing	Men's Bathroom ROTC	No	None Reported
S003	Gray Glazing	Room 6 ROTC	No	None Reported
S004	Gray Glazing	Room 8 ROTC	No	None Reported
S005	Gray Glazing	Kitchen Sports Med	No	None Reported

SAMPLE NUMBER	SAMPLE DESCRIPTION	LOCATION	ASBESTOS DETECTED	NON-ASBESTOS MATERIAL PRESENT
S006	Gray Glazing	Room 1 Academic Enhancement	No	None Reported
S007	<b>Gray Ceiling</b>	Sports Medicine Room	<b>YES 25% Chrysotile</b>	None Reported
S008	Gray Glazing	North Hallway	No	None Reported
S009	Gray Glazing	North Hallway	No	None Reported
S010	Gray Glazing	East Hall	No	None Reported
S011	Gray Glazing	Exterior Window North Side	No	None Reported
S012	Gray Glazing	Exterior Window South Side	No	None Reported

As indicated from the sampling results, the ceiling material throughout the building is asbestos containing materials.


#### **Closing**

GEO Solutions appreciates the opportunity to be of service. Should you have any questions regarding the report, please do not hesitate to contact us for assistance.

Respectfully submitted,  
**GEO SOLUTIONS, LLC**



Barbara R. Lehman, P.E.  
Project Manager



William T. Kennard, P.E.  
Partner

Attachments: Report of Bulk Sample Analysis for Asbestos  
Chain of Custody  
Accreditation





## REPORT OF BULK SAMPLE ANALYSIS FOR ASBESTOS

TESTED FOR: Geo Solutions  
7201 Opportunity Boulevard  
Huntsville, AL 35810  
Attn: Barbara Lehman

Project ID: 0815660  
23-0366  
Councill Training  
Additional Testing

Date Received: 5/15/2023

Date Completed: 5/15/2023

Date Reported: 5/15/2023

Analyst: Dan Anderson Work Order: 2305302 Page: 1 of 1

Client ID	Lab ID (Layer)	Sample Description (Color, Texture, Etc.) <i>Analyst's Comment</i>	Asbestos Content (Percent and Type)	Non-asbestos Fibers (Percent and Type)
S001	001A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S002	002A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S003	003A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S004	004A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S005	005A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S006	006A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S007	007A	(1) Gray, Cementitious Material, Homogeneous <i>Ceiling</i>	25% Chrysotile	None Reported
S008	008A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S009	009A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S010	010A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S011	011A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported
S012	012A	(1) Gray, Glazing, Homogeneous	NO ASBESTOS DETECTED	None Reported

Report Notes: (PT) Point Count Results

Quantitation is based on a visual estimation of the relative area of bulk sample components, unless otherwise noted in the "Comments" section of this report. The results are valid only for the item tested as received. This report may not be used to claim product endorsement by NVLAP or any agency of the U.S. Government. Method used: E.P.A. Interim Method for the Determination of Asbestos in Bulk Insulation Samples (EPA 600/M4-82-020). Polarized Light Microscopy is not consistently reliable in detecting asbestos in floor coverings and similar non-friable organically bound materials. Quantitative Transmission Electron Microscopy is currently the only method that can be used to determine if the material can be considered or treated as non-asbestos containing. Samples will be disposed of within 30 days unless notified in writing by the client. No part of this report may be reproduced, except in full, without written permission of the laboratory. The reporting limit is 1% by weight. NVLAP Lab Code 101350-0.

Respectfully submitted,  
PSI, Inc.

Approved Signatory  
Morgan Ryan

# CHAIN OF CUSTODY - ASB/LEAD/IH

230530 2(2)

18/2

Project Information	
Project Name:	Bowen Training Additional Testing
Project No:	23-0346
PO Number:	



IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228/425

Send Results To:	
Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

Send Invoice To:	
Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net

Requested Turnaround Time:			
Same Day	1-2 Day	3-5 Day	Requested Date:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5/15/2023

Stop at First Positive	
Y	N
<input type="checkbox"/>	<input type="checkbox"/>

Laboratory Use Only		Y	N
All Samples in Acceptable Condition:		<input type="checkbox"/>	<input type="checkbox"/>
Comments:			
Shipping Charges Apply:		<input type="checkbox"/>	<input type="checkbox"/>

