



ARCHITECTURE & ENGINEERING

25-01 Jackson Avenue Long Island City, NY 11101

CAPITAL IMPROVEMENT PROGRAM PROJECT MANUAL

A. Nina Kubota
President and C.E.O

Thierry Paret, FAIA, NCARB, RIBA, ARB, MRIAI, LEED AP
Vice President, Architecture & Engineering



NEW YORK CITY SCHOOL CONSTRUCTION AUTHORITY

MISSION STATEMENT

The School Construction Authority's (SCA) mission is to design and construct safe, attractive, and environmentally sound public schools for children throughout the many communities of New York City. We are dedicated to building and modernizing schools in a responsible, cost-effective manner while achieving the highest standards of excellence in safety, quality, and integrity.

TABLE OF CONTENTS

OVERVIEW 10

1.0 SCOPE PHASE I 11

1.1 PROJECT ASSIGNMENT11

1.1.1 DPM Notification of Project Creation/PN Date of Assignment 11

1.1.2 AOR Notification of Project Assignment/Forecast Actual Start..... 11

1.1.3 Scope Schedule 11

1.2 PHASE 1 KICK-OFF MEETING11

1.2.1 Scope Kick-Off Meeting Agenda..... 11

1.2.2 Scope Kick-Off Meeting 12

1.2.3 Scope Kick-Off Meeting Minutes..... 14

1.2.4 Phase I /Scope ATP-R 14

1.3 FIELD REPORT15

1.3.1 Application 15

1.3.2 Initial Site Visit / Investigation..... 15

1.3.3 Field Report 15

1.3.4 DCS On-Board Review 15

1.3.5 STU Service Requests 16

1.4 DRAFT SCOPE REPORT.....16

1.4.1 Draft Scope Report..... 16

1.4.2 DCIM Review 16

1.4.3 Quality Control Meeting..... 17

1.4.4 Cost Estimate 17

1.4.5 IEH Service Request..... 17

1.4.6 CIP Project Design Review Watchlist 18

1.4.7 Roof Warranty 18

1.4.8 Parks Notification..... 18

| | | |
|--------|--|------------------------------|
| 1.4.9 | ZPPP Process..... | 18 |
| 1.4.10 | PAPS Preliminary Determination | 18 |
| 1.4.11 | Preliminary Submittal to NYS Historic Preservation Office..... | 18 |
| 1.5 | FINAL SCOPE REPORT..... | 21 |
| 1.5.1 | Final Scope Report | Error! Bookmark not defined. |
| 1.5.2 | NYCPR Review/JOP Approval..... | Error! Bookmark not defined. |
| 1.5.3 | IEH Submittal | 21 |
| 1.5.4 | CIP and Reso A Scope Turnover Checklist..... | Error! Bookmark not defined. |
| 1.5.5 | Review and Approval | Error! Bookmark not defined. |
| 1.5.6 | Sharing Process..... | Error! Bookmark not defined. |
| 1.5.7 | Updating Scope Reports | 22 |
| 1.6 | SUBMISSION OF ELECTRONIC DOCUMENTS..... | 22 |
| 1.7 | STATEMENT OF ADHERENCE/LETTER OF COMPLETION..... | 23 |
| 1.8 | NOTIFICATION TO PROCEED TO NEXT PHASE | 23 |
| 1.9 | PRINCIPAL NOTIFICATION PROTOCOL | ERROR! BOOKMARK NOT DEFINED. |
| 2.0 | DESIGN PHASE IIA, IIB | 24 |
| 2.1 | PROJECT ASSIGNMENT | 24 |
| 2.1.1 | Notification of Project Assignment: | 24 |
| 2.1.2 | Phase II /Design ATP-R | 24 |
| 2.1.3 | Design Schedule:..... | 24 |
| 2.2 | PHASE 2 KICKOFF MEETING:..... | 25 |
| 2.2.1 | Design Kick-Off Meeting Agenda..... | 25 |
| 2.2.2 | Design Kick-Off Meeting | 25 |
| 2.2.3 | Design Kick-Off Meeting Minutes..... | 25 |
| 2.2.4 | Phase II /Design ATP-R | 25 |
| 2.3 | FILINGS AND APPLICATIONS | 26 |
| 2.3.1 | Specialty Testing | 26 |

| | | |
|-------|---|------------------------------|
| 2.3.2 | Zone of Public Protection Plan | 26 |
| 2.3.3 | FDNY Filing | 26 |
| 2.3.4 | FDNY Filing Tracking..... | Error! Bookmark not defined. |
| 2.3.5 | Detailed SHPO Submission: | 26 |
| 2.3.6 | NYCPR | 26 |
| 2.3.7 | Zoning and Egress Filing | 26 |
| 2.3.8 | Zoning Waiver Request / Zoning Override Letter | 27 |
| 2.3.9 | PAPS Coordination | 27 |
| 2.4 | 50% CONTRACT DOCUMENTS SUBMISSION | 27 |
| 2.4.1 | Drawings and Specifications | 27 |
| 2.4.2 | DCIM Review | 27 |
| 2.4.3 | Quality Control Meeting..... | 28 |
| 2.4.4 | Cost Estimate | 28 |
| 2.4.5 | F+E Processes..... | 28 |
| 2.4.6 | Room Numbering Signage System | 29 |
| 2.4.7 | Mid-Design Notification | 29 |
| 2.5 | 90% CONTRACT DOCUMENTS SUBMISSION | 29 |
| 2.5.1 | IEH Submission – 90% CD..... | 29 |
| 2.5.2 | BCC Filing..... | 29 |
| 2.6 | 100% CONTRACT DOCUMENTS SUBMISSION | 30 |
| 2.6.1 | Drawings and Specifications | 30 |
| 2.6.2 | DCIM Review | 30 |
| 2.6.3 | Quality Control Meeting..... | Error! Bookmark not defined. |
| 2.6.4 | Cost Estimate..... | 31 |
| 2.6.5 | Capital Planning Approval | 32 |
| 2.7 | FINAL CONTRACT DOCUMENT SUBMISSION/TOBSS UPLOAD | 32 |
| 2.7.1 | Packaging PoT Projects..... | 34 |
| 2.7.2 | Packaging CIP Projects..... | 34 |

| | | |
|-------|--|------------------------------|
| 2.7.3 | Packaging CIP Projects with Capacity Project..... | 35 |
| 2.8 | TURNOVER COST ESTIMATE PTS UPDATE..... | ERROR! BOOKMARK NOT DEFINED. |
| 2.9 | TURNOVER TO CAPITAL PLANNING | 36 |
| 2.10 | SUBMISSIONS OF ELECTRONIC DOCUMENTS | 36 |
| 2.11 | STATEMENT OF ADHERENCE..... | 36 |
| 2.12 | CERTIFICATE OF COMPLETENESS | 37 |
| 2.13 | NOTIFICATION TO PROCEED TO NEXT PHASE | 37 |
| 3.0 | BID AND AWARD PHASE IIC..... | 38 |
| 3.1 | PROJECT MANAGEMENT DURING BID AND AWARD PHASE..... | 38 |
| 3.2 | PREPARATION FOR PRE-BID MEETING POWER POINT PRESENTATION | ERROR! BOOKMARK NOT DEFINED. |
| 3.3 | BID RFIs | 38 |
| 3.4 | FINAL COST ESTIMATE BEFORE BID OPENING..... | 39 |
| 3.5 | DURING POST BID OPENING DATE UNTIL PROJECT AWARD..... | 39 |
| 3.5.1 | Final Bid Documents Set:..... | 39 |
| 3.5.2 | Bid Breakdown Review:..... | 39 |
| 3.6 | PRE-AWARD MEETING..... | 39 |
| 3.7 | SELECTION OF FIELD REP | ERROR! BOOKMARK NOT DEFINED. |
| 4.0 | CONSTRUCTION ADMINISTRATION PHASES IIIA | 40 |
| 4.1 | PROJECT ASSIGNMENT | 40 |
| 4.1.1 | Notification of Project Assignment: | 40 |
| 4.1.2 | Authorization to Proceed (ATP) to Phase III Services: | 40 |
| 4.2 | PRE-CONSTRUCTION MEETING | 41 |
| 4.3 | PRE-CONSTRUCTION GSG MEETING | 41 |
| 4.4 | POST NTP MEETING | 41 |

| | | |
|-------------|---|------------------------------|
| 4.5 | COMPREHENSIVE CONTRACT DOCUMENTS | 41 |
| 4.6 | AMENDED DRAWINGS AND FILINGS | 41 |
| 4.7 | REQUESTS OF INFORMATION (RFI's) | 41 |
| 4.8 | BULLETINS | 42 |
| 4.8.1 | For CM-13 Issuance of Bulletins | Error! Bookmark not defined. |
| 4.9 | CHANGE ORDERS | 42 |
| 4.9.1 | PO Responsible [Contractor proposals under \$25K] | Error! Bookmark not defined. |
| 4.9.2 | COU Responsible [Contractor proposals greater than \$25K] | Error! Bookmark not defined. |
| 4.10 | NON-CONFORMANCE REPORTS (NCR's) | 42 |
| 4.11 | BIWEEKLY CONSTRUCTION MEETINGS | 42 |
| 4.12 | OBSERVATION SERVICES | ERROR! BOOKMARK NOT DEFINED. |
| 4.13 | CAMP KAHUA | ERROR! BOOKMARK NOT DEFINED. |
| 4.14 | CAPACITY PROJECTS IN CONSTRUCTION MONTHLY MEETINGS | ERROR! BOOKMARK NOT DEFINED. |
| 4.15 | GREEN SUBMISSIONS | ERROR! BOOKMARK NOT DEFINED. |
| 4.16 | ADDITIONAL SERVICES | ERROR! BOOKMARK NOT DEFINED. |
| 4.16.1 | Issuance of NOAs | Error! Bookmark not defined. |
| 4.17 | TCO MEETINGS | ERROR! BOOKMARK NOT DEFINED. |
| 4.17.1 | BCC Initiated Meetings | Error! Bookmark not defined. |
| 4.17.2 | CM Initiated Meetings | Error! Bookmark not defined. |
| 4.18 | SUBSTANTIAL COMPLETION/PHASED COMPLETION | ERROR! BOOKMARK NOT DEFINED. |
| 4.19 | PUNCH LIST | ERROR! BOOKMARK NOT DEFINED. |
| 4.20 | AS-BUILT DRAWINGS – RECORD DRAWINGS | ERROR! BOOKMARK NOT DEFINED. |
| 4.21 | CLOSE-OUT | ERROR! BOOKMARK NOT DEFINED. |
| 4.22 | FINAL C OF O | ERROR! BOOKMARK NOT DEFINED. |

| | | |
|---------------|---|------------------------------------|
| 4.23 | TECHNICAL FIELD REPRESENTATIVE SERVICES (AT SCA’S OPTION, IF AUTHORIZED) | ERROR! BOOKMARK NOT DEFINED. |
| 4.23.1 | Technical Field Representative Services |Error! Bookmark not defined. |
| 4.23.2 | Contract Administration |Error! Bookmark not defined. |
| 4.23.3 | Assignment of Projects in Close-Out | 44 |
| 4.24 | INTERPRETATIONS AND DECISIONS | ERROR! BOOKMARK NOT DEFINED. |
| 4.25 | PRODUCT SUBSTITUTION REVIEW | ERROR! BOOKMARK NOT DEFINED. |
| 5.0 | GLOSSARY OF TERMS AND ACRONYMS | 45 |

INTRODUCTION

The purpose of the Capital Improvement Projects [CIP] Manual is to serve as a planning and design guide for Architectural and Engineering services for the improvement of Existing schools by the School Construction Authority.

This document describes the applicable design processes, policies and procedures for the SCA's A&E Design Consultant Management Studio (DCMS) and the In-House Design Studio and has the following objectives:

- Serve as a source of information for DM's and DPM's and designers in managing the design process in the delivery of existing public schools projects.
- Provide step-by-step direction to efficiently collaborate and coordinate with the Design Consultants, SCA Departments, DOE and all other City Agencies having jurisdiction.
- Demonstrate design excellence, together with management skills necessary to complete the work within schedule and budget.

