

SBA Policy and Procedures
APPENDIX B

School Major Improvement Plan

The West Virginia Legislature amended 18-9D of the West Virginia Code in 1994 creating guidelines pertaining to quality educational facilities and creating a School Major Improvement Fund to be administered by the School Building Authority of West Virginia. The purpose of the major improvement program is to provide needs based grants to county boards of education, the State Board of Education for certain statewide educational facilities and/or administrative councils of area vocational centers for facility renovations, maintenance and construction projects with a cost greater than fifty thousand dollars but may not exceed \$1,000,000 dollars or based on West Virginia code limitations. Projects selected for funding by the SBA must be included in an approved Major Improvement Plan (MIP) and must meet the following goals:

1. Student health and safety, including, but not limited to, critical health and safety needs; and
2. Economies of scale, including scheduled preventive maintenance: Provided that each county board's school maintenance plan shall address scheduled maintenance for all facilities within the county.

The Major Improvement Plan shall include a prioritized list of all the major improvement projects within the county. Such prioritized list shall be one of the criteria to be considered by the authority in determining how available funds shall be expended. In prioritizing the projects, the agency submitting a plan shall make determinations in accordance with objective criteria provided in their MIP. The MIP shall include a repair and replacement schedule for all school facilities and the manner and timeline for all activities within the plan.

All MIP facility needs must be identified in the county's current Comprehensive Educational Facilities Plan. Expenditures for all facility improvements other than normal routine maintenance shall be documented and included in the annual update provided to the SBA. Routine maintenance remains the responsibility of local educational agencies and these costs will be reported through the annual financial reporting process provided to the State Department of Education.

Major Improvement Plan (MIP)

General

Each county board of education, State Board of Education, when applicable, or administrative council of an area vocational center shall develop a ten year school Major Improvement Plan (MIP) as a section of their CEFP before seeking funds from the School Building Authority (SBA) for major improvement projects. An approved school Major Improvement Plan (MIP) is required prior to the distribution of state funds for a project pursuant to the requirements of West Virginia Code Chapter 18-9D-15. Initially, the MIP shall be submitted to the school Building Authority for approval by April 1, 1995 to qualify for MIP funding available in 1995 and shall be amended annually to summarize activities and to identify progress being made on school improvements. The MIP shall be part and parcel of the county Comprehensive Educational Facilities Plan (Section E of the CEFP) and together address the renovation, repair and safety upgrading of existing facilities, and equipment, building systems, utilities, and other similar items in connection with renovations, repair and upgrading of facilities. Major Improvement Projects may not include such items as books, computers, equipment used for instructional purposes, fuel, supplies, routine utility service fees, routine maintenance costs, ordinary course of business improvements and other items which are customarily deemed to result in current or ordinary course of business operating expenses.

Major Improvement funding shall be provided by the Authority on the basis of need and efficient use of state funds for construction and renovation projects. In so doing, both short and long term effects of building repairs and maintenance will be considered. All projects submitted to the Authority for funding consideration must be compatible with the county CEFP goals and objectives as well as the overall goals of the Authority.

Funding will not be distributed to any county board that does not have an approved school Major Improvement Plan and is not prepared to commence expenditures of such funds during the fiscal year in which the moneys are distributed: grant funds allocated to a county board and not distributed to that county board shall be available to the county board for a period of two years. Any funds which are unexpended after a two-year period shall be redistributed by the SBA on the basis of need from the school major improvement fund in that fiscal year.

I. KEY ELEMENTS OF THE PLAN

The following key elements of the major improvement plan must be included:

- A. Goals and Objectives of the Major Improvement Plan
- B. Historical Data Regarding Previous Building Improvement Activities
- C. Maintenance Plan
- D. Financing Plan
- E. Objective Evaluation of the Effectiveness of the Plan
- F. Summary of Project Submitted for Competitive Funding
- G. Annual Update
- H. Public Input Assurances

A. Goals and Objectives of the Major Improvement Plan

Each county board of education or other administrative unit qualifying for major improvement funds shall formulate goals and objectives to be accomplished by the MIP. The goals and objectives shall reflect an objective means to resolve deficiencies in educational facilities identified within the plan. The following aspects must be addressed within the plan:

1. Improving Health and Safety
 - a. Improving facilities to meet all applicable codes and federal and State Mandates (examples – EPA, Asbestos, ADA, Fire Marshal, Board of Risk, Health Department – Radon, Lead, Underground Tanks, and other applicable codes)
 - b. Improving Indoor Air Quality (i.e., ASHRAE)
 1. Temperature
 2. Humidity
 3. Filtration
 4. Ventilation
 5. VOC (Volatile Organic Compounds)
2. Improving the Facilities Ability to Deliver the Instruction Program
3. Increasing the Life Expectancy of Building Components by:
 - a. Establishing or improving a Routine Maintenance Schedule
 - b. Establishing or improving a Preventive Maintenance Schedule
4. Assuring the Prudent and Resourceful Expenditure of Local and State Funds by:
 - a. Establishing Short and Long Range Cost Effective Maintenance Planning
 - b. Effectively and Efficiently Managing Energy Sources
 - c. Performing Life Cycle Cost Analysis When Purchasing Building Components
 - d. Establishing Cost Effective Purchasing Practices
 - e. Establishing Staff Training Programs for Effective and Current Maintenance and Custodial Methods

B. Historical Data Regarding Previous Building Improvement Activities

1. A survey of the previous five year building improvement activities must be performed to provide a historical baseline of expenditures and improvements. Previous maintenance budgets and records of building improvements can be used to identify where funding has been concentrated, where the greatest needs may exist and the scope of future countywide improvements.
2. A five year history of maintenance expenditures must be performed to qualify for funding. County boards of education must have budgeted in the current fiscal year, an amount equal to the average of the lowest three years expenditures out of the past five years. This information must be included with the annual CEFPP update.
3. County maintenance expenditures should be comparable to the average regional and national square footage costs and reflects sufficient funding to adequately support the number of facilities being maintained. When insufficient funding is discovered, a plan of action should be implemented to address the shortfall. Areas of consideration should be:
 - a. An increase in local building improvement funding
 - b. More efficient use of funds
 - c. Increased performance of the in-house staff (i.e., staff development)
 - d. Additional staff or assistance through contracted maintenance
 - e. A reduction in the number of buildings to be maintained
 - f. Life cycle cost analysis is recommended to help identify the most cost effective means to improve maintenance activities

C. The Maintenance Plan

Included as a component of the Major Improvement Plan shall be a facility maintenance plan. The Maintenance Plan shall further the goals and objectives of the overall Major Improvement Plan and address specific needs of each facility by identifying building maintenance and improvement strategies that will improve the health and safety of the facility and extend the building's useful life. Major components of the Maintenance Plan are:

- Facility Evaluations
- Building Components
- Priorities List of Deficiencies
- Preventive and Routine Maintenance Plan
- Methods for Performing Maintenance
- Maintenance Plan Cost Summary
- Timeline for Implementing the Plan

1. Facility Evaluation (SBA Form 134)

Determining the present condition of building components as well as the overall condition of each facility is a vital part of school improvement. Anevaluation of the building envelope and major components must occur and a detailed assessment performed in order to determine prioritized needs. Local and state funding should be directed toward improving those areas of the facility that address the goals and objectives of the CEFPP, Major Improvement Plan and those of the Authority.

2. Building Component Inventory (SBA Form 135)

The success of the MIP will be contingent upon accurate information compiled on building components and an effective plan to maintain these components in a well-organized cost effective manner. An inventory of types and quantities of equipment and materials including descriptive data must be recorded and placed in a maintenance inventory plan for reference. The identified building component within the inventory can then be maintained based on a prioritized schedule for optimum use.

3. A List of Priorities Deficiencies (SBA Form 136)

The maintenance plan shall include a list of site specific building deficiencies prioritized by need as reflected in the goals and objectives of the major improvement plan. Such priority list shall be one of the criteria to be considered by the Authority in determining how available funds shall be expended. Prioritized maintenance projects may qualify for MIP funding.

4. Preventive and Routine Maintenance Plans

The ultimate goal of any maintenance program is to maintain building components in a manner that reduces emergency repairs and extends their useful life. The maintenance plan should begin with a program to perform maintenance on building components that may fail if not properly maintained and in so doing may adversely affect the health and safety of the building occupants and the operational budget of the county. The preventative and routine maintenance program that is to be established must include long and short range objectives, identify the specific programs for each building and a detailed list of scheduled maintenance to be performed. The maintenance plan shall be developed in cooperation with the State Department of Education Office of School Facilities.