Parameter																									
Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Paint Chip	Lead TCLP	PCM	PCM "B" Rules <sup>11</sup>	TEM AEMSA	TEM 7402	TEM Chatfield	TEM Vacuum	TEM Wipe	NY PLM Friable/NOB	NY TEM NOB	NY SOF-V	Total Nuisance Dust	Respirable Dust	Cadmium	Zinc	Total Chromium	Other:
5001 Glazing		✓																							
5002 Glazing		✓																							
5003 Glazing		✓																							
5004 Glazing		✓																							
5005 Glazing		✓																							
5006 Glazing		✓																							
5007 Ceiling																									

Relinquished by <i>Barbara Lehman</i>	Date/Time 5/11/2023 11:30	Received by <i>Miranda Bogdanich</i>	Date/Time 5/15/23 10:50am
Analyst Name:		Analyst Signature:	
Special Instructions / Comments:			

## CHAIN OF CUSTODY - ASB/LEAD/IH

230530265 CM 5/15/23 2 of 2  
2305302

Project Information	
Project Name:	Council Training Center Additional Testing
Project No:	23-0306
PO Number:	

**Information**  
**To Build On**  
**Engineering • Consulting • Testing**

IH Laboratory  
850 Poplar Street  
Pittsburgh, PA 15220  
412-922-4001 ext. 228/425

Send Results To:	
Company:	GEO Solutions
Attn:	Barbara Lehman
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	blehman@geo-solutions.net

Send Invoice To:	
Company:	GEO Solutions
Attn:	Lisa Kennard
Address:	7201 Opportunity Boulevard, Huntsville, Alabama 35810
Telephone:	256-837-6708
Email:	lkennard@geo-solutions.net

Requested Turnaround Time:			
Same Day	1-2 Day	3-5 Day	Requested Date:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5/15/2023

Stop at First Positive	
Y	N
<input type="checkbox"/>	<input type="checkbox"/>

Laboratory Use Only		Y	N
All Samples In Acceptable Condition:		<input type="checkbox"/>	<input type="checkbox"/>
Comments:		<input type="checkbox"/>	<input type="checkbox"/>
Shipping Charges Apply:		<input type="checkbox"/>	<input type="checkbox"/>

		Parameter																								
Sample ID:	Number of Samples	PLM Bulk	Point Count (400)	Point Count (1000)	Lead Wipe	Lead Air	Lead Soil	Lead Paint Chip	Lead TCLP	PCM	PCM "B" Rules"	TEM AHERA	TEM 7402	TEM Chatfield	TEM Vegetation	TEM Wipe	NY PLM Friable/NOB	NY TEM NOB	NY SOF-V	Total Nuisance Dust	Respirable Dust	Cadmium	Zinc	Total Chromium	Other:	
5008 Glazing		/																								
5009 Glazing		/																								
5010 Glazing		/																								
5011 Glazing		/																								
5012		/																								

Relinquished by <i>Barbara Lehman</i>		Date/Time 5/15/23/11:30	Received by <i>MSB</i>		Date/Time 5/15/23
Analyst Name:		Analyst Signature:			
Special Instructions / Comments:					



The University of Alabama  
Safe State Program



**INSPECTOR**

**Barbara Lehman**

**Accreditation No. AIN0922286353**

**Valid Thru: 09/07/2023**

*Kalyn Tew*

Kalyn Tew, Environmental Services Manager

## DEMOLITION AND RENOVATION NOTIFICATION

### General Instructions for the Form Completion

The regulations for the control of air pollution within the City of Huntsville, Alabama requires that owners and/or operators of demolition and renovation projects:

- (a) Notify the Natural Resources and Environmental Management Division in writing at least 10 days prior to commencing **any** demolition activities. A demolition is defined as “the wrecking or taking out of any load-supporting structural member of a facility together with any related handling operations.”
- (b) Notify the Natural Resources and Environmental Management Division in writing at least 10 working days prior to commencing **any** renovation project disturbing quantities of regulated asbestos containing materials greater than or equal to 260 linear feet, 160 square feet and/or 35 cubic feet. A renovation is defined as “altering a facility or one or more facility components in any way, including the stripping or removal of asbestos from a facility component.”

Regulated asbestos containing materials have greater than 1 percent asbestos as determined using the method specified in Appendix A, subpart F, 40 C.F.R. 763, section 1, Polarized Light Microscopy, and include friable and non-friable forms. Specifically included are; a) friable asbestos containing materials such as pipe insulation, spray applied fire proofing and sound proofing, decorative textures and; b) non-friable asbestos containing materials such as vinyl floor tile and floor coverings, asphalt roofing products, gaskets, packing, transite shingles (siding and roofing), and other asbestos/cement products which have become friable or will be subject to sanding, grinding, cutting, or abrading and have a high probability of becoming crumbled, pulverized, or reduced to powder during renovation or demolition activities.

