PROJECT APPENDIX A - 1

STATE AGENCIES AND DEPARTMENTS AND SPECIAL "AUTHORITIES"

("ABRFA", "AMHFA", and "ACIFA" are SPECIAL "AUTHORITIES")

SUMMARY OF ABC REQUIREMENTS AND PROCEDURES FOR BUILDING CONSTRUCTION & IMPROVEMENT PROJECTS

- THESE PROJECTS REQUIRE FULL PLAN AND SPECIFICATION REVIEW IN ACCORDANCE WITH CHAPTER 3.
- THESE PROJECTS ARE ADMINISTERED BY THE ABC; THEREFORE, ABC INIFORM DOCUMENTS AND STANDARD FORMS ARE TO BE UTILIZED AND THE REQUIREMENTS AND PROCEDURES OF CHAPTERS 4, 5, 6, 7, AND 8 APPLY.
- CONTACT THE ABC FOR SPECIAL REQUIREMENTS OR PROCEDURES THAT MAY APPLY TO SPECIAL "AUTHORITIES".
- THE **BC PROJECT NUMBER MUST BE USED** WHEN MAKING INQUIRIES OR DOCUMENT SUBMITTALS IN ORDER TO PROPERLY IDENTIFY THE PROJECT.
- WITH THE EXCEPTION OF PLANS AND SPECIFICATIONS, THE FOLLOWING IS REQUIRED OF DOCUMENTS SUBMITTED TO THE ABC:

  1. Submit original documents -no carbon copies.
  2. Do not highlight text. Highlighted text does not produce a good scanned image.
  3. Preferably, submit only letter size (82 X 11) documents.
  4. Preferably, send only one-sided documents.

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I. ABC Uniform Documents and Standard Forms to be Used by the Design Professional

II. ABC Uniform Documents and Standard Forms to be Included in the Project Manual

III. Typical Document Routing for State Agency and Department Projects

I. ABC UNIFORM DOCUMENTS AND STANDARD FORMS TO BE USED BY THE DESIGN PROFESSIONAL (APPENDIX B)

ABC Form B-1: TRANSMITTAL OF PLANS AND/OR SPECIFICATIONS
See Chapter 3, Page 3 – 2

ABC Form B-2: AGREEMENT BETWEEN OWNER AND ARCHITECT
Prepared by the design professional (using ABC Form B-3, "CHECKLIST"; submission of draft to AGENCY/DEPT. and ABC before finalizing is recommended. See Chapter 4

SIGNING PARTIES for AGENCIES and DEPARTMENTS-
Prepare Signature Spaces as indicated by arrows (□)

APPROVALS	CONTRACTING PARTIES
_____ □□ *Governor*	□□□□□□ _____ *Name of Firm*
By _____ *(Signature)*	Architect By _____ *(Signature)* Member of Firm
STATE OF ALABAMA BUILDING COMMISSION	□□□□□□□ *Name of Agency or Department* Owner
By _____ *(Signature)* Director of Technical Staff	By _____ *(Signature)* Officer - Title □ *Officer's Name and Title* _____ *(Blank)* Co-owner By _____ *(Blank)* Officer - Title Attest to: _____ *(Blank)* Officer - Title

SIGNING PARTIES for "AUTHORITIES"
such as "A.B.R.F.A.", A.M.H.F.A.", and "A.C.I.F.A."
Prepare Signature Spaces as indicated by arrows (□□)

APPROVALS	CONTRACTING PARTIES
□□□□ *Authorized Representative ofAuthority*	_____ □□ *Name of Firm* Contractor
By _____ *(Signature)*	By _____ *(Signature)* Member of Firm _____ *(Blank)* Owner By
STATE OF ALABAMA BUILDING COMMISSION	Officer - Title
By _____ *(Signature)* Director of Technical Staff	_____ □□ *Name of Authority* Owner By_____ *(Signature)* Officer - Title □*Governor/President of Authority* Attest to:_____ *(Signature)* Officer - Title □*Secretary of Authority*