5. Methods for Performing Maintenance

Various approaches will be taken to performing building maintenance. In-house and contracted maintenance staff or a combination of the two are currently being used. The program should identify the most cost effective manner of performing

the vital maintenance program. Special emphasis must be given to staff development for in-house maintenance staff and the development of experience and qualification requirements for contracted maintenance services. A copy of the staff development program and staff experience for persons performing maintenance duties shall be made available for SBA review upon request.

6. Maintenance Plan Budget Cost Summary

The annual and long range cost of implementing the maintenance plan as well as the anticipated expenditures should the program not be implemented must be included in the plan. Identified cost should include but may not be limited to the following:

- a. Maintenance Plan Program Development
- b. Staff Development
- c. Preventive Maintenance Initiative
- d. Routine Maintenance
- e. Equipment Replacement Cost
- f. Materials and Equipment Associated with the Program
- g. Show on separate form Avoided Expenditures (should the program be implemented)

7. Timeline for Implementing the Plan

The full implementation of the maintenance plan will occur over the ten year period covered by the initial plan. However, milestone dates must be established that coincide with the prioritized list of maintenance to be performed. Specific objectives must be indicated in the plan and progress toward the completion of projects reported in the annual update submitted to the SBA. Also, included in the timeline for the replacement of facilities should be directly related to the costs required for its maintenance and its ability to facilitate the delivery of the desired educational program.

D. Major Improvement Finance Plan

Financing for the Major Improvement Plan may come from a number of sources, the major contributor being local funds. The intent of the School Building Authority's Major Improvement Program is to provide state funds on an annual basis to assist the counties in doing major improvements for projects exceeding \$50,000 and less than \$1,000,000. These funds shall not supplant local funding for school improvements and will be distributed on a school construction fund "needs" basis. However, county boards of education must comply with the provisions of 18-9D as well as the SBA guidelines described herein to qualify for funding. Projects that do not comply with the funding criteria established by the SBA must be addressed using other funding sources. Consideration should be given to the local maintenance budget, local bond proceeds or federal and state grants (Energy, Asbestos, ADA, and Special Education Grants, etc.). Consideration should also be given to approved lease purchase programs, performance

based contracting or reinvestment of saving derived from capital improvement projects funded from local or state dollars.

The Major Improvement Plan must identify the funding source for each project identified in the ten year plan regardless of the immediate availability of the proposed funding. Additionally, the following criteria should be considered when preparing the financial strategy to implement the plan:

1. Major Improvement Funds shall be used in conjunction with local funds to effectively and efficiently meet the needs of educational facilities. Major Improvement Plan funds will not be used to supplant local maintenance funds.
2. Major Improvement Plan funding should not be used for projects in schools/facilities targeted to close within the Comprehensive Educational Facilities Plan.
3. Student occupied facilities shall be given first priority for improvements.
4. Funding for schools that do not meet Economies of Scale will be based on:
 - a. A waiver being granted for a school project when the specific school is determined to be geographically isolated from other school populations and eliminates the potential for attaining enrollment economies.
 - b. A waiver being granted when a school is the only facility in the county that provides service to students in the particular grade levels included in the school. For example – Is this the only middle/high school or elementary school in the county?
5. Projects within the Maintenance Plan that are eligible for Major Improvement Plan funding will be awarded on their ability to further the overall goals of the Agency's CEF, Major Improvement Plan and the overall goals of the SBA.
6. Funding will not be distributed to any agency that does not have an approved school major improvement plan or to any agency that is not prepared to commence expenditures of such funds during the fiscal year in which the monies are distributed. Funding shall be deposited in an SBA account to the credit of that agency, such funds will remain to the credit of and available to the agency for a period of two years. Any monies which are unexpended after a two-year period shall be redistributed by the SBA on the basis of need from the school major improvement fund in that fiscal year.
7. Agencies may use monies provided by the authority in conjunction with local funds derived from bonding, special levy or other sources. Distribution to a county board or to the state board or the administrative council of an area vocational educational center will be in accordance with a payment method approved by the authority.

E. Objective Evaluation of the Effectiveness of the Plan

Evaluating the success or failure of building improvement strategies must be quantified and adjustments made when the effects of a particular project or series of projects is known. Each project submitted to the SBA for funding consideration must be accompanied by a specific objective to be accomplished and thereby creating a means to evaluate how the project succeeded or failed to further the goals and objectives of the project and the overall plan. The evaluation shall be submitted upon request to the SBA at intervals appropriate to measure the short and long range effects of a project or improvement plan.