The attached notification form is intended to be self-explanatory and should, if properly completed, include all the information required by the Natural Resources and Environmental Management Division.

Submit the completed form using one of the following methods.

- 1. Facsimile Transmission: (256) 427-5751
- 2. Online Form Submission
- 3. Hard Copy: Natural Resources Department  
City of Huntsville  
P.O. Box 308  
Huntsville, AL 35804-0308

## DEMOLITION AND RENOVATION NOTIFICATIONS

---

New Project: ☐ Change: ☐

1. Site/project Name: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Phone Number: \_\_\_\_\_  
Address: \_\_\_\_\_
2. Owner: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Phone Number: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_
3. Contractor: \_\_\_\_\_  
Alabama Certification Number : \_\_\_\_\_  
City of Huntsville Business License#: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Phone Number: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_
4. Type of Operation:  
Demo ☐ Ordered Demo ☐ Renovation ☐ Emergency Renovation ☐
5. If demolition ordered by a government agency, please identify the agency below:  
Government agency: \_\_\_\_\_  
Contract: \_\_\_\_\_  
Date of Order: \_\_\_\_\_ Date Order to begin: \_\_\_\_\_
6. For Emergency Renovations:  
Person who declared emergency: \_\_\_\_\_ Phone: \_\_\_\_\_  
Date and hour of emergency: \_\_\_\_\_  
Description of the sudden, unexpected event: \_\_\_\_\_  
\_\_\_\_\_  
Explanation of how the event caused unsafe conditions or would cause damage or an unreasonable burden: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
7. Description of facility: \_\_\_\_\_  
\_\_\_\_\_  
Prior use: \_\_\_\_\_  
\_\_\_\_\_  
Age: \_\_\_\_\_ Size: \_\_\_\_\_ (Sq. ft.) Number of floors: \_\_\_\_\_

8. Is asbestos present? Yes ☐ No ☐

If present, list the approximated amount, description, location, and condition of asbestos containing materials.

Amount	Description/Location	Friable

Method used to detect asbestos: \_\_\_\_\_

Person/company responsible for survey: \_\_\_\_\_

Contact person: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Asbestos building inspector certification number: \_\_\_\_\_

Training location: \_\_\_\_\_ Expiration date: \_\_\_\_\_

Laboratory performing sample analysis: \_\_\_\_\_

NVLAP accredited? \_\_\_\_\_ Other: \_\_\_\_\_

Accreditation number: \_\_\_\_\_ Expiration date: \_\_\_\_\_

9. Abatement dates (contact NREM at (256) 427-5750 if changed): \_\_\_\_\_

Preparation start date: \_\_\_\_\_

Removal start date: \_\_\_\_\_ Removal completion date: \_\_\_\_\_

Days of operation: \_\_\_\_\_ hours: \_\_\_\_\_

10. Abatement methods at removal site: (Check all that apply)

Strip & Remove ☐ Component Removal ☐ Remove Intact ☐

Glove Bag ☐ Wet Method ☐ Dry Method\* ☐

Other: \_\_\_\_\_

\*Requires Written Approval

11. Procedures used to prevent fugitive dust emissions at the waste disposal site:

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12. Procedures to handle unexpected asbestos:

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13. Waste Transporter: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Landfill: \_\_\_\_\_

State Permit #: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Print Name \_\_\_\_\_

Phone \_\_\_\_\_

Email \_\_\_\_\_



## INSTRUCTIONS

### Waste Generator Section (Item 1 – 9)

1. Enter the name of the facility at which asbestos waste is generated and the address where the facility is located. In the appropriate spaces, also enter the name of the owner of the facility and the owner's phone number.
2. If a demolition or renovation, enter the name and address of the company and authorized agent responsible for performing the asbestos removal. In the appropriate spaces, also enter the phone number of the operator.
3. Enter the name, address, and physical site location of the waste disposal site (WDS) that will be receiving the asbestos materials. In the appropriate spaces, also enter phone number of the WDS. Enter "on-site" if the waste will be disposed of on the generator's property.
4. Provide the name and address of the local, State, or EPA Regional office responsible for administering the asbestos NESHAP program.
5. Indicate the types of asbestos waste materials generated. If from a demolition or renovation, indicate the amount of asbestos that is
  - Friable asbestos material
  - Non-friable asbestos material
6. Enter the number of containers used to transport the asbestos materials listed in item 5. Also enter one of the following container codes used in transporting each type of asbestos materials (specify any other type of container used if not listed below):
  - DM - Metal drums, barrels
  - DP - Plastic drums barrels
  - BA - 6 mil plastic bags or wrapping
7. Enter the quantities of each type of asbestos materials removed in units of cubic meters (cubic yards).
8. Use this space to indicate special transportation, treatment storage or disposal or Bill of Lading information. If an alternate waste disposal site is designated, note it here. Emergency response telephone numbers or similar information may be included here.
9. The authorized agent of the waste generator must read sign and date this certification. The date is the date of receipt by transporter.