ABC Form B-3: CHECKLIST FOR PREPARATION OF
AGREEMENT BETWEEN OWNER AND ARCHITECT
Submitted with O/A Agreement. See Chapter 4, Page 4 - 8

ABC Form B-4: AMENDMENT TO
AGREEMENT BETWEEN OWNER AND ARCHITECT
Signing parties are the same as for the O/A Agreement

ABC Form B-5: SAMPLE ARCHITECT'S STATEMENT FOR SERVICES
May be typed or input for computer generation, but do not alter the information, sequence, and format of the sample form.
See Chapter 4, Page 4 - 9

AVERIFICATIONS AND APPROVALS" for Agencies and Departments
Prepare Signature Spaces as indicated by arrows ( )

Approved by _____ *(Signature)* _____ Date
Name and Title of Head of Agency or Department

Reviewed by _____ *(Signature)* _____ Date
Contract Administration, Alabama Building Commission

Approved by _____ *(Signature)* _____ Date
Director, Technical Staff, Alabama Building Commission

Approved by _____ *(Signature)* _____ Date
Optional: Name and Title of Owner's Project Representative

"VERIFICATIONS AND APPROVALS" for "Authorities" such as
"A.B.R.F.A.", A.M.H.F.A.", and "A.C.I.F.A."
Prepare Signature Spaces as indicated by arrows ( )

Approved by _____ *(Signature)* _____ Date
Name and Title of Authority's Authorized Representative

Reviewed by _____ *(Signature)* _____ Date
Contract Administration, Alabama Building Commission

Approved by _____ *(Signature)* _____ Date
Director, Technical Staff, Alabama Building Commission

Approved by _____ Date
Name and Title of Additional Approver as may be required by Authority

ABC Form B-6: CERTIFIED TABULATION OF BIDS (Sample)
"Sample" defines general information required, but should be modified to facilitate project-specific bid requirements. Submitted with Contract and

Bonds. See Chapter 6, Page 6 - 4

ABC Form B-7: CHECKLIST FOR PREPARATION/APPROVAL OF CONTRACT AND BONDS
Submitted with Contract and Bonds. See Chapter 7, Page 7 - 4

ABC Form B-8: PRE-CONSTRUCTION CONFERENCE CHECKLIST
See Chapter 8, Page 8 - 3

ABC Form B-9: PROJECT DATA FORM
PREPARED BY THE DESIGN PROFESSIONAL See Chapter 7, Page 7-5

ABC Form B-10: STATEMENT OF FIELD OBSERVATIONS
See Chapter 8, Page 8 - 3

ABC Form B-11: CHANGE ORDER JUSTIFICATION
See Chapter 7, Page 7 - 11

ABC Form B-12: CHANGE ORDER CHECKLIST
See Chapter 7, Page 7 - 11

ABC Form B-13: FINAL PAYMENT CHECKLIST & TRANSMITTAL
See Chapter 7, Page 7 - 10

II. ABC UNIFORM DOCUMENTS and STANDARD FORMS to be INCLUDED in the PROJECT MANUAL (APPENDIX C):

ABC Form C-1: SAMPLE ADVERTISEMENT FOR BIDS
PREPARED BY THE DESIGN PROFESSIONAL. Should be retyped and otherwise modified to present additional project-specific information necessary to legally describe the solicitation; however, the language and format of the standard document is to be closely followed.
See Chapter 5, Page 5 - 2, and Chapter 6, Page 6 - 2.