F. Project Submission Requirements (SBA Form 165 – Executive Summary)

Supportive data for projects submitted for funding consideration by the SBA shall meet the requirements of the Major Improvement Plan indicated herein. Sufficient data must be included to address how the current facilities do not meet and how the proposed project does meet the following goals:

1. Student health and safety;
2. Curriculum improvement and diversification, including computerization and technology and advanced senior courses in science, mathematics, language arts and social studies;
3. Adequate space for projected student enrollments;
4. Economies of scale, including compatibility with similar schools that have achieved the most economical organization, facility utilization and pupil-teacher ratios;
5. Reasonable travel time and practical means of addressing other demographic considerations (see State Board of Education Policy regarding travel time limitations);
6. Multi-county and regional planning to achieve the most effective and efficient instructional delivery system – If a project is to benefit more than one county in the region, the submission data shall state the manner in which the cost and funding of the project shall be apportioned among the counties;
7. Innovations in education;
8. To what extent does the project demonstrate an effective and efficient use of funding;

9. To what extent does the project impact the agency's preventive maintenance plan; and
10. To what extent does the project further the overall goals and objectives of the SBA and the MIP.

G. Annual Update (SBA Form 145 A & B)

The Major Improvement Plan shall be updated annually to reflect projects completed and new or continued needs remaining to be addressed. Also, building improvement activities in the previous year shall be documented and a detailed summary of the accomplishments provided to SBA for review. This information shall be provided to the SBA with the CEFPP Annual Update on or before December 1, 1996, and continue each subsequent year. The SBA may require that a county, the state board or the administration council of an area vocational center modify, update, supplement or otherwise submit changes or additions to an approved Major Improvement Plan pursuant to the requirements of 18-9D-16(J).

H. Public Input Assurances

Pursuant to Section 18-9D-16c of the West Virginia Code, the Major Improvement Plan shall include assurances of broad based public input in the planning process. The submission of each plan shall be accompanied by a synopsis of all comments received and a formal comment by the county board, the State Board or the administrative council of an area vocational educational center submitting the plan. A committee made up of the administrative staff having expertise in school construction and maintenance, and other staff members as determined by the superintendent as well as lay persons from the community shall cooperatively develop the plan. Once developed, the proposed plan shall then be made available for public comment for a period of 30 days prior to public hearing and submission to agency's board for approval. The approved plan shall then be submitted to the SBA for final review and approval.

I. Amending the Plan

The Major Improvement Plan may require amendments in response to changing facility conditions. SBA Form 106 must be used to amend the scope of a project. Budget Amendments relating to the plan or a specific project within the plan must also be requested using SBA Form 106. Refer to Section 1.6 of the SBA Policy and Procedures Handbook for additional amendment requirements.

J. Project Selection Process

MIP Grant requests shall be submitted as a part of the annual CEFPP and MIP update in accordance with 2.4 F of the SBA Policy and Procedure Handbook. MIP Projects will be reviewed and evaluated by the SBA staff using the Project Evaluation Instrument (SBA

Form 134). Meritorious projects will be selected on the basis of their compliance with the following review criteria:

1. Health and safety
2. Curriculum and improvements
3. Adequate space for project enrollment
4. Economies of scale
5. Travel time and demographics
6. Multi-county and regional cooperation
7. Educational innovations
8. Effective and efficient use of funds
9. Preventive maintenance
10. Furtherance of local and SBA goals and objectives

Projects shall be submitted annually for SBA consideration. The authority will provide submission dates annually to eligible agencies requesting SBA consideration for MIP funding. Projects not received by the deadline established will not be considered. Each project submitted will be evaluated by the SBA staff and on-site visits will be performed as necessary to familiarize the staff with all aspects of the project and to verify the submitted data. Interviews will be held with the superintendents or project representatives for statewide or area vocational projects when additional information regarding the specifics of the proposal is needed. After the staff review process is complete, the project data will be provided to the School Building Authority for final consideration. The staff review will include a recommended priorities list of statewide projects for SBA consideration. The Authority will determine the number of projects to be considered in each funding cycle and award meritorious projects to the extent funds are available.