It is also useful to refer to [SCA Procedural Guidelines for Additional Information on the CIP Quality Review Process](#) in designing projects. The table of contents contains a brief overview of the Manual's contents, allowing one to browse through the chapter headings and page numbers. The templates may be of generic nature or may contain samples from comparable projects. They can be used as a basis to get started and can be tailored to the specific project requirements with ease.

Revisions to the Manual

The AEoR shall follow the procedures contained in this manual to ensure conformity, consistency and quality in various stages of a project. Revisions to the procedures or forms outlined in this manual will be issued as AE bulletins. The AEoR will be notified of the issuance of each bulletin via e-mail and the bulletin will also be posted on the SCA website.

AE Contract Agreement Requirements

When DCMS has engaged a consultant in the design of a new capital improvement project, all parties are required to follow the criteria in the applicable [Scope of Services Section Appendix A of the AE Consultant Services Agreement](#).

Reference Materials and Standards

DCMS shall provide instruction to each selected AEoR to review and follow latest [SCA Design Standards](#), which include all project related and relevant information (SCA Procedural Guidelines; [Scoping Guidelines](#), Design Requirements, Manuals, Room Planning Standards and Standard Specifications and Details). DM/DPM teams to ensure compliance.

OVERVIEW

There are 3 Phases for each CIP Project. The designer is expected to comply with the guidelines of the CIP Manual during the 3 phases.

- Phase I – Scope Phase
The scope phase will result in a scope report that clearly defines the work to be performed and an estimated construction cost. The scope report is also justification of funding for a project. Design approaches and alternatives shall have been examined and major design decisions are made. The justifications in the scope report shall be thorough, to enable the SCA to decide whether the project should proceed to design.
- Phase II – Design Phase
- Phase III – Construction Phase

1.0 SCOPE PHASE I

Purpose

The scope phase will result in a scope report that clearly defines the work to be performed and an estimated construction cost. The scope report is also justification of funding for a project. Design approaches and alternatives shall have been examined and major design decisions made. The justifications in the scope report shall be thorough to enable the SCA to decide whether the project should proceed to design. Scope Reports are read by technical and non-technical reviewers. It must be clear, simply presented, and easy to read for all reviewers, providing a complete picture of the findings and recommendations.

1.1 Project Assignment

- DPM Notification of Project Creation/PN Date of Assignment
DPM receives email notifications:
 - a. Scorpio/SCA RPA Robot generated CIP Scope Report Template shall be sent to designers. This email notice may also include links to BCAS, DOB Outstanding Violations and Master Contact List.

DPM to check server if Project Folder is created. If not, email the [CADD Unit](#), providing Building ID and Address and request creation of Project Folder.

- AOR Notification of Project Assignment/Forecast Actual Start
 - DPM issues a 'Notification of Assignment' E-mail to selected AEoR. CC: DM, Director.
 - The Consultant shall complete a [Consultant Project Plan](#) form indicating the names of the project team that will be assigned to the project and proposed scope milestone dates. This form must be forwarded to the DPM within three (3) days of the project being assigned.
 - DPM to verify list and dates of past projects at the school site have been populated.
 - DPM attaches Scorpio/BOT Email
 - AOR to review CIP Scope Turnover Checklist, to check items required during Scope Phase.
- Scope Schedule
 - a. Consultant AEoR: A [Scope Phase Log](#) shall be updated weekly by the Consultant AEoR and emailed to the DPM to track the schedule of all the Consultant's projects in Phase 1. The timeliness of the submittal of the weekly updated log shall be used as a criterion for evaluating the Consultant's adherence to schedule on the Consultant Performance Evaluation.
 - b. In-House AEoR: The assigned schedule is tracked and reviewed by the DM prior to the weekly studio progress meeting.

1.2 Phase 1 Kick-Off Meeting

- Scope Kick-Off Meeting Agenda
DPM to request a [Meeting Agenda](#) from the AEoR three days prior to the meeting day and distribute it to all invitees. Refer to [PG 3.1.2, Project Information Documents](#), for the Principal Notification process [CIP Meeting Agenda](#) format.

- a. After the NTP email, DPM schedules with the Consultant the Scope Kick-Off Meeting. On-Site Meeting recommended but not required, unless requested by Principal. Teams Meeting acceptable.
 - Attendees: Principal, Custodian, DOE Team, CIP Management, Consultant, CM Team, PN Notification, ODC, DCMS Administrative Assistant, and A&E VP Confidential Assistant. If applicable, add: Reso A Team [include Director of EA and EA Manager assigned to Borough], ADA Team. Check Master Contact List!
 - Consultant prepares Meeting Agenda, for DPM review, approval and issuance with Meeting Invitation.
 - b. Preparation: AEoR must retrieve and review the relevant background data and understand the intended scope of work to determine areas requiring examination in the site investigation.
 - The consultant obtains the SCORPIO Scope template that contains all the drawings from EDOCS – AE Archive). The CADD Unit can assist if drawings/projects are missing from the SCORPIO Scope template.
 - DOE/DSF Correspondence. DPM/DM will provide the AEOR with a copy of any previous correspondence from DOE, DSF or others regarding the related issues at the school, (i.e. Red Dot letters)
 - c. Scheduling: Design consultant shall contact the school and schedule the Kick-Off Meeting/Initial Site Visit with the School Principal(s) and Custodian and coordinate with the DPM and Project Officer (PO), explaining the project and informing them that the Scope Phase has started.
 - PN Protocol: Meeting occurs within fifteen [15] business days of Scope Actual Start Date.
 - If a building houses multiple campuses and multiple Principals, consult with the DPM to determine if one or more of the Principals will serve as primary Principal contact(s). If AEoR encounters difficulty in contacting the Principal(s) or other key contacts to schedule the meeting, the DPM should be alerted immediately to avoid delays.
- Scope Kick-Off Meeting
DPM must attend this Kick-Off Meeting. DPM to lead the meeting. DPM introduces the project, team and Design Consultant presents.
 - AEoR reviews Scope of Assigned Project and related prior and current projects at the School.
 - The Custodian should be asked whether he/she is aware of any projects that may be current or planned by the DOE's Division of School Facilities (DSF) in order to avoid duplication of effort.
 - If duplication does exist, the DPM shall contact the DSF and determine which entity should handle the proposed work.
 - Due to the potential for projects being deferred or cancelled, SCA representatives including the AEoR should not convey any commitment as to the start and end of construction.
 - The AEoR should also inform the school that the scope of work is limited to the work identified in the Capital Plan. As Reso A projects have a slightly different procedure, refer to the 'Establish Scope of Work: Reso A Projects' within this section.
 - a. Anticipated Normal School Hours: Document anticipated normal school hours during the week, weekends, holidays, and during the summer obtained from the School Principal(s).
 - b. School Population, Grade Levels Served & Number of Classrooms: Confirm the total current number of students and staff, and the grade levels served. Based upon input by the School Principal(s), note if any changes in school population or grade levels served are anticipated in the

future. Also, confirm the total number of classrooms in the building. (This is especially important if classrooms will be affected during the project construction and construction phasing is required).

- c. Construction Issues: The Project Officer will initiate a discussion with the Principal(s) regarding construction issues such as phasing and swing space. In consultation with the PO, the AEoR shall establish preliminary construction duration and include in the scope report. The AEoR should consult the PO and check the status of all projects at that school that are currently in design or construction and any planned projects to determine potential project phasing issues.
- d. Schedule Initial Site Visit: Typically, an Initial Site Visit shall immediately follow the Phase I Kick-off Meeting.

When the project involves the design of a new elevator, according to the Program Accessibility Process, the elevator location study will be discussed at a meeting during scope that is to be attended by the following parties:

Full Program Accessibility Projects Scope Kickoff Meeting (Virtual) Invitees

- School Principal and Custodian
- SCA A&E Department
- Design Consultant team
- SCA Accessibility Unit
- DOE Office of Accessibility Planning (OAP) (accessibility@schools.nyc.gov)
- DOE Director of Space Planning
- SCA Construction Management (PO or SPO)
- SCA External Affairs

Elevator Location Meeting (prior to Draft Scope Report) Invitees

- SCA Accessibility Unit
- A&E Studio Director, DM and DPM
- CM Construction Review Director and/or SPO

Elevator Location Selection

- If the elevator location that is finally selected will result in program spaces such as classrooms being reduced in size, the DPM shall coordinate with the Space Planner and OAP first prior to obtaining the Principal's approval.
- If the elevator location is revised during the design phase as a result of testing, SHPO, Zoning, or any other compelling justification, the DPM shall again coordinate with the Space Planner and OAP prior to obtaining the Principal's approval.
- The DPM shall make sure that all testing is requested during the scope phase to determine if the proposed elevator location is feasible.
- If the elevator location that is finally selected will require an elevator addition to be built, the Consultant must determine during the scope phase whether a SHPO submission or a Zoning waiver is required and DPM must notify SCA Real Estate/Kelly Murphy as early as possible.

The A&E Director shall be part of the Draft Scope Report review process to ensure that the proper scope of work is identified for all Program Accessibility projects.

- Scope Kick-Off Meeting Minutes
AEOR prepares [Meeting Minutes](#), for DPM review, approval and issuance to all in Master Contact Form, within three [3] days of the meeting. DPM to distribute the minutes to all invitees.
 - PN Protocol: Distribution must occur within ten [10] business days of Scope Kick-off Meeting Date.
 - Email Subject Format: PN-D000000 – *Scope Meeting Minutes* Bldg ID X000
 - Attachments: Agenda, Minutes, Master Contact Form
 - Distribution: All Meeting Attendees/Master Contact List [DPM, Design Manager, PO, SPO, Principal(s), Custodian]. If applicable, add: Reso A Team [include Director of EA and EA Manager assigned to Borough], ADA Team. Check Master Contact List!
 - CC: Principal Notification Inbox, A&E VP Confidential Assistant, ODC and DCMS Administrative Assistant.
 - Save PN Email and Update PPMs
- Phase I /Scope ATP-R
Once Kick-Off Meeting date is Actualized in PTS [via email notice], DPM to request ATP-R for Scope Phase for Design Consultant. The Consultant AEOR will receive an email notification that an initial ATP has been generated for the project.
 - For Reso A PoT projects, DPM to issue a NOA for Phase 1 Scope – Special Program. AEOR proposal to be lump sum but with breakdown of services by manhours [Time + Material]. However, no timesheets are required. The proposal should include Service Dates.
- Additional Considerations
 - **For Full Program Accessibility Projects:** Consider Zone of Public Protection Plan, Zoning Waiver, STU/IEH Testing Requirements and SHPO Eligibility, among others.
 - **For JOP projects:** Prepare Zone of Public Protection Plan during Scope Phase. Email DCMS ZPP Reviewer/Catherine Azer BEFORE submitting to CM PO/Borough Safety Office. Once accepted by CM PO, DPM to forward to Inter-agency coordinator, for submission to NYCPR.