ABC Form C-2: INSTRUCTIONS TO BIDDERS
May be supplemented with project-specific instructions.
See Chapter 5, Page 5 - 3

ABC Form C-3: PROPOSAL FORM
May be modified to facilitate project-specific proposal requirements. All information which would be common to all bidders should be inserted in the appropriate spaces. See Chapter 5, Page 5 - 3

ABC Form C-4: FORM OF BID BOND
See Chapter 5, Page 5 - 3; also see Chapter 6, Page 6 - 5 (Return of Bid Security)

ABC Form C-5: CONSTRUCTION CONTRACT
PREPARED BY THE DESIGN PROFESSIONAL; submission of draft to ABC and AGENCY/DEPT. before finalizing is recommended.
See Chapter 5, Page 5 - 3, and Chapter 7, Page 7 – 4

SIGNING PARTIES for AGENCIES and DEPARTMENTS
Prepare Signature Spaces as indicated by arrows (□□ **)**

APPROVALS	CONTRACTING PARTIES
_____ □□□ *Governor*	_____ □□□ *Name of Firm*
By _____ *(Signature)*	Contractor By _____ *(Signature)* Member of Firm
STATE OF ALABAMA BUILDING COMMISSION	_____ □ *Name of Agency or Department* Owner
By _____ *(Signature)* Director of Technical Staff	By _____ *(Signature)* Officer - Title □□ *Officer's Title*
□ *Optional: Owner's Project Representative*	_____ *(Blank)* Owner
By	By Officer - Title
	Attest to: Officer - Title

SIGNING PARTIES for "AUTHORITIES"
such as "A.B.R.F.A.", "A.M.H.F.A.", and "A.C.I.F.A."
Prepare Signature Spaces as indicated by arrows (□)

APPROVALS	CONTRACTING PARTIES
□□*Optional: Authority's Project Representative*	_____ □□ *Name of Firm* Contractor
By _____ *(Signature)*	By _____ *(Signature)* Member of Firm
STATE OF ALABAMA BUILDING COMMISSION	_____ *(Blank)* Owner
By _____ *(Signature)* Director of Technical Staff	By Officer - Title
_____ *(Blank)*	_____ *Name of Authority* Owner
By	By_____ *(Signature)* Officer - Title □*Governor/President of Authority*
	Attest to:_____ *(Signature)* Officer - Title □*Secretary of Authority*

ABC Form C-6: PERFORMANCE BOND

See Chapter 5, Page 5 - 3

ABC Form C-7: PAYMENT BOND
See Chapter 5, Page 5 - 3

ABC Form C-8: GENERAL CONDITIONS OF THE CONTRACT
May be supplemented with project-specific provisions.
See Chapter 5, Page 5 - 4

ABC Form C-9: GENERAL CONTRACTOR=S ROOFING GUARANTEE
Note: This is a 5-year guarantee signed by the General Contractor.
See Chapter 5, Pages 5 - 4 and 5 - 7

ABC Form C-10: APPLICATION AND CERTIFICATE FOR PAYMENT
May be retyped or input for computer generation as long as the information, sequence, and format of the standard form is not altered. Optional ABC Forms C-10(SHORT) & C-10(LONG) may used as appropriate. See Chapter 5, Page 5 - 4 and Chapter 7, Page 7 - 6 and 7 - 8.

"REVIEW AND APPROVALS" for AGENCIES and DEPARTMENTS
Prepare Signature Spaces as indicated by arrows (□)

Approved by□ *Name & Title of Head of Agency or Dept.* (Owner)	_____ Signature	Date _____
Reviewed by CONTRACT ADMINISTRATION, Alabama Building Commission	_____ Signature	Date _____
Approved by DIRECTOR, Technical Staff, Alabama Building Commission	_____ Signature	Date _____
Approved by □ *Optional: Name & Title of Owner's Project Rep.*	_____ Signature	Date _____

"REVIEW AND APPROVALS" for "AUTHORITIES"
such as "A.B.R.F.A.", A.M.H.F.A.", and "A.C.I.F.A."
Prepare Signature Spaces as indicated by arrows (□)