NOTE: The waste generator must retain a copy of this form

### Transporter Section (Items 10 & 11)

10. & 11. Enter name, address, and telephone number of each transporter used, if applicable. Print or type the full name and title or person accepting responsibility and acknowledging receipt of materials as listed on this waste shipment record for transport. Enter date of receipt and signature.

NOTE: The transporter must retain a copy of this form

### Disposal Site Section (Items 12 & 13)

12. The authorized representative of the WDS must note in this space any discrepancy between waste described on this manifest and waste actually received as well as any improperly enclosed or contained waste. Any rejected materials should be listed and destination of those materials provided. A site that converts asbestos-containing waste materials to non- asbestos material is considered a WDS.
13. The signature (by hand) of the authorized WDS agent indicates acceptance and agreement with statements on this manifest except as noted in Item 12. The date is the date of signature and receipt of shipment.

NOTE: The WDS must retain a completed copy of this form. The WDS must also send a completed copy to the operator listed in Item 2.

### LIST OF SUPERVISORS

Name (Last name, First name, MI.)	Social Security Number	Alabama Accreditation	Expiration Date

Demolition and renovation notifications for asbestos containing materials

### LIST OF WORKERS

Name (Last name, First name, MI.)	Social Security Number	Alabama Accreditation	Expiration Date

Demolition and renovation notifications for asbestos containing materials

<b>GENERATOR</b>	<b>1. Work Site Name &amp; Mailing Address</b>		<b>Owner's Name &amp; Phone No.</b>		
	<b>Name:</b>		<b>Name</b>	<b>Phone No.</b>	
	<b>Address:</b>				
	<b>2. Operator's Name, Address &amp; Phone No.</b>				
	<b>Name:</b>			<b>Phone No.</b>	
	<b>Address:</b>				
	<b>3. Waste Disposal Site (WDS) Name, Mailing Address, Physical Site Location, &amp; Phone No.</b>				
	<b>Name:</b>			<b>Phone No.</b>	
	<b>Address:</b>				
	<b>Location:</b>				
	<b>4. Name &amp; Address of Responsible Agency</b>				
	<b>Name:</b>				
	<b>Address:</b>				
	<b>5. Description of Materials</b>	<b>6. Containers No.</b>	<b>Type</b>	<b>7. Total Quantity (m<sup>3</sup>) (yd<sup>3</sup>)</b>	
<b>8. Special Handling Instructions &amp; Additional Information</b>					
<b>9. OPERATOR'S CERTIFICATION: I hereby declare that the contents of this consignment are fully and accurately described above by proper shipping name and are classified, packed, marked, and labeled, and, and are in all respects in proper condition for transport by highway according to applicable international and governmental regulations.</b>					
<b>Printed/ Typed Name &amp; Title</b>		<b>Signature</b>		<b>Date</b>	
<b>TRANSPORTER</b>	<b>10. Transporter I (Acknowledgement of Receipt of Materials)</b>				
	<b>Printed/Typed Name &amp; Title:</b>				
	<b>Address:</b>				
		<b>Signature</b>		<b>Date</b>	
	<b>Phone No.:</b>				
	<b>11. Transporter II (Acknowledgement of Receipt of Materials)</b>				
	<b>Printed/Typed Name &amp; Title:</b>				
	<b>Address:</b>				
	<b>Signature</b>		<b>Date</b>		
<b>Phone No.:</b>					
<b>DISPOSAL SITE</b>	<b>12. Discrepancy Indicated Space</b>				
	<b>13. Waste Disposal Site Owner or Operator: Certification of Receipt of Asbestos Materials Covered by the Manifest Except as noted in Item # 12.</b>				
	<b>Printed/Typed Name &amp; Title</b>		<b>Signature</b>		<b>Date</b>

# THE UNIVERSITY OF ALABAMA®



has examined the documentation of asbestos training and qualifications of the person named below and confers this

## Certificate of Accreditation

Asbestos Project Designer Renewal

Thomas Read

Alabama Accreditation Number

APD0522252630

Certificate Expiration Date

May 18, 2023

This certificate has been issued pursuant to the authority granted to The University of Alabama SafeState Program by the Alabama Asbestos Contractor Accreditation Act, Alabama Act No. 89-517, May, 1989 and Alabama Act No. 97-626, May, 1997.