- **For Building Electrification & Heat Pump Projects:** AEoR to make an initial field visit and fill out an Electrification Field Report that will be the start of collecting information that will lead to a decision on the scope of the work for the project, which will be submitted to A&E and the DCIM reviewers.
 - After further investigation by the team, they are to fill out the Heat Pump Selection Matrix, which will narrow down the system to be selected.
 - After submission of the matrix, a meeting will be held with the designer, A&E, DCIM, CM, and Capital Plan Management to use the information provided and agree on the final design approach for the electrification.
 - The design teams will then work on completing the draft scope report, which is to include any recommended additional items, and then the final scope report.
- In addition to SCA Design Standards including Scoping Guidelines soon to be issued, a Building Electrification Project Scope/Design Checklist has been developed to assist designers in gathering pertinent information and making required calculations, which the DCIM reviewers will also be looking for when reviewing the scope reports and design documents. (see Electrification Project Scoping Guidelines – to be generated)
- Use the Building Electrification Field Report, Heat Pump Selection Matrix, and the Electrification Project Design Checklist.
- See appendix for Electrification meeting Matrix and attendee list (nw-add links)

1.3 **Field Report**

- Application
Field Reports are required for Building Envelope; Building Electrification & Heat Pump; or special projects as indicated by Director.
- Initial Site Visit / Investigation
Within **one week** from Scope Kick-Off Meeting, AEoR to schedule site visit/s with the custodial staff to perform room by room survey, document all exterior and interior collateral damage, and develop draft damage mapping survey and Interior active leak record.
- Field Report
Three weeks after the Site Visit, AEoR submits Field Report. This report shall include the following information. Click [here](#) for Templates.
 - Photos
 - Interior Active Leak Record Form
 - Preliminary Damage Mapping Drawings
 - Probe Request Sketches
 - NDT Request Sketches

DPM submits the Field Report to the DCIM Director, for review, with Staff Request and Assignment Form in PTS.
- DCIM On-Board Review
DPMs to schedule an On-Board review meeting with SCA DCIM reviewer and Design Team within **one week** of the Field Report submission. Changes to the proposed special testing (location and/or number of probes) can be made during or right after this meeting as agreed by all parties.

- Upon revising the report (if any), the Testing Request to be submitted immediately to STU for assignment.
- STU Service Requests
Consultant to submit STU Service Requests [NDT, Probes, Borings, Tests] **immediately and/or within 1 week.**
DPM to review and approve. DM to review and approve. DPM to check and ensure Status updates to 'STU Pending', then 'Assigned'.

1.4 **Draft Scope Report**

AEoR to use the BOT generated Scope Report template for the project. AEoR to verify the accuracy of the information provided. Sample CIP Scope Reports.

- If Field Report is not required, AEoR is to submit STU request (1.3.5,) within 3 weeks of scope Kick-Off Meeting
 - Draft Scope Report
AEoR to submit Draft Scope Report, in Word and PDF format. DPM to review Scope of Work included Recommended and Additional Items.
 - AU. If Accessibility project, follow the Accessibility in Existing Building Scoping Guidelines and Program Accessibility Process.
 - ZPPP. Check if scope will require a License Agreement in Design Phase. Confirm with CM PO and Inter-Agency department, for JOP or other city agency sites.
 - For projects located in a JOP or other city agency, prepare ZPPP during Scope Phase, following standard ZPPP process. Email A&E ZPPP Reviewer for review and approval, prior to sending to CM PO/Safety Officer.
 - Once accepted by CM, DPM to forward to Inter-Agency coordinator for submission to NYCPR.
 - Zoning Waiver. Check if scope will require a Zoning Waiver.
 - FDNY. For projects that require FDNY filing, a detailed C of O or detailed LNO is included as a supporting document for the Draft Scope Report or has been requested from DOB.
 - Reso A Projects. Confirm the principal's sign-off has been received for the scope of work proposed and the meeting minutes indicating the scope of work and signature are included in the Appendix.
 - DCIM Review
 - Upon receipt and review of Report, in PDF and DOC format, DPM to create SRAF in PTS. Filename Format: *BldgID_LLW#_Scope Report* i.e. Q095_L113884_Scope Report.
 - Email submittal with <J:\> Drive link to DCIM Review , for assignment of, and distribution to, DCIM Reviewers, for comments. Be sure to click the "NOTIFY" button in the lower right corner of screen, to Auto-Generate DCIM Notification.
 - Include CM PO/SPO in Email Notification and provide S Drive link to Submittal.
 - If PoT project, include Accessibility Unit for Reviewer.
 - If ADA project, Director to be invited to Review Process.
 - Once DCIM Reviewers are assigned, DPM schedules DCIM Review Meeting including AEoR, DM, CM PO/SPO, CM Construction Review.
 - DPM prepares/coordinates and attaches Review Line-up and Attendance Sheet.
 - For Reso A PoT reports, review is performed by Accessibility Unit only [not reviewed by DCIM]. This is usually done via Email.

- Quality Control Meeting
DPM forwards DCIM Review comments to AEoR. All review comments to be saved by DPM in the SCA Project Directory. Standard QC Review form is utilized to convey/record agreements reached at this meeting. AEoR shall respond to QC review items within 3 days of receipt before QC Meeting.
 - To occur 1 to 2 weeks after receipt of Draft Scope if, at the determination of the DPM/DM, there are comments or concerns requiring resolution. Refer to the SCA Procedural Guidelines for additional information on the Constructability Review Process and Quality Review Process.
 - DPM prepares QC Meeting Attendance Sheet. List all invited and mark 'x' on attendees. Save in PDF.
- Cost Estimate
 - Consultant to prepare Cost Estimate for the recommendations in the Scope Report using Cost Estimating System (CES/ProEst).
 - DPM to review Work Items and check against PTS \$ Allocation for the project. If Reso A, cost CANNOT exceed.
 - DPM to forward Prelim Scope CES to TSS Estimating Unit, for Review and Concurrence. Once concurred, Draft Scope Estimate must be finalized with the Final Scope Report and should match what is shown in Final Report.
 - Once all comments of CES TSS are addressed, DPM Forwards to CPM, to close the estimate.
 - CPM approval not required to Turnover Scope Report. CPM reviews Final Cost AFTER Scope Turnover and advises either to modify Scope/Cost or Proceed to Design.
 - Then, DPM concurs in CES, so report can be Final.
 - EXCEPTION: Cost Estimate for any Reso A project cannot exceed the authorized construction amount since there is NO allowance for contingency. CPM Approval required if Cost exceeds, prior to DPM concurrence in ProEst.
- ProEst Workflow
 - When the draft of the design estimate is completed and sent to the DPM station by the designer, the DPM is to forward the estimate in CES to the DCIM Estimating Manager station for review.
 - The Estimating Manager will have the estimating unit review and make comments.
 - The estimate is forwarded back to the DPM station. The DPM is to forward it back to the designer for corrections and/or make comments as to why they believe their units are correct.
 - The revised estimate is sent to the DPM's station from the designer. The DPM is responsible to send it back to the Estimating Manager station to confirm comments have been responded to. If comments have been addressed acceptably, the Estimating Manager will send back it back to the DPM with a note that the estimate has been 'Reviewed' for the DPM to Concur the estimate in CES. If the comments were not responded to satisfactorily, the DPM is to send to the designer for proper response.
 - After the DPM concurs the final estimate, they also need to forward it to CPM in a separate action to close the estimate.
- IEH Service Request
DPM to submit IEH Service Request – ACM/PCB [at a minimum] and HazMat, as applicable.

- CIP Project Design Review Watchlist and Scope [Turnover Checklist](#)
The Watchlist is to be shared by DPM with AEoR to familiarize the AEoR as to the SCA reviewers' items of concern. Click [here](#) to access CIP Building Envelope Review Watchlist.
AEoR to review and become familiar with Scope Turnover checklist (link to Scope Turnover Checklist)
- For Building Envelope, ensure compliance with [Scope Phase Review Watchlist](#).
- Roof Warranty
For roof replacement projects, ensure that roof warranty information was provided and the recommended roof to be replaced is not under warranty. If a roof under warranty is recommended to be replaced, satisfactory justification is provided, and prior authorization is obtained from Capital Plan Management
- Dept of Parks and Recreation (DPR) Notification
 - For projects with exterior work (i.e., playgrounds, athletic fields, excavations etc.) on or that affects a JOP or DPR. property, ensure DPR. was notified of the project and their concurrence to the scope of work was requested. Loop in Interagency Coordination
- [ZPPP Process](#)
 - For projects with work to the exterior of a building (building envelope, exterior elevators, etc.) where the ZPP line of exposure falls on a JOP or Parks Department Property, ensure a ZPP has been submitted to External Affairs for coordination and preparation of a license agreement.
 - For projects with exterior work where the exterior wall of the building is within 4 ft. or less from any side or rear adjoining property line (not the street line), ensure ZPP was prepared and forwarded to CM for license agreement initiation. For all other conditions, ZPP to be forwarded to CM within two weeks from the start of design phase.
- PAPS Preliminary Determination
 - Confirm if there is Artwork in the Existing Building. If Area of Work impacts Artwork, identify location and provide description/Size of Artwork. Ensure Contract Drawings have PAPS Instructions for Protection. Click here for [PAPS Procedure](#).
 - For schools with Artwork in the PAPS database, a meeting was held with the PAPS Unit. If affected by the work, the proposed protection and photos of the Artwork are included in the scope and submitted to PAPS.
- Preliminary Submittal to NYS Historic Preservation Office
AEoR to check whether or not the existing building is to be considered for SHPO review and its impact on the project via [CRIS](#). AEoR shall check if the buildings is in a Historic Districts. DPM to e-mail Draft Scope Report to SCA SHPO Liaison, for confirmation of SHPO Status, and notify AEoR accordingly.

Select [here](#) for SHPO Scoping Guideline

1.5 Review of FINAL Report (Pre-Turnover to CPM)

- Review and Approval

1.a.1 The consultant shall submit a compliance report to the DPM for review prior turning over the final scope report. The DPM will go over the report with the consultant.

1.a.2 Final scope reports are reviewed thoroughly by the DPM and DM, then approved by the Director, prior to Turnover to Capital Planning and reviewed by the rest of the Agency. To ensure that the scope reports are reviewed at the proper level of scrutiny, comply with new procedure below:

| Types of Scope Reports | Final Scope Report Reviewers | Final Scope Report Approvers |
|--|---------------------------------|------------------------------|
| All CIP w/ Const. Cost <\$10 Mil (except Program Accessibility) | DPM, DM | DM |
| All CIP w/ Const. Cost bet. \$10 Mil and \$20 Mil (except Program Accessibility) | DPM, DM, Director | Director |
| All Orange Projects (High Priority) | DPM, DM, Director | Director |
| All Program Accessibility < \$20 Mil | DPM, DM, Director | Director |
| All CIP and Program Accessibility w/ Const. Cost > \$20 Mil | DPM, DM, Director, Sr. Director | Sr. Director |
| All Electrification Projects | DPM, DM, Director, Sr. Director | Sr. Director |

- SHPO Review

DPM to email [SHPO](#) Liaison Final Scope Report, prior to CPM turnover for review and approval.

- Accessibility Review for POT project

DPM to email Accessibility Unit Final Scope Report, prior to CPM turnover for review and approval.

- NYCPR Review/JOP Approval

In order to expedite the review process of the ZPPP by the Parks Department for projects that are located on a JOP, please direct your consultants to prepare the ZPPP, if required, during the scope phase. The standard ZPPP process shall be followed; once the ZPPP has been accepted by CM, the DPM shall forward the ZPPP to Interagency Coordination for their submission to the Parks Department. Click [here for JOP Master List](#).

Click here for [NYCPR Consultant Resources Drive](#), for Standard Details, Specifications and Additional Information. This Drive is active and updated, as required.

If the project impacts DPR/JOP property, principal approval of proposed design is required. Once principal approval is received, NYCPR sign-off is required in form of Meeting Minutes with Attendance Sheet.

- [CIP and Reso A Scope Turnover Checklist](#)

Starting April 1, all scope reports that are being submitted as final for turnover will be required to be accompanied by a Scope Turnover Checklist, similar to what is required for design phase turnovers. This will help ensure that the Designer has included all the major elements in the report, which is also required to be concurred to by the DPM. In addition to the 'Reso A Field Report' template being renamed to '[Reso A Scope Report](#)', both CIP and Reso A templates have been revised to add several additional questions to Part A.

[Click here to access the Checklist Form.](#) The revised scope templates will be generated by the Scope BOT for the designers use. The Checklist will eventually be part of the documents included in the RPA CIP Scope Report folder when a project is created.

- Sharing Process

To avoid duplication of Scope Reports and ensure that the correct version is being shared with other departments/divisions, please follow the process/procedure indicated below.