Approved by□ *Name & Title of Authority's Authorized Rep.* (Owner)	_____ Signature	Date_____
Reviewed by CONTRACT ADMINISTRATION, Alabama Building Commission	_____ Signature	Date_____
Approved by DIRECTOR, Technical Staff, Alabama Building Commission	_____ Signature	Date_____
Approved by □ *Optional: Name & Title of Authority's Project Rep.*	_____ Signature	Date _____

ABC Form C-11: PROGRESS SCHEDULE AND REPORT

Standard form is minimum bar chart information to be reported monthly with Application for Payment for projects with duration exceeding 60 days; large, complex projects may warrant CPM or other scheduling and reporting methods.
See Chapter 5, Page 5 - 4 and Chapter 7, Page 7 - 7

ABC Form C-12: CONTRACT CHANGE ORDER

PREPARED BY THE DESIGN PROFESSIONAL. Signing parties are the same as for the Contract, **PLUS CONSENT OF SURETY IS REQUIRED.** See Chapter 5, Page 5 - 4, and Chapter 7, Page 7 - 10.

ABC Form C-13: CERTIFICATE OF SUBSTANTIAL COMPLETION

PREPARED BY THE DESIGN PROFESSIONAL. See Chapter 5, Page 5 - 4, Chapter 7, Page 7 - 14, and Chapter 8, Page 8 - 6

Agreed to by: 1. General Contractor 2. State Agency or Department or Authorized Representative of	Recommended by design professional Approved by ABC

ABC Form C-14: FORM OF ADVERTISEMENT OF COMPLETION

PREPARED BY THE CONTRACTOR
See Chapter 5, Page 5 - 5, and Chapter 7, Page 7 - 14

ABC Form C-15: DETAIL OF PROJECT SIGN

Supplements the "Project Sign" provision of the General Conditions of the Contract. The requirement for a Project Sign may be waived for projects of less than $100,000. Only the ABC may waive this requirement under other conditions. See Chapter 5, Page 5 - 5

III. TYPICAL DOCUMENT PROCESSING FOR STATE AGENCY AND DEPARTMENT PROJECTS

Authorities are similar, but may vary according to Authority

A. PROJECT DEVELOPMENT TO EXECUTION OF OWNER-ARCHITECT AGREEMENT

1. STATE AGENCY OR DEPARTMENT

a. DEFINES SCOPE & BUDGET OF PROJECT AND OBTAINS FUNDING
b. OPTIONAL - FURNISH PROJECT INFORMATION TO ABC FOR ADVERTISEMENT FOR THE SERVICES OF A DESIGN PROFESSIONAL.

2. ALABAMA BUILDING COMMISSION

a. PROJECT FILE ESTABLISHED
b. ADVERTISES FOR SERVICES OF DESIGN PROFESSIONAL
c. ADVERTISEMENT DIRECTS RESPONSES TO BE ADDRESSED TO STATE AGENCY or DEPT.

3. STATE AGENCY OR DEPARTMENT

a. SELECTS DESIGN PROFESSIONAL & NEGOTIATES TERMS OF AGREEMENT
b. AWARDS AGREEMENT FOR DESIGN PROFESSIONAL SERVICES

4. **DESIGN PROFESSIONAL**
   a. USING "CHECKLIST" PREPARES & EXECUTES O/A AGREEMENT
   b. DELIVERS SIX (6) COPIES OF O/A AGREEMENT TO STATE AGENCY/DEPT. FOR ACCEPTANCE AND FORWARDING TO ABC

5. **STATE AGENCY OR DEPARTMENT**
   a. REVIEWS O/A AGREEMENT AND "CHECKLIST"
   b. EXECUTES SIX (6) COPIES OF O/A AGREEMENT
   c. SUBMITS O/A AGREEMENT TO LEGISLATIVE OVERSIGHT COMMITTEE FOR REVIEW AND APPROVAL
      NOTE: If Review by the Legislative Oversight Committee is not required, six (6) executed copies of the O/A Agreement are forwarded to the ABC.