A handwritten signature in blue ink that reads "Kalyn Tew".

Environmental Services Manager

A handwritten signature in blue ink that reads "Michael H. Smith".

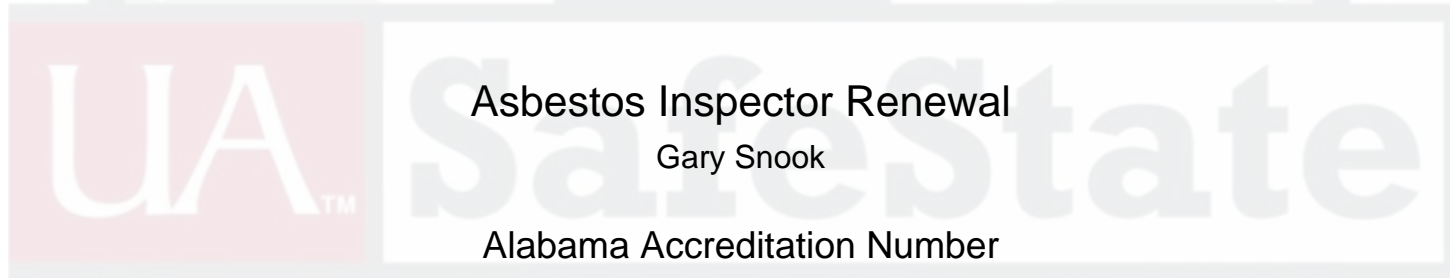
Associate Director for Environmental Programs

# THE UNIVERSITY OF ALABAMA®



has examined the documentation of asbestos training and qualifications of the person named below and confers this

## Certificate of Accreditation



Asbestos Inspector Renewal

Gary Snook

Alabama Accreditation Number

AIN1022650492

Certificate Expiration Date

October 25, 2023

This certificate has been issued pursuant to the authority granted to The University of Alabama SafeState Program by the Alabama Asbestos Contractor Accreditation Act, Alabama Act No. 89-517, May, 1989 and Alabama Act No. 97-626, May, 1997.

A handwritten signature in blue ink that reads "Kalyn Tew".

---

Environmental Services Manager

A handwritten signature in blue ink that reads "Michael H. Smith".

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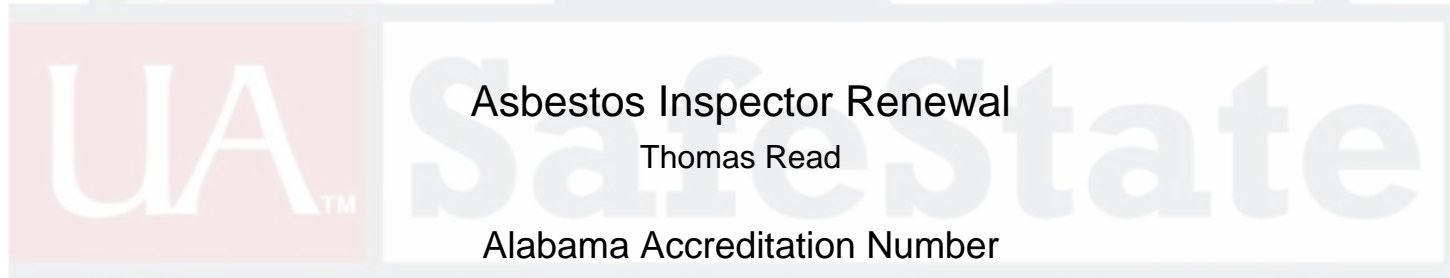
Associate Director for Environmental Programs

# THE UNIVERSITY OF ALABAMA®



has examined the documentation of asbestos training and qualifications of the person named below and confers this

## Certificate of Accreditation



Asbestos Inspector Renewal

Thomas Read

Alabama Accreditation Number

AIN0722252630

Certificate Expiration Date

July 22, 2023

This certificate has been issued pursuant to the authority granted to The University of Alabama SafeState Program by the Alabama Asbestos Contractor Accreditation Act, Alabama Act No. 89-517, May, 1989 and Alabama Act No. 97-626, May, 1997.

A handwritten signature in blue ink that reads "Kalyn Tew".

Environmental Services Manager

A handwritten signature in blue ink that reads "Michael H. Smith".

Associate Director for Environmental Programs