1. DPM shall receive Scope Report from design consultant, whether by providing a OneDrive share folder or receiving a link from the design consultant's file transfer method (Dropbox, FTP, etc). Make sure the Scope Report is downloaded somewhere that can be accessed by File Explorer. Usually, the <Downloads> folder is fine.
2. After selecting <Show in folder>, <File Explorer> will open and display the contents of the <Download> folder.
3. Save the version of the Scope Report that needs to be reviewed the by Scope Reviewer to the <J:\Drive>:
J:\design\Boro\BldgID\DO#####\01-Scope\ScopeReview.
4. Once saved, the path can be copied and then pasted to an email to your DM.
 - **Please note:** J:\Design and S:\Design are the same directory/folder. A&E access is through the <J:\> drive letter. All other departments/division can access via <S:\> drive letter. Most non-A&E users have Read Only to certain folders. To avoid confusion, DPMs are to use <J:\design>
5. The Scope Reviewer(s) will make comments/edits to the PDF. DPM to coordinate with Design Consultant to make sure the comments/edits are incorporated. This may take additional uploads/downloads exchanges with the Design Consultant.
6. Once the Scope Approver has approved the Scope Report, with all review comments incorporated, DPM will move the final Scope Report to the appropriate folder and rename. The naming convention for the file shall be as follows:
BldgID_DO#####_ScopeReport_Final
 - BldgID = Building ID, i.e. K004
 - DO##### = Project Design Number, i.e. D019722
 - Filename: K004_D019722_ScopeReport_Final

Both the PDF and the WORD version of the approved Scope Report should be moved. It will be moved from:

J:\design\Boro\BldgID\DO#####\01-Scope\ScopeReview to J:\design\Boro\BldgID\DO#####\01-Scope

Final Scope Report (turnover to CPM)

Incorporate all finalized review comments from the Draft Scope Report. If requested by the DPM or DM, attend meeting(s) with reviewers to discuss comments and responses. Final Scope Report should match Final Cost Estimate numbers.

■

- IEH Submittal

Submit Final Scope Report, in PDF and DOC format, to the IEH Survey & Design Unit with an updated IEH Survey & Design Request in order to begin or continue (if already submitted at Draft Scope) the LBP, Asbestos & PCB (LAP) Survey. Save Service Request Email/PDF, for CPM Turnover.

The DPM can now do a Scope Turnover by sending an email to #PPMSCHEDULER with the link to the Final Scope Report on the J Drive. In addition, the DPM shall attach the following documents to the email:

- a. Scope Turnover Transmittal [create from PTS]
- b. Final Scope Cost Estimate [ensure estimate Status is FINAL]
- c. Scope Cost Summary of Recommendations [save as PDF section extracted from Scope Report]
- d. IEH Transmittal

The following individuals shall be copied on the email:

- a. DCMS Senior Director, DCMS Director
- b. DCMS Design Manager
- c. CPM CIP Senior Director (see appendix)
- d. CPM CIP Senior Manager (see appendix)
- e. SPO, PO
- f. SHPO Liaison if applicable
- g. Accessibility Unit (see appendix) *Only applicable for Program Accessibility Projects*
- h. Reso A Team [include Director of EA and EA Manager assigned to Borough]

See the following email as a sample to follow:



**NEW YORK CITY SCHOOL CONSTRUCTION AUTHORITY
ARCHITECTURE & ENGINEERING**

From: ROGERS, CIARA

Sent: Monday, October 17, 2022 2:06 PM

To: #PPMSCHEDULER <#PPMSCHEDULER@nycsca.org>

Cc: DEL PRADO, AILEEN; HARRIS, AUSTIN; ALBINSON, RON <RALBINSON@nycsca.org>; KAMINSKI, NICHOLAS <NKAMINSKI@nycsca.org>; REDELICK, MITCHELL; DONG, WILLIAM; CLARK, DWIGHT; DICKERSON, JAMES

Subject: SCOPE TURNOVER - P.S. 57 Full Program Accessibility (R057) D#21220

Good afternoon,

Attached are the SCOPE Turnover documents for the above project. This is a **SCOPE ONLY** project. Attached are:

- Scope Turnover Transmittal
- Final Scope Cost Estimate
- Scope Summary Estimate
- IEH Transmittal

The scope report is noted as **FINAL** and is located in the project folder below.

J:\Design\r\R057\D021220\01-Scope\R057_D021220_Final

Please let me know if you need anything else.

Thanks

Ciara

P: (718) 752-5876

C: (917) 935-2387

E: crogers@nycsca.org

- **Updating Scope Reports**

The approved Scope Report shall be used as a basis of work to be implemented during the Design Phase. Proposed deviations during the Design Phase must be submitted in writing and submitted to the DPM/DM for approval. Amendment of the Scope Report is strongly recommended to reflect any adjustments to scope approved during design or construction.

- If the Scope Cost Estimate is changed and/or a new LLW # is issued for the project. DPM to submit Turnover Transmittal AGAIN to ensure all additional items are captured in PTS.

Submission of Electronic Documents

[Certification Letters](#) are submitted by AEoR to CADD Unit, stating that all electronic formats of documents included in the Phase I submittal are compliant per SCA Agreement:

- FINAL Scope Report, in PDF and DOC format

- FINAL Scope Estimate of Construction Cost
- Phase 1 ATP-R

Statement of Adherence/Letter of Completion

Within 3 days of Final Scope Approval, AEoR submits a [CIP Scope Completion Notification](#), attesting to the development of the Scope Phase Submission according to all relevant SCA standards and requirements per AE Scope of Services applicable sections. DPM reviews, and if sufficient, emails all in Master Contact Form.

- PN Protocol: Distribution occurs before Scope Actual End Date OR within ten [10] business days of Scope Actual End Date. Distribution will not be measured against the Design Actual Start date and may occur after Design Actual Start date.
- CC: Principal Notification Inbox, A&E VP Confidential Assistant, ODC and DCMS Administrative Assistant.
- If scope impacts NYCPR/JOP property, principal approval of design is required. Once received, NYCPR sign-off required in form of Meeting Minutes with Attendance Sheet.

Notification to Proceed to Next Phase

If project is “Scope and Design Only” or in Ready to Forward, AEoR can proceed to Design Phase

If project is “Scope Only”, Authorization to Proceed to Design (Phase II) by Capital Planning must be received prior to commencing work in Design Phase.

- Upon receipt of ATP from Capital Planning, E-mail notification of acceptance of Scope Report (Phase I) is issued by DPM to AEoR. A Notification to Proceed to Next Phase (Phase II) may be conditional.
- DPM to ensure ATP-R is initiated for Design Phase, as applicable, in RCMS
 - If Final Scope Cost Estimate is Δ 20% of initial Construction Budget, notify RCMS Ops assigned to contract to amend Phase 1 ATP.

2.0 DESIGN PHASE IIA, IIB

Purpose

The Design Process (Phase 2) should result in a complete set of construction/contract documents for the Bid and Award Process. The AEoR shall have checked the documents for constructability, coordination and conformance to SCA standards and all regulatory agency requirements. The result of this phase is a Construction Documents package that is suitable for Regulatory approvals, bidding, permitting and for the construction of a building that meets all program, planning, design and technical objectives.

2.1 Project Assignment

- Notification of Project Assignment:
 - a. Consultant AEoR: If a project is tagged Scope Only, A&E waits for Capital Planning to authorize and proceed with Phase 2 Design. If project is Scope and Design only or Ready to Forward, Design Consultant can automatically proceed to Phase 2 Design work.
 - b. An e-mail notification by the DPM is addressed to the Design Consultant PM and/or Partner-in-Charge. The notification shall indicate the due date for the submission of the final contract documents. If for any reason the Consultant cannot meet the designated due date, the Consultant shall notify the DPM immediately so that a new schedule can be discussed.
 - c. The Consultant shall complete or update the Consultant Project Plan form indicating the names of the project team that will be assigned to the project and the design milestone dates. This form must be forwarded to the DPM within three (3) days of the project being assigned.
 - d. In-House AEoR: Subsequent to scope completion, a design schedule is prepared by the DM and distributed to all involved in the design phase of the project.
- Phase II /Design ATP-R
 - a. Upon Capital Planning notification, and after Design Kick-Off Meeting is Actualized in PTS, an ATP Request is routed for design phase basic services by the DPM and an ATP is subsequently issued to the consultant. The Consultant AEoR shall receive an email notification that an ATP has been generated for design phase basic services.
 - b. At the end of design, a revision to the design phase basic services fee may be required if there is a 20% variance (+/-) between the scope estimate, used to calculate the initial design phase basic fee, and the design estimate.
- Design Schedule:
 - a. Consultant AEoR: A Design Phase Log shall be updated weekly and emailed to the DPM to track the schedules of all the Consultant's projects in Phase 2. The timeliness of the submittal of this log shall be used as a criterion for evaluating the Consultant's adherence to schedule on the Consultant Performance Evaluation.
 - b. In-House AEoR: The assigned schedule is tracked and reviewed by the DM prior to the weekly studio progress meeting.

2.2 **Phase 2 Kickoff Meeting:**

Meeting is recommended to be held at the school to view the findings firsthand.

- For Reso A projects, Design Kick-off Meeting is mandatory, and the Principal or Custodian must be in attendance. The AEoR should present approved layout (for science labs, libraries, playgrounds, etc) which was signed off by the Principal during the Scope Phase.
- Design Kick-Off Meeting Agenda
DPM to request a CIP [Meeting Agenda](#) from the AEoR three days prior to the meeting day and distribute it to all invitees.
 - After the NTP email, DPM schedules with the Consultant the Design Kick-Off Meeting via Teams Meeting.
 - Attendees: Principal, Custodian, Consultant and Sub-Consultants, CM Team, PN Notification, A&E VP Confidential Assistant. If applicable, add: Reso A Team [include Director of EA and EA Manager assigned to Borough], ADA Team. Check Master Contact List!
 - Consultant prepares Meeting Agenda, for DPM review, approval and issuance with Meeting Invitation.
- Design Kick-Off Meeting
DPM to lead the meeting. DPM introduces the project and team, and Design Consultant presents.
 - AEoR reviews Scope of Work, as per approved Scope Report
 - AEoR should inform the school that the scope of work is limited to the work identified in the Capital Plan.
 - PN Protocol: Design Kick-off Meeting is NOT mandatory and may be waived by the Principal.
 - When no Design Kick-Off Meeting occurs, AEoR prepares and issues a [Design Notification](#) Letter. Distribution must occur within fifteen [15] business days of Design Actual Start Date.
- Design Kick-Off Meeting Minutes
AEoR prepares [Meeting Minutes](#) [CIP or Reso A template], for DPM review, approval and issuance to all in Master Contact Form, within three days of the meeting. DPM to distribute the minutes to all invitees.
 - PN Protocol: Distribution must occur within ten [10] business days of Design Kick-off Meeting Date.
 - Email Subject Format: PN-D000000 – *Design Meeting Minutes* Bldg ID X000
 - Attachments: Agenda, Minutes, Master Contact Form
 - Distribution: All Meeting Attendees/Master Contact List DPM, Design Manager, PO, SPO, Principal(s), Custodian]
 - CC: Principal Notification Inbox, A&E VP Confidential Assistant, ODC and DCMS Administrative Assistant.
 - Save PN Email and Update PPMs
- Phase II /Design ATP-R
Once Kick-Off Meeting date is Actualized in PTS [via email notice], DPM to request ATP-R for Design Phase for Design Consultant.