6. **LEGISLATIVE OVERSIGHT COMMITTEE**
   AFTER REVIEW AND APPROVAL, FORWARDS O/A AGREEMENT TO GOVERNOR'S OFFICE OR FINANCE DIRECTOR AS DICTATED BY CURRENT POLICY

7. **GOVERNOR AND FINANCE DIRECTOR**
   a. O/A AGREEMENT REVIEWED AND APPROVED BY LEGAL STAFF
   b. GOVERNOR APPROVES O/A AGREEMENT WITH SIGNATURE
   c. O/A AGREEMENT FORWARDED TO STATE AGENCY OR DEPARTMENT

8. **STATE AGENCY OR DEPARTMENT**
   FORWARDS SIX (6) COPIES OF EXECUTED AND APPROVED O/A AGREEMENT TO ABC

9. **ALABAMA BUILDING COMMISSION**
   a. REVIEWS O/A AGREEMENT FOR COMPLETENESS AND CORRECTNESS
   b. APPROVES O/A AGREEMENT
   c. DISTRIBUTES FULLY EXECUTED O/A AGREEMENT TO STATE AGENCY/DEPT., DESIGN PROFESSIONAL, AND FILE

B. DESIGN DOCUMENTS TO BID OF CONSTRUCTION CONTRACT

1. **DESIGN PROFESSIONAL**
   a. PREPARES DESIGN-BID DOCUMENTS (SCHEMATIC) (PRELIMINARY) (FINAL)
   b. REVIEWS EACH LEVEL OF DESIGN WITH STATE AGENCY/DEPT. FOR APPROVAL PER O/A AGREEMENT
   c. SUBMITS EACH LEVEL OF DESIGN DOCUMENTS TO ABC FOR REVIEW AND APPROVAL
   d. SUBMITS COPY OF FINAL DESIGN TO OTHER REVIEWING AUTHORITIES (HEALTH DEPT., etc.) CONCURRENTLY WITH SUBMISSION TO ABC

2. **ALABAMA BUILDING COMMISSION**
   a. REVIEWS EACH LEVEL OF DESIGN-BID DOCUMENTS FOR COMPLIANCE WITH BUILDING CODES AND ABC REQUIREMENTS
   b. CONFIRMS APPROVAL OR REJECTION OF SUBMITTAL WITH A "PROJECT COMMENT LETTER" TO THE DESIGN PROFESSIONAL AND STATE AGENCY/ DEPT.
   c. RETAINS SCHEMATIC AND PRELIMINARY SUBMISSIONS UNTIL FINAL SUBMISSION IS APPROVED: RETAINS APPROVED FINAL SUBMISSION AS A PART OF THE PROJECT RECORD

3. **DESIGN PROFESSIONAL**

a. ADDRESSES ABC's REVIEW COMMENTS OF EACH SUBMISSION LEVEL, ADVANCING TO THE NEXT LEVEL OF DESIGN UNTIL APPROVAL OF FINAL SUBMISSION IS OBTAINED
b. UPON OBTAINING APPROVAL OF FINAL SUBMISSION, PUBLISHES "ADVERTISEMENT FOR BIDS"
c. AT ADVERTISED TIME, RECEIVES AND OPENS BIDS PUBLICLY WITH STATE AGENCY/DEPT.
d. PREPARES AND CERTIFIES TABULATION OF BIDS, PROVIDING A COPY OF THE TABULATION TO THE STATE AGENCY/DEPT. AND THE ABC

C. AWARD OF CONTRACT, EXECUTION & APPROVAL OF CONTRACT, AND NOTICE TO PROCEED

1. STATE AGENCY OR DEPARTMENT
a. EVALUATES BIDS RELATIVE TO FUNDS AVAILABLE
b. DETERMINES LOWEST RESPONSIBLE AND RESPONSIVE BIDDER
c. ISSUES NOTICE OF AWARD TO LOWEST RESPONSIBLE AND RESPONSIVE BIDDER