2.3 Filings and Applications

- **Specialty Testing**
The request to secure service for surveys, boring tests and probes should have been initiated during Phase 1. If not, this should be done immediately after commencement of the Design Phase.
- **Zone of Public Protection Plan**
Projects in the design phase where the ZPPP is required must be submitted to CM within 3 weeks of the Design actual start, with the initial area of influence based on the standard details (half the building height from the building face or pipe scaffolding as applicable).
 - If work is interior and/or does not require scaffolding, and/or does not impact sidewalk/neighbors, then ZPP is NOT required.
 - Check if [Licensing Agreement](#), is required.
 - Check if adjacent to [Jointly Operated Playground \(JOP\) Sites](#).
- **FDNY Filing and Tracking**
Initial FDNY Filing must be made within 4 weeks after Design starts. See FDNY Filing process to obtain from IEH FDNY ACP-5 and FDNY tracking.
- **Detailed SHPO Submission:**
In the event that SHPO determines that the building is SHPO Eligible and a Detailed SHPO Submission is required for the project scope of work, the AEoR shall complete and provide the DPM/DM with the required documentation (See [Detailed SHPO Submittal Procedures](#))..
- **NYCPR**
AEoR to initiate Application/Submission for Tree Removal and/or Plantings, if applicable. Click here for [NYCPR Tree Planting Standards](#).
 - Click here for [NYCPR Tree Work Permit and Building Plan Review Applications](#).
 - If you cannot plant on-site, click here for [NYCPR Parks Tree Fund](#) Instructions.
 - Click here for [NYCPR Consultant Resources Drive](#), for Standard Details, Specifications and Additional Information. This Drive is active and updated, as required.
 - If CIP work impacts adjacent NYCPR/JOP, principal approval of design is required. Once received, NYCPR sign-off is required in form of Meeting Minutes with Attendance Sheet.
- **Zoning and Egress Filing**
Where applicable, DPM ensures that AEoR files the Zoning and Egress documents with BCC, prior to submission of the Zoning Override Letter. See [Section 14.6](#) for Additional Information.

- Zoning Waiver Request / Zoning Override Letter
Immediately after BCC approves the Zoning Waiver drawings (and indicates “OK to Forward” in the BCC System), the AEoR prepares a [Zoning Waiver Request](#) (ZWR) package.
- PAPS Coordination
Confirm if there is Artwork in the Existing Building. If Area of Work impacts Artwork, identify location and provide description/Size of Artwork. Ensure Contract Drawings have PAPS Instructions for Protection. Click here for [PAPS Procedure](#).

2.4 **50% Contract Documents Submission**

- Drawings and Specifications
50% submission [Drawings and Specifications TOC must show approved scope of work and establish the level of documentation anticipated in the Final Construction Documents. These should reflect the intention of the work to be performed and conformance with the Scope Report.
 - Drawings and Specs should have Thumbnails, matching Drawing Number / Spec Section.
 - Based on the budget & complexity the of the Reso A projects, the 50% Submission may be waived by A&E Director. However, submit 90% CDs to IEH, for inclusion in 100% CD submission.

Upon receipt of a complete set of documents, DPM distributes construction document sets to all assigned reviewers for comments.

- DPM to create SRAF and email with link to Submittal to DCS, including CM team, for assignment of, and distribution to, DCS Reviewers, for comments. Review comments are submitted per SCA review format within 5 working days to DPM. AEoR shall respond to QC review items within 3 days of receipt.
- Once DCS Reviewers are assigned, DPM schedules DCS Review Meeting and prepares/coordinates Review Line-up. QC meeting shall be scheduled to allow the reviewers 2 working days to review the AEoR responses.
- DCIM Review
Upon receipt of 50% CDs, in PDF, DWG and DOC format, DPM to create SRAF in PTS. Filename Format: Q095 L113884 50% Contract Drawings, Q095 L113884 50% Contract Specifications TOC, Q095 L113884 50% Electrical Calculations.
 - Email with J Drive link to Submittal to DCIM, for assignment of, and distribution to, DCIM Reviewers, for comments. DPM to list all disciplines that require review, which may include FMSI, OFNS, Vertical Transportation and AU as required.
 - Include CM PO/SPO in Email Notification and provide S Drive link to Submittal.
 - Once DCIM Reviewers are assigned, DPM schedules DCIM Review Meeting including AEoR, DM, CM PO/SPO and PoT/ADA reviewers, where applicable.
 - DPM prepares/coordinates and attaches Review Line-up and Attendance Sheet.

- FMSI Reviewers
 - For projects with HVAC controls, HVAC Controls reviewer required. Any project that has DDC controls (incorporating either Sections 15970, 15971 or 15975) must be reviewed by the TSS. For CIP Electrification projects or full BMS replacements, they are reviewed at 50% and 100%. The compliance set needs to be reviewed by TSS so they can check whether the comments have been incorporated.
 - When controls review is selected in PTS, select TSS Discipline Manager
 - Projects requiring Commissioning. .

- Quality Control Meeting
1 to 2 weeks after receipt of 50% submission (if required).

Projects over \$3.5 million will require full Quality Review at 50% [aka Mid-Design] submission. At the discretion of the DPM or Design Manager, projects under \$3.5 million may be reviewed at 50% based on the project's complexity. The mark-ups and type-written responses to comments shall be returned with the resubmission of the documents.

DPM forwards DCIM Review comments to AEoR.

DCIM Quality Review Comments form is utilized to convey/record agreements reached at this meeting. AEoR shall respond to QC review items within 3 days of receipt before QC Meeting. [Constructability Review Process and Quality Review Process](#).

- To occur 1 to 2 weeks after receipt of Submittal.
- DPM/DM to generate QC Meeting Attendance Sheet from TEAMS and save as a PDF, after the meeting and save in project folder/directory .
- For Building Envelope, ensure compliance with [Scope Phase Review Watchlist](#).
- Cost Estimate
A detailed cost estimate is to be provided by AEoR. Cost estimate to be prepared using the Authority's Cost Estimating System (CES). Cost estimate to be reviewed and approved by the Cost Estimating Unit. The cost estimates are due with of the Phase Submission.
 - If the cost estimate for any LLW# is over the scope estimate by 20% or as directed by DPM, the AEoR shall provide written justification for the increase.
 - Click [here](#) for CES Workflow, CIP.
- FF&E Processes
 - For IPDVS projects, FF&E coordinates with A&E and CM on the design, procurement, installation, and training for such systems. Along with DOE's school safety representatives. Principal's approval is also required for final camera location(s)..
 - For Department of Education pass-through projects, FF&E handles the relevant paperwork for the procurement of items. These projects are typically managed and overseen by DSF, who also oversee delivery.

- For building maintenance equipment, FF&E works closely with DSF to select potential items, and the building custodial staff chooses the final items.
- For projects that require Furniture, i.e. Library upgrades, Science Labs, etc. copies of the drawings shall be forwarded to FF&E for their review and preparation of their cost estimates.
- Room Numbering Signage System
For capital improvement work involving new and altered spaces in existing buildings or accessibility projects, symbols and directional signage shall be provided as required by SCA DR 1.3.1.4 and 1.3.1.5, for DPM review and approval. The Signage Schedule shall be included in the 50% submission and submissions thereafter.
- Mid-Design Notification
AEoR shall complete the CIP [Design Phase Update](#) Form, which is a letter that describes the progress of the project, approximately half-way through the design phase, for DPM review, approval and issuance to all in Master Contact Form, within five business days of 50% CD Submission. Refer to Notification Process Guideline (spreadsheet)
 - Attachments: Design Update Form, Master Contact List
 - Distribution: All Meeting Attendees/Master Contact List [DPM, Design Manager, PO, SPO, Principal(s), Custodian]
 - CC: Principal Notification Inbox, A&E VP Confidential Assistant, ODC and DCMS Administrative Assistant..
 - Save Email and copy of notification in Project folder

2.5 90% Contract Documents Submission

- IEH Submission
 - DPM to submit IEH Service Request – ACM/PCB and HazMat, as applicable – in EnFo.
 - AEoR to submit design drawings – in PDF and DWG format - to IEH when design is developed to the extent that the type and locations of ALL area of work are identifiable.
 -
 - IEH ACP-5 submissions, ASB-4 and/or Asbestos Free Letters should be submitted to indicate that asbestos abatement is not required. For IEH HazMat projects, see filing requirements.
- BCC Filing
AEoR shall submit initial BCC filing though DOB Now. All Work Types shall be included in that initial filing.
 - If the AEoR deems the scope of work for the project to be exempt from filing with BCC, a [Permit Exemption Certification Letter](#) must be signed and sealed and forwarded to the SPO for the project. Be advised that the work that is exempt should be filed if the contractor will need to obtain an 'After Hours' work permit from the DOB.

- Submission to Estimating (for In-house projects)

2.6 100% Contract Documents Submission

- Drawings and Specifications

100% submission [Drawings and Specifications TOC] must show approved scope of work and establish the level of documentation anticipated in the Final Construction Documents. These should reflect the intention of the work to be performed and conformance with the Scope Report.

Upon receipt of a complete set of documents, DPM distributes construction document sets to all reviewers for comments.

- DPM to create SRAF and email with link to Submittal to DCS, including CM team, for assignment of, and distribution to, DCS Reviewers, for comments. Review comments are submitted per SCA review format within 5 working days to DPM. AEOR shall respond to QC review items within 3 days of receipt.
 - Once DCIM Reviewers are assigned, DPM schedules DCS Review Meeting and prepares/coordinates Review Line-up. QC meeting shall be scheduled to allow the reviewers 2 working days to review the AEOR responses. (nw-review Procedure to see in that is mentioned)
 - Any project that has DDC controls (incorporating either Sections 15970, 15971 or 15975) must be reviewed by the FMSI. For Capacity projects or full BMS replacements, they are reviewed at 60% and 100%. The compliance set needs to be reviewed by FMSI so they can check whether the comments have been incorporated. When controls review is selected in the system, Dean Spyropoulos of CTI will get the notification and arrangements for him to get the needed file can be made. The turnover checklist requires verification that all FMSI comments have been incorporated. Mark Turnover Checklist accordingly.
 - If an LLW# is added to Scope of Work, Capital Planning should update PTS. DPM should advise TSS/ProEst and BCC to update the Project Information accordingly.
- DCIM Review and Quality Control Meeting
 - Upon receipt of 100% CDs, in PDF, DWG and DOC format, DPM to create SRAF in PTS. Filename Format: Q095 L113884 100% Contract Drawings, Q095 L113884 100% Contract Specifications, Q095 L113884 100% Electrical Calculations.
 - DPM to email J Drive link of the Submittal to DCIMS, for assignment of, and distribution to, DCS Reviewers, for comments. DPM to list all disciplines that require review, which may include Commissioning; FMSI, OFNS, Vertical Transportation and AU. .
 - Include CM PO/SPO in Email Notification and provide S Drive link to Submittal.
 - Once DCS Reviewers are assigned, DPM schedules DCS Review Meeting including AEOR, DM, CM PO/SPO and PoT/ADA reviewers, where applicable.
 - DPM prepares/coordinates and attaches Review Line-up and Attendance Sheet
 - 50%, 100% and any other subsequent submissions as deemed required by the DM
 - FMSI Reviewers
 - For projects with HVAC controls, HVAC Controls reviewer required. Any project that has DDC controls (incorporating either Sections 15970, 15971 or 15975) must be reviewed by the FMSI. For CIP Electrification projects or full BMS replacements, they are reviewed

- at 50%, 100% and any other subsequent submissions as deemed required by the DM needs to be reviewed by FMSI so they can check whether the comments have been incorporated.
 - When controls review is selected in PTS, select TSS Discipline Manager, so he can assign the FMSI project, based on type and complexity, to either CTI or EME. They will get the notification and arrangements for them to get the needed file can be made.
 - CM PO to submit to DPM the general requirements and phasing information [phasing plan, site safety and security, construction duration, etc.] based on the 100% Design Documents, to ensure inclusion in Final Cost Estimate of Turnover package.
 - [The Turnover Checklist](#) requires verification that all FMSI comments have been incorporated.
 - For projects with Energy Code Compliance, including Lighting, Commissioning reviewer required. In SRAF, select Others and manually enter Discipline.
- Quality Control Meeting
1 to 2 weeks after receipt of 100% submission (if required).

DPM forwards DCIM Review comments to AEOR. All review comments to be saved by DPM in the SCA Project Directory.

Standard QC Review form is utilized to convey/record agreements reached at this meeting. AEOR shall respond and submit to DPM/DM to QC review items prior to QC Meeting.

- To occur 1 to 2 weeks after receipt of Submittal, if, at the determination of the DPM/DM, there are comments or concerns requiring resolution. Refer to the SCA Procedural Guidelines for additional information on the [Constructability Review Process](#) and [Quality Review Process](#).
 - DPM prepares QC Meeting Attendance Sheet. List all invited and mark 'x' on attendees. Save in PDF.
 - After QC review; if DM deem if warranted AEOR to submit revised submission for subsequent review.
- Cost Estimate
A detailed cost estimate is to be provided by AEOR. Cost estimate to be prepared using the Authority's Cost Estimating System (CES). Cost estimate to be reviewed and approved by the Cost Estimating Unit. The cost estimates are due with the 100% Submission (For DCMS & PAS only).
 - IEH to provide the IEH consultant cost estimate for hazardous material removal to the DPM, who will forward this information to AEOR/Estimator. Unique project phasing costs and hazardous materials costs shall be identified and quantified.
 - ACM Estimate should match Final Report less Air Monitoring.
 - DPM to verify that IEH ACM \$, FFE \$, Allowance \$ and Provisions \$ are all accounted for.
 - For CIP or Reso A projects with an F&E component, the F&E specialist will provide a cost estimate at the 100% design milestone.
 - Click [here](#) for CES Workflow, CIP.

- FF&E Processes
 - For IPDVS projects, FF&E coordinates with A&E and CM on the design, procurement, installation, and training for such systems. Along with DOE's school safety representatives. Principal's approval is also required for final camera location(s).
 - For Department of Education pass-through projects, FF&E handles the relevant paperwork for the procurement of items. These projects are typically managed and overseen by DSF, who also oversee delivery.
 - For building maintenance equipment, FF&E works closely with DSF to select potential items, and the building custodial staff chooses the final items.
 - For projects that require Furniture, i.e. Library upgrades, Science Labs, etc. copies of the drawings shall be forwarded to FF&E for their review and preparation of their cost estimates.
- Capital Planning Approval and Authorization to Proceed
 - If Project is Scope and Design Only, DPM should forward to Capital Planning Senior Director for review and approval BEFORE proceeding to Turnover. Meanwhile, DPM can concur with Cost Estimate to generate Final Cost Estimate.
 - If Cost Estimate is changed and/or a new LLW # is issued for the project, DPM to notify Capital Planning, to ensure all additional items are captured in PTS.
 - If project is in Ready to Forward status, project can proceed to Turnover.

2.7 **Final Contract Document Submission/TOBSS Upload**

DPM to perform compliance review of complete and coordinated drawings and specifications, incorporating all previous SCA comments, and complying with current SCA Design Standards and latest Bulletins. DPM to confirm CM has provided information/edits to Division 1 specification sections

- Documents will not enter the Bid Phase (turnover to CM) until all outstanding items (All comments from reviewers) have been addressed satisfactorily and Regulatory approvals have been obtained.

AEoR to prepare and upload to TOBSS contract drawings, specifications and supporting documents one week before Turnover Date to allow for DPM review, prior to actual turnover to CM.

AEoR to ensure the PDF Filename of all Drawings and Specifications comply with TOBSS standards. Please refer to [Turnover Checklist](#).

AEoR & DPM to verify any cost estimate has not been included in any documentation, other than the Cost Estimate in CES and allowances.

- *Prefix Drawings sequentially, to match Drawing List i.e. 01 T001.pdf*
 - *If you have more than 100 sheets, prefix with 3 digits i.e. 001 T001.pdf*
 - *If you have more than 1000 sheets, prefix with 4 digits, i.e. 0001 T001.pdf*
- *Specs filename to be Spec Section Number*
 - *Rename: 00000 TOC and 00000 Cover*

Drawings

- Revisions section of the Title Block to be marked *[blank]* mm/dd/yyyy [Turnover Date] **ISSUED FOR BID**.

| 00/00/200x ISSUE FOR BID | | |
|---------------------------------|------|----------|
| No. | Date | Revision |
| Key Plans: | | |

- Ensure current SCA Title Block is used. Date on Title Block to be **00/00/00** [Turnover Date]. Turnover date is to match the date used at the revision section.

| | | |
|--------------------------------------|-----------------------------|----------------------------|
| Checked by: | | |
| Design No or LLW No: D1234 | Building ID: XXXX | Date: 00/00/200x |

- Cover: Indicate all Design Numbers, LLW Numbers and Project Description.
- Ensure compliance with BCC Comments, DCIM Comments
- Ensure IEH Drawings are included.

Specifications

- Cover: Indicate all Design Numbers and Project Description.
- Table of Contents.
 - Date to be **00/00/00** [Turnover Date].
 - Indicate all Design Numbers in Header.
 - Ensure it has 'END OF TABLE OF CONTENTS' on the last page of the Table of Content.
- List of Drawings. Indicate Turnover Date for each Drawing. Drawing Names Titles must match as listed in the T-series of drawings.
- Applicable Division 1 Sections, shall be revised as per CM edits.
- Ensure IEH Specs are included.

Supporting Documents

- BCC Approval or Waiver/[Permit Exemption Certification Letter](#) and any other regulatory approvals.
- 100% QC Meeting Attendance - Teams Meeting Record [Upload c/o DPM]
- Final IEH ACM/PCB Documents - Specs and Drawings
- Final IEH HazMat Deliverables – Specs and Drawings, where applicable
- FDNY Approval Letter
- Master Submittals List for Closeout

- Final APPROVED Turnover Cost Estimate (status on the estimate report must read as “Final”). Check ACM/PCB cost. Check Allowances, Provisions – Fire Watch, Special Site Conditions, etc.
- [Project Turnover Checklist](#) – . Once completed, please email to DPM, for concurrence. Upload c/o DPM
- CSI Code Table [Upload c/o DPM] – AOR to provide Turnover Spec Table Contents
- Turnover Cost Summary [Upload c/o DPM]
- PTS Project Turnover Transmittal [Upload c/o DPM]

- *Packaging PoT Projects*

Once the ADA Director approves a Path of Travel Report, the project should proceed to design and the PoT project should be “packaged” with the parent project. Packaging a PoT project with the CIP or Reso a parent project involves the following:

- *The design drawings and specifications related to the PoT work must be included in the set of drawings for the parent project.*
- *The Design#s and LLW#s for both the parent project and PoT project must be included on the Title Sheet as well as on the title block of each drawing and each specification page.*
- *The cost estimates must be prepared separately for the parent project and for the PoT project.*
- *Separate turnover transmittals must be prepared for both the parent project and the PoT project.*
- *All drawings and specifications must be uploaded in TOBBS under the parent project D#. The turnover transmittal with the cost estimate for the parent project only must also be uploaded in TOBBS under the parent project D#.*
- *The turnover transmittal with the cost estimate for the PoT project only must be uploaded in TOBBS under the PoT project D#. The PoT turnover transmittal with the cost estimate will be the only item located under the PoT D# in TOBBS.*

- *Packaging CIP Projects*

Oftentimes, multiple projects are being designed for a particular building at the same time, each under its own D#, sometimes by multiple consultants and sometimes by a single consultant. Sometime during the design process, CM and A&E may elect to “package” the two projects together, so that the projects are bid and awarded to one single contractor. This is an Additional Service.

The following outlines the procedure for packaging CIP Projects.

- *Drawings. Each project will have its own set of drawings. There will be a T001-A which will be common to both sets and will have all D#s on it. Each set will be uploaded into TOBSS under their specific D#. T001-A will be uploaded only under the D# with the highest estimate.*
 - *However, If the project is assigned to a single consultant, the consultant may elect to combine both Design #’s into one set of documents. In this instance, the drawings should be uploaded into TOBBS under the D# with the highest estimate.*
- *Specifications. Each project will have its own set of technical specifications. There will be one combined Division 1 - General and Supplementary Requirements and this division should be uploaded into TOBSS under the D# with the highest estimate.*

- However, If the project is assigned to a single consultant, then the consultant may elect to combine both Design #'s into one set of documents. In this instance, there will be one combined set of specifications and should be uploaded into TOBSS under the D# with the highest estimate.
- Division 1 should have the D#s of all bundled projects listed on them. Specific sections should have the D# of the related project on them.
- **Supporting Documents.** Supporting documents for each project should be separate and be uploaded under their specific D#, unless both Design #s are being combined into one set of documents. See list above.
- **Turn Over Transmittal.** For now, each project should have its own transmittal and CSI sheet. These should also be uploaded under their specific D#s.
- **Packaging CIP Projects with Capacity Project**
This is an Additional Service.

The following outlines the procedure for packaging CIP Projects.

- **Drawings.** Each Design # will have its own set of drawings, designated by Volumes. Volume 1 and 2 will be the Capacity project. Subsequent Volumes will be the CIP projects, added to it. Fire Alarm should have its own Design # and Volume designation.
 - There will be a T000 Cover that lists all Volumes, indicating Design #s and LLW #s. Subsequent T drawings should have letter suffix matching the volumes ie Volume 1 suffix is 'A', Volume 2 suffix if 'B' etc.
 - Drawing List of Volume 1 should include the ENTIRE set. Drawing List of subsequent volumes will list the drawings in that volume only.
 - General Information of Volume 1 should include the ENTIRE set. General Information of subsequent volumes will list the drawings in that volume only. This includes Summary of Work, Notes [General/Building Department], Allowances, Provisions, Special/Progress Inspections.
 - All drawings are to be uploaded into TOBSS under the main Capacity project folder.
 - CIP TOBSS folder to contain the following only: PTS Turnover Transmittal, Final Cost Estimate and TOBSS Project Turnover Checklist.
- **Specifications.** There will be ONE Specification Book for the entire package.
 - The Cover should indicate all the Design #s and LLW #s. The header should indicate all the Design #s and/or LLW #s.
 - Division 1 Sections should cover all requirements of ENTIRE set, indicating New or Existing Building, as applicable, or Design #s and/or LLW #s.
 - For other Divisions indicate in Description of Work, to which D# or LLW# the Spec is applicable. Otherwise, it is considered applicable to ENTIRE package.
- **Supporting Documents.** Supporting documents for each project should be separate and filename should indicate specific D# or LLW#, unless it applies to ENTIRE package. This includes BCC/FDNY filing approvals, QC Meeting Attendance, ACM/PCB reports.
 - Cost Estimates shall be created under each D# or LLW #.
- **Turn Over Transmittal.**
 - Each D# or LLW# should have its own PTS Turnover Transmittal.

- *Project Specific D# or LLW# Cost Estimate.*
- *There will be one Master Submittals List for Closeout, Project Turnover Checklist, CSI Code Table and Turnover Cost Summary.*

2.8 **Turnover to Capital Planning**

DPM to email PPMSCHEDULER to Turnover with the following documents, and confirm the project was 'Forward to CM' or "Ready to Forward in TOBSS:

- Design Turnover Transmittal [create from PTS]
- Design Turnover Cost Estimate [ensure estimate Status is FINAL]
- Design Turnover Cost Summary
- Design Turnover CSI Code Table

The following individuals shall be copied on the email:

- DCMS Senior Director, DCMS Director
- DCMS Design Manager
- CPM Senior Director
- CPM Senior Manager
- SPO, PO
- Accessibility Unit *Only applicable for Program Accessibility Projects*
- Reso A Team [include Director of EA and EA Manager assigned to Borough] Only applicable for Reso A projects.

DPM to notify Ops/RCMS if Final Turnover Cost Estimate is \pm (nw-delta symbol) 20% from Initial Design ATP, to amend ATP for Phase 2.