2. DESIGN PROFESSIONAL
a. PREPARES CONTRACT USING "CHECKLIST" (SHOULD OBTAIN APPROVAL OF "DRAFT" FROM ABC & STATE AGENCY/DEPT. BEFORE FINALIZING)
b. DELIVERS SIX (6) COPIES OF CONTRACT TO CONTRACTOR

3. CONTRACTOR
a. OBTAINS BONDS AND EXECUTES CONTRACT
b. RETURNS SIX (6) COPIES OF EXECUTED CONTRACT WITH BONDS TO DESIGN PROFESSIONAL

4. DESIGN PROFESSIONAL
a. CHECKS CONTRACT & BONDS FOR COMPLETENESS
b. FORWARDS SIX (6) COPIES OF CONTRACT & BONDS TO STATE AGENCY/DEPT.

5. STATE AGENCY OR DEPARTMENT
a. REVIEWS AND EXECUTES CONTRACT
b. FORWARDS SIX (6) COPIES OF CONTRACT & BONDS TO ABC

6. ALABAMA BUILDING COMMISSION
a. VERIFIES COMPLETENESS AND CORRECTNESS OF CONTRACT & BONDS
b. APPROVES CONTRACT & BONDS
c. FORWARDS SIX (6) COPIES OF CONTRACT AND BONDS TO GOVERNOR'S OFFICE

7. GOVERNOR'S OFFICE
a. FINANCE LEGAL REVIEWS AND APPROVES CONTRACT & BONDS
b. GOVERNOR'S LEGAL OFFICE REVIEWS AND APPROVES CONTRACT & BONDS AND GOVERNOR APPROVES CONTRACT
c. FULLY EXECUTED CONTRACT & BONDS RETURNED TO ABC

8. ALABAMA BUILDING COMMISSION
a. DISTRIBUTES FULLY EXECUTED CONTRACT WITH BONDS TO CONTRACTOR, STATE AGENCY/DEPT., AND DESIGN PROFESSIONAL
b. ISSUES "NOTICE TO PROCEED" WITH CONTRACT & BONDS
c. WITH NTP FURNISHES CONTRACTOR WITH "CONTRACTOR'S CHECKLIST" PROVIDING INSTRUCTIONS AND STANDARD FORMS FOR SPECIFIC START-UP REQUIREMENTS

9. **CONTRACTOR**
   a. SIGNS AND RETURNS COPY OF NTP TO ABC
   b. BEGINS SUBMISSION OF START-UP DOCUMENTS TO DESIGN PROFESSIONAL
   c. SUBMITS CERTIFICATE OF INSURANCE FOR REQUIRED COVERAGE TO DESIGN PROFESSIONAL
   d. UPON APPROVAL OF CERTIFICATE OF INSURANCE, BEGINS WORK ON SITE

D. AMENDMENTS TO THE O/A AGREEMENT AND CHANGE ORDERS TO THE CONSTRUCTION CONTRACT FOLLOW THE SAME ROUTING FOR REVIEW, APPROVAL, AND EXECUTION AS THE AGREEMENT OR CONTRACT

E. DESIGN PROFESSIONAL'S STATEMENTS FOR SERVICES AND CONTRACTOR'S APPLICATIONS FOR PAYMENT

1. **DESIGN PROFESSIONAL** - APPROVES & FORWARDS TO STATE AGENCY/DEPT.

2. **STATE AGENCY/DEPT** - APPROVES & FORWARDS TO ABC

3. **ALABAMA BUILDING COMMISSION** - APPROVES & RETURNS TO STATE AGENCY/DEPT.

4. **STATE AGENCY/DEPT**. - PREPARES VOUCHER, ISSUES PAYMENT, AND DISTRIBUTES COPIES OF PAID STATEMENT OR APPLICATION TO DESIGN PROFESSIONAL AND/OR ABC