2.9 **Submissions of Electronic Documents**

[Certification Letters](#) are submitted by AEoR to CADD Unit, stating that all electronic formats of documents included in the Phase II submittal are compliant per SCA Agreement:

- FINAL [Bid] Drawings and Specification
- FINAL Estimate of Construction Cost
- Phase II ATP-R

2.10 **Statement of Adherence**

At the end of the Construction Document Phase 2, the AEoR submits a signed [Statement of Adherence](#). The statement shall be in the form of a letter on the Consultant's letterhead, signed by the Partner or Officer in Charge, addressed to the SCA and attest to the development of the 100% documents according to all relevant SCA and Regulatory standards and requirements, for the record.

2.11 **Certificate of Completeness**

At Turnover Documents, the AEoR submits a [Certificate of Completeness](#). The statement shall be in the form of a letter on the Consultant's letterhead, signed by the Partner or Officer in Charge and attached to the submission and be addressed to the SCA.

The Design Phase of a project is deemed complete when the Final Contract Documents are 'Turned Over' to CM by the DPM/DM for Bid and Award and all other required Design Phase Submittals are provided and approved by the DPM/DM. However, services during the Bid & Award phase, described below, are also considered part of Phase 2.

2.12 **Notification to Proceed to Next Phase**

DPM to issue to the AEoR an E-mail of acceptance of each phase of Construction Documents (100%, Compliance, Bid set) and [Notification to Proceed to Next Phase](#), with certain conditions. If applicable. Documents will not enter the Bid Phase (Turnover to CM) until all outstanding items have been addressed satisfactorily and Regulatory approvals have been obtained.

DPM issues ATP for the next Phase, as applicable, upon issuance of NTP to Construction.

2.13 **Refresh Protocol – when required**

If Design Completion date has exceeded 4 months and in A&E Station and authorized for Turnover, the DPM to initiate a NOA. The following items will be required to be updated:

- Site visit shall be required address any changes to the existing conditions. If a new Capital Category is found to be deficient a Field Report will need to be submitted to CPM for authorization.
- Cost estimates
- Contracts Documents to incorporate applicable TSS Bulletins issued after Design Completion date
- BCC Filing – Jobs in DOBNow do not expire, and do not require reinstatement. If the design has changed, an amendment should be submitted. Otherwise, no further action is required.
- Reinstatement letters are not required for projects that obtained BCC approval one year or more ago and are being prepared for turnover to CM. If there is a change to the design due to scope of work change or due to a retroactive code requirement after the issuance of the BCC approval, then an amendment will need to be filed with BCC. Otherwise, the BCC approval stands and the project can be turned over to CM without a reinstatement letter being submitted to BCC. If no change has been made to approved document, Reinstatement Letters are not required.
- IEH Reports – If no change has been made to approved document, no refresh is required. Unless IEH updates their standards or design changes subsequent to initial Design Completion.

DPM submits current Turnover Transmittal to #PPM Scheduler, CPM, CM Team, A&E Team.

3.0 BID AND AWARD PHASE IIC

Purpose

The A&E Design Team with SCA Managers remains fully involved during the pre-bid and bid/award phases by providing clarifications of the plans and specifications from potential bidders; and documents changes of Construction Documents in the form of Addenda to CDs. Preparation of an updated cost estimate, review of the apparent low bidders' cost breakdown and preparation of bid analysis for projects with cost estimate variance of more than 10% (above or below project cost estimate), are required for the final selection of the lowest responsive bidder.

During the Bid/Award Phase, the AEOR shall render the following services:

- Interpret plans and specifications and answer RFIs in a timely manner.
- Prepare and issue addenda, amendments and supplementary drawings for the clarification of plans and specifications.
- Attend pre-bid meetings / walk through of bidders.
- Review bid breakdown and prepare a [Bid Analysis](#) comparing the low bid and the design estimate for cost estimate variance of more than 10% (above or below project cost estimate) from the lower bidder estimate
- Attend pre-award meetings with SCA (contract admin, A/E and CM) and lower bidder.

3.1 Project Management during Bid and Award Phase

After the Contract Documents has been successfully turned over to the Project Officer, the A&E Team (DM/DPM) moves from a leading role to a supporting role of the project, monitoring the day-to-day operations in conjunction with the AEOR and sub-consultants. This phase is comprised of the following two major effort periods.

- Post Turnover to Advertisement (Select here for [Advisory document for Post Turnover Activities](#))
- Post Bid Opening to Award (Select here for [Procedural Guideline 4.3.1 Bid Analysis & Reconciliation Procedure for Capacity and CIP Projects](#)).

Preparation for The Contract Administration Department (CA) schedules the pre-bid meeting/walkthrough approximately 2 weeks after the bid documents have been advertised. The AEOR and sub-consultants shall attend this meeting/walkthrough. The AEOR shall only describe the SoW and shall not answer any question that the bidders may have in the field

3.2 Bid RFIs

After the walkthrough, the bidders shall send their questions (RFIs) to the Contract Admin (CA). The Contract Admin (CA) forwards the RFIs to the DPM/DM and the AEOR. The AEOR shall provide written responses to Bid RFIs within 24hrs of receiving the RFI. AEOR shall provide associated with revised drawings and narrative, as needed. The Contract Admin (CA) issues addenda to the bidders.

3.3 Final Cost Estimate before Bid Opening

The consultant is to provide a single comprehensive Final Cost Estimate in Cost Estimating System (CES-ProEst) that incorporates the original Bid Set of documents, including all Addenda that have been issued during the Bid phase once SCA A&E, CM and CA have agreed that the last addendum has been issued (usually 1 or 2 days prior to the Bid Opening Date). The DPM/DM shall review revisions made and then forward the estimate to the SCA Cost Estimating Unit for review. The DPM forwards the estimate to the CPM, CM, A&E, CA, DCIM and Director of Life Cycle Management. This must all take place before the actual Bid Opening occurs.

3.4 During Post Bid Opening Date until Project Award

The DM/DPM shall prepare or have the Consultant prepare the following:

- Final Bid Documents Set:
- It is essential that Consultants and DPM each need to obtain a full set of Bid Documents (including all Addenda) as issued by the SCA. The consultant can obtain these documents by downloading them from the SCA website (Bid-Set website). **The DPM shall ensure that the latest complete set of contract documents (Drawings & Specifications including all addenda) are in the project folder in J-Drive.**
- Bid Breakdown Review:
Upon request from CA, the DM/DPM team shall instruct the AEoR to prepare a Bid Breakdown Review, an Analysis of the apparent low bidders cost breakdown vs. the final cost estimate.

The lowest responsive bidder will be requested to provide a [Bid Breakdown](#) to CA. AEoR will analyze low bidders cost breakdown and provide analysis to TSS Chief Cost Estimator for review. Consultant to identify major discrepancies between bid estimate and project estimate by the AEoR, and provide possible reasons for the differences. (Click Select here for [Procedural Guideline 4.3.1 Bid Analysis & Reconciliation Procedure for Capacity and CIP Projects](#)).–Select here for Bid Breakdown Analysis template.

3.5 Pre-Award Meeting

CA will call a pre-award meeting to discuss variances between final estimate and lowest bid. The DM/DPM & AEoR team including consultants' estimator, CM, CA and A&E shall attend. This meeting shall be chaired by CM to address the results of the Bid Breakdown Analysis And discuss the SoW with the lower bidder to make sure everything is clear and understood.

3.6 Project award:

The CA shall send the pre-award meeting results to the Vice President of the CM. The VP of the CM shall review. If the VP of the CM agrees, then he sends an email approval to award the project to the respective lower bidder

4.0 CONSTRUCTION ADMINISTRATION PHASES IIIA

Purpose

DCMS is tasked with Construction support (Phase IIIA) and the responsibility to assure that the building constructed meets the Contract Documents. The AEoR leads as the coordinating entity among sub-consultants; reviewing submissions and monitors compliance with CDs and/or the need for changes to maintain the original program and client needs. When requested by the SCA, DCMS through the AEoR designates a Field Representative (Phase IIIB) as a full-time presence to guide and respond to all A&E related inquiring in the field.

AE Contract Agreement Requirements

For Consultant design projects, refer to the Consultant Contract for what is considered Basic Services and what is to be paid as Additional Services. If there are any conflicts between this section and the terms of the Consultant Contract, the Consultant Contract shall govern. All parties are required to follow the criteria in the applicable [Scope of Services Section Appendix A of the AE Consultant Services Agreement](#).

Reference Materials and Standards

DCMS shall provide instruction to each selected AEoR to review and follow latest [SCA Design Standards](#), which include all project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards and Standard Specifications and Details).

Instructions to DM/DPM's

Sequential listing of Standard Procedures and Forms used during these phases are listed below. DM/DPM teams and designated AEoR are required to review and follow the most updated SCA Standards and latest Bulletins to Standards. Click here for [CAMP Guides](#).

4.1 Project Assignment

- Notification of Project Assignment:
 - a. Consultant AEoR: An e-mail notification by the Design Project Manager (DPM) is addressed to both the Consultant Project Manager and/or Partner-in-Charge. The notification shall indicate the date for commencement of Phase III Services. The Consultant shall complete the Project Plan form indicating the names of the project team that will be assigned to the project during the Construction Phase. This form must be forwarded to the DPM within three (3) days of the project being assigned.
 - b. In-House AEoR: Subsequent to award of the construction contract and Contractor Notice to Proceed, a construction phase schedule is prepared by the DM and distributed to all involved in the construction phase of the project.
- Authorization to Proceed (ATP) to Phase III Services:
 - a. The Consultant AEoR shall receive an email notification that ATP has been generated for the project. A&E needs a copy of the Contractor's NTP to generate the Consultant ATP.

4.2 Pre-Construction Meeting

Upon award of the construction contract by CM, a Pre-construction meeting is scheduled by CM; DM/DPM; Commissioning, GSG liaison and AEoR (& sub-consultants) are to attend this meeting. Items to be discussed and addressed at this meeting are the project schedule, introduction of key project team members, information routing protocols, Green Submissions and updated Filings and approvals. The DPM is responsible on reporting on open Filings, and the AEoR AP representative on open GSG items. The SCA Community Liaison shall also attend to discuss neighborhood concerns.

4.3 Pre-construction GSG Meeting

Upon award of the construction contract by CM, a separate GSG Pre-construction meeting is scheduled by CM; DM/DPM; Commissioning, GSG liaison and AEoR (& sub-consultants) are to attend this meeting, in addition to the Contractor and its LEED AP. Items to be discussed and addressed at this meeting are the Green Submissions and data gathering and collection by the Contractor.

4.4 Post NTP Meeting

DM/DPM and AEoR shall attend CM meeting(s) with BCC regarding items required for issuance of construction permits. When necessary, construction permits may be issued in a phased manner as to facilitate the construction schedule of the project per [CM Interdepartmental Agreement – Post NTP Permit Requirement Meeting](#)

4.5 Comprehensive Contract Documents

The DPM shall maintain a complete set of bid documents - drawings, specifications, general conditions and all Addenda and Clarifications issued during the Bid Phase from Contract Administration and instruct the AEoR to download the same from the [SCA Bid-Set website](#).

4.6 Amended Drawings and Filings

To ensure AEoR and sub-consultants monitor filing of amended documents in a timely manner to facilitate construction inspections and adherence to construction schedule. Click here for [Procedural Guideline 5.3.3 - Timely Filing of Amended Drawings](#). Refer to Spec S01630 Product Substitutions for list of items requiring additional review time, for TSS Review. For these items, defer to TSS Discipline heads for clarification of SCA Standards and/or Requirements.

4.7 Requests of Information (RFI's)

RFI's are entered in CAHUA/CAMP by the Contractor, addressed to the AEoR and its sub-consultants for interpretation of Contract Documents and assistance to the SCA on review of contractor/sub-contractor inquiries. AEoR to review and respond within contractually mandated timeframe of 5 days or as agreed to with CM.

- When the contractor disputes the RFI response, the disputed RFI will be submitted to DM for review and response. The DM will receive an email stating the RFI is disputed. The DM shall respond either by agreeing to the AEoR response or by agreeing to the contractor's dispute. If the DM agreed on the contractor dispute, then the Change Order Unit (COU) will send the subject to arbitration. The DM leads the arbitration meeting.

4.8 Bulletins

Bulletins are typically issued for unforeseen field conditions, program changes by SCA, code related, to address contractor's condition or when the response to an RFI results in scope change and requires documents be prepared by the AEoR in the form of drawings and specifications. Notice of Assignment (NOA) to be issued to the AEoR to proceed with the bulletin. The AEoR shall submit a fee proposal in PAR in RCMS for review and approval so ATP can be issued. The AEoR shall prepare and upload the bulletin in CAMP which will be directed to the PO who shall review it with the contractor (the GC). If the GC and the CM have no constructability concern for the bulletin work, then the PO shall forward the bulletin to the DPM for review and approval. Upon the DPM approval, the bulletin shall be forwarded to the DM. Upon the DM approval, the bulletin shall be forwarded to the studio director, Sr. director and the DCIM based on the cost estimate of this bulletin.as per the following criteria:

1. The director shall review and approve bulletins with cost estimates exceeding \$25K up to \$100K.
2. The Sr. director shall review and approve bulletins with cost estimates exceeding \$250K.
3. DCIM shall review and approve all bulletins for bulletin reasons with cost estimate up to \$100K and review and approve bulletins in detail with cost estimate exceeds \$100K up to \$250K
4. .The CM shall be notified to send the bulletin to the GC.
5. The AEoR shall amend the drawings at DOB/BCC as required.

4.9 Change Orders

Change order claims are processed by the SCA Change Order Unit because of reviewed and approved Bulletin work or any NOD and/or CIC issued to the GC by the CM. Coding and review input by AEoR. DM/DPM and DCIM roles are explained in the SCA Contract Change Management documents. ([Select here for Bulletin Review Procedures & Coding Summary](#) and [here for Enhanced Change Management Flow Charts](#))

4.10 Non-Conformance Reports (NCR's)

NCR is documentation on work by GC and sub-contractors that does not comply with the Contract Documents and is entered in CAMP by AEoR, SCA CM Project Officer or Special Inspectors and is monitored for timely resolution and corrective action. ([Select here for NCR Advisory Document](#))

4.11 Biweekly Construction Meetings

Progress construction meetings are scheduled by CM with Contractors in the field on a biweekly basis. The DM/DPM are expected to attend meetings with AEoR and/or Field representative and sub-consultants as required. A field report is to be prepared following each Biweekly Construction Meeting on status of construction by AEoR and Field Rep. ([Select here for Capacity Field Report form](#))

- The DPM and the PO shall ensure the AEoR reviews and maintains record of all Contractor's Green Submissions and related concerns throughout the construction and commissioning periods. ([Select here for GSG Toolkits](#))

4.12 PAPS Artist Preliminary Design Meeting:

PAPS schedules. AEoR and DPM to attend. Artist presents preliminary art proposal to the PAPS Core Review Group.

4.13 PAPS Artist Final Design Meeting:

PAPS schedules. AEoR and DPM to attend. Artist presents final artwork to the PAPS Core Review Group.

4.14 PAR Proposals/Additional Services:

DPM monitors AEoR anticipated additional services (such as bulletins, additional site visits, etc.) on construction projects and issue NOAs/ATPs for Additional Services where warranted. AEoR shall request approval for additional services in “Proposal Approval Request (PAR)”. DPM shall review and approve PAR up to \$10K. If the additional services fees exceed \$10K up to \$25K then, approval by DM is required. If the additional services fees exceed \$25K up to \$100K then, Director approval is required. If fees exceed \$100K then, the director shall forward the proposal to CCFU for negotiation and approval. An ATP tracking log is required to be maintained up to date by the AEoR (**Select here for Workflow Chart for PAR Proposals Review**).

4.15 TCO Meetings

DM/DPM act in a supporting role in following up with both the BCC originated TCO meetings and the CM initiated meetings:

- **BCC Initiated Meetings**
Starting 6 months prior to the expected issuance of TCO, the DM/DPM, AEoR and sub-consultants will meet at the SCA with Contractors, BCC and CM to monitor that sufficient progress is made on all open filing items required for TCO. Attendance at these meetings is mandatory for all parties.
- **CM Initiated Meetings**
Starting 30 days prior to the expected issuance of TCO, CM will organize meetings with AEoR and Inspectors to discuss open items for each discipline/contractor.

4.16 Substantial Completion/Phased Completion

After TCO is obtained and upon receipt of GC’s Substantial Completion or Phased Completion request, DPM shall seek consensus with AEoR that Substantial Completion/Phased Completion status is attainable, based on-site walkthrough by DM/DPM, AEoR, CM and Contractor. (Click here for [Substantial Completion Advisory](#) or here for SAMPLE [Phased Completion Letter](#) or here for SAMPLE [Certificate of Substantial Completion](#))

4.17 Punch List

DPM to monitor AEoR and Sub-Consultants on progress on Punch List during scheduled Punch List Field Visits. Upon completion of Punch List, AEoR to provide [Punch List Memorandum](#) to DM/DPM.

4.18 **As-Built Drawings – Record Drawings**

DPM to periodically inquire with SPO about all information required from Contractor and sub-contractors on As-Built information to be submitted to AEOR in order for the final As-Built Documents to be available for turnover to the DOE by substantial completion phase of project. (Click here for [DCIM Case Study of As-Built Requirement](#) and here for SAMPLE [As-Built List](#))

4.19 **Close-out**

DM/DPM to act as liaisons between AEOR and DCIM Close-out coordinator to ensure all A&E related actions are addressed on the project. Use CAMP Closeout App for the tasks listed below. For [CAMP Closeout Manuals](#), please click on the following link: [CAMP Closeout Manual](#)

4.20 **Final C of O**

DM-DPM team to facilitate C of O process by attending C of O meetings when required and by monitoring any A&E related outstanding issues regarding the issuance of C of O.

5.0 GLOSSARY OF TERMS AND ACRONYMS

Definitions and Acronyms below and any not listed can be found in the SCA “**Contract for Consultant Services, Appendix-A**”.

| | | | |
|-------------------|---|-------------|---|
| ACM | Asbestos Containing Material | CB | Community Board |
| ADA | American with Disabilities Act | CID | SCA Construction Inspection Division |
| A&E | SCA Architecture and Engineering department. | CIP | Capital Improvement Project |
| | Architect/Engineer of Record commissioned thru | CM | SCA Construction Management department |
| AEoR | SCA Contracts for the Design of new Capacity School Projects | CM13 (PCM) | SCA’s Construction Mgmt. software |
| | Alteration Types – per NYC Building Department (BCC) | CO (C of O) | Certificate of Occupancy |
| Alt. (1, 2, or 3) | | CP | Certificate of Payment |
| ARA | Area of Rescue Assistance | CPO | Chief Project Officer |
| ASR | Additional Service Request | CPM | Capital Plan Management |
| ATP | Authorization To Proceed | CRIS | Cultural Resource Information |
| AU | Accessibility Unit | CTF | Capital Task Force |
| BCAS | Building Condition Assessment Status | DA | Developer’s Agreement |
| BIM | Building Information Model | DASNY | Dormitory Authority of the State of NY |
| BMS | Building Management System | DCIM | Design & Construction Innovation Management |
| BCC | SCA Building Code Compliance division | DCMS | Design Consultant Management Studio |
| BOD | Bid Opening Date | DCS | Design & Construction Services |
| BPP | Builder’s Pavement Plan | DDC | NYC Department of Design & Construction |
| BIM | Building Information Modeling. | DEC | NYS Department of Environmental Conservation |
| | The digitally represented physical/functional characteristics of a Project. | DEP | NYC Department of Environmental Protection |
| CA | SCA Contract Administration department | DIIT | Department of Instructional & Information Technology |
| CADD | Computer Assisted/Aided Drafting & Design | DM | Design Manager |
| | The digitally represented physical/functional characteristics of a Project. | DOB | NYC Department of Buildings |
| CAP | Capacity Project | DOE | NYC Department of Education, its agents, officers, trustees, employees, representatives or designees, as the case may be. |
| CCU | Contract Compliance Unit | DOT | NYC Department of Transportation |
| CCFU | Consultant Contract Funding Unit | DPM | Design Project Manager, reporting to the Design Manager |
| CDs | Construction/Contract Documents | DR | SCA A&E Design Requirement(s) |
| CES | Cost Estimating System (former ProEst) | | |



| | | | |
|------------|---|------------|---|
| DSF | NYC Department of School Facilities, its agents, officers, trustees, employees, representatives or designees, as the case may be. | MOPD | NYC Mayor's Office of Persons with Disabilities |
| DSNY | NYC Department of Sanitation | MTA | Metropolitan Transit Authority |
| ECC | Early Childhood Center | NCR | Non-Conformance Report |
| EDC | Economic Development Center | NDT | Non-Destructive Testing |
| ERC | Environmental Regulatory Compliance | NTP | Notice to Proceed |
| ESD | Elements of Smart Design | NYCHA | NYC Housing Authority |
| FACP | Fire Alarm Control Panel | NB | New Building (application) |
| FDNY | Fire Department of NYC | OMB | NYC Office of Budget and Management |
| F&E | SCA Furniture & Equipment unit | O&P | Overhead and Profit |
| FSEP | Fire Safety and Equipment Plan | OPRHP | Office of Parks, Recreation & Historic Sites |
| FMSI | Facilities Management System Integration | ORCMS | Oracle Requirements Contract Management System |
| FSD | Fire/Smoke Damper | OSHA | Occupational Safety and Health Administration |
| GSG | Green School Guide | OSFNS | Office of School Foods & Nutrition Services |
| HazMat | Hazardous Materials | PA | Port Authority (of NY/NJ) |
| HPD | NYC Housing Preservation and Development | PAPS | Public Arts for Public School |
| HS/H.S. | High School | PAR | Proposal Approval Request |
| IDF | Intermediate Distribution Frame | PCM (CM13) | SCA's Construction Mgmt. software |
| IDP | Integrated Design Process | PDS | Project Data Sheet |
| IEH | SCA Industrial & Environmental Division | PG | Procedural Guidelines |
| IPDVS | Internet Protocol Digital Video Surveillance | PE | Professional Engineer |
| IS/I.S. | Intermediate School | PLA | Project Labor Agreement |
| JHS/J.H.S. | Junior High School | PO | Project Officer |
| JOP | Joint Operated Parkland | POR | Program of Requirements |
| LA | Licensing Agreement | POT | Path Of Travel |
| LLW | Low Level Work Number | ProEst | SCA's Cost Estimating Program. |
| LNO | Letter of No Objection | PS/P.S. | Primary School |
| LOA | Letter Of Award | PT/OT | Physical Therapy/Occupational Therapy |
| LOR | Letter Of Resolution (SHPO) | PTS | Project Tracking System |
| LPC | Landmarks Preservation Committee | QC | Quality Control |
| LSS | Local Sound System | RA | Registered Architect |
| MDF | Main Distribution Frame | RE | SCA Real Estate Services Division |
| | | RFI | Request For Information |
| | | RFP | Request For Proposal |



| | | | |
|-------|---|--------|------------------------------------|
| SC | Substantial Completion | TFR | Technical Field Representative |
| SCA | NYC School Construction Authority | TO | Turnover (project) |
| SEQRA | State Environmental Quality Review Act | TSS | DCIM Technical Standards & Support |
| SRAF | Staff Request Access Form | TOBSS | TurnOver Bid Set System |
| SHPO | State Historic Preservation Office (see also OPHRP) | UFT | United Federation of Teachers |
| SPO | Senior Project Officer | UPK | Universal Pre-Kindergarten |
| SSDS | Sub-Slab Depressurization System | ZPP(P) | Zone of Public Protection (Plans) |
| TCU | Temporary Classroom Unit | ZWR | Zoning Waiver Request |
| TCO | Temporary Certificate of Occupancy | | |