



**ARCHITECTURE & ENGINEERING**  
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# CAPACITY PROJECT MANUAL

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## **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.*



## 1.0 FEASIBILITY/PRE-DESIGN PHASE

### Purpose

The NYC Department of Education owns and maintains Public School Buildings throughout NYC. Based on long-range community needs, the SCA prepares a five-year plan for funding of new schools to accommodate added student capacity as required by demographics of city geographic and educational districts. During this phase, a Program of Requirements (POR) is created to inform the Feasibility studies for planning and design of a new school by the SCA.

The [Feasibility study \(DR 1.1.3.1\)](#) is an evaluation of site; neighborhood; environmental; traffic; zoning; access; adjacencies and any existing buildings on site. Based on the findings, a “test fit” report is developed to ascertain the extent of proposed scope of work and the massing of a potential new school facility within the prescribed Program of Requirements.

Typically, the SCA prepares the [Test Fit/ sketch studies 1.1.3.2](#). On occasion, the SCA will solicit the services of a Consultant to prepare a "test fit" design for the conversion of existing spaces or buildings into public school facilities or a [Site Assessment Report" Site Assessment Scoping Guideline](#) for conversion of existing non-public school buildings into public school facilities. The SCA may also solicit the services of a Consultant to prepare site assessment checklists for UPK, 3K, Stand-alone Gym, and other initiatives, see [DR 1.1.3.4](#).

### Reference Materials and Standards

All other project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards and Standard Specifications and Details) is available at <http://www.nycsca.org/Design/Design-Standards>

## 1.1 Consultant Selection Process:

### 1.1.1 Request for Proposal (RFP) Planning:

RFP Planning Meetings will be conducted by CCU on a semi-annual basis (or more frequently, if needed) to review the status of Capacity Design contracts, new solicitations, and/or supplemental agreements.



### 1.1.2 Operating Guidelines for use of Capacity Design Requirements Contracts:

#### a. Pre-Assignment Tasks:

- Capital Plan Management (CPM) prepares Program of Requirements (POR) for capacity projects.
- CPM/Real Estate to request a test-fit study to determine the viability of a site for the construction of a public-school building to accommodate the program prepared by CPM.
  - If the study is to be prepared by a Consultant, the Contract Compliance Unit (CCU) issues a Consultant Selection Sieve to assist the Consultant Selection Committee in the selection of a consultant (see below for the criteria for selection).
- CPM conducts a Feasibility Committee Meeting to review the test-fit/site assessment report with SCA stakeholders to discuss the viability of the project.
- The Executive Office issues a President Authorization Memo to authorize the design of the project. The President Authorization Memo specifies the capacity of the new school building, a brief background, a budget placeholder, the budget allocation for the Public Art for Public Schools (PAPS), the estimated occupancy date, and the POR.
- If CPM determines that the project shall be designed by a Consultant, CCU issues a Consultant Selection Sieve to begin the Mini-RFP Selection Process. The sieve is reviewed by members of the Consultant Selection Committee comprised of members from SCA stakeholder departments. The criteria for the selection of the consultants that will partake in the mini-RFP process include the following:
  - Performance - current performance not at level that would warrant new assignment.
  - Financial - firm has billing/invoicing and/or timekeeping issues incl. but not limited to, timeliness/accuracy of payment requests, payments to subs etc.
  - Current work - consultant was assigned/currently has/is in the process of being assigned a CAP Project in Design with fees >\$500,000.
  - Assignment - consultant was assigned/currently has/is in the process of being assigned a CAP project.
  - Funding - funding level not adequate for new assignment.
  - Contract - insufficient time remaining on contract (< 3 mos. to expiration)
  - Not a match - consultant's size, expertise & capacity not a good fit for project.
  - Appropriate match - firm's workload, project assignments & funding levels indicate a good fit & firm should be able to meet project-specific needs.
- If CPM determines that the project schedule warrants forgoing the mini-RFP process to expedite consultant assignment, the Fast Track consultant assignment process is followed whereby CCU issues a consultant sieve, and the Consultant Selection Committee selects the Consultant.



### 1.1.3 Internal Kickoff Meeting

DPM schedules internal kick-off meeting with all listed departments in the [Capacity Project Meeting Invitation Matrix](#) to ensure streamlined information is available to be shared during the consultant selection process. The Owner's Project Parameters shall be used as the meeting's agenda and to provide the information to be shared with the prospective consultants in the mini-RFP solicitation documents.

1.1.4 The DCMS Director provides the redacted test-fit report to CCU (the test-fit is redacted to remove any information related to costs, eliminate capacity, etc.) to be included in the mini-RFP solicitation documents. Once the Consultants' proposals are received, CCU schedules a meeting with the Consultant Selection Committee to select the consultant for the project based on the following criteria:

- Appropriateness of Experience
- Approach and Methodology
- Staff
- Financial
- Fee Proposal

1.1.5 CCU negotiates with the selected Consultant and once an agreement is reached, CCU notifies A&E to reach out to the Consultant to start the design process. CCU initiates a fee agreement letter that is signed by the Consultant, A&E Director, A&E Senior Director, and A&E Vice President. The fee agreement letter establishes the basic service fee at each milestone.



In this manual, the term AEO R refers to the Consultant for projects managed by the Design Consultant Management Studio (DCMS) and refers to the Architectural lead for projects managed by the In-House Studio.

## 2.0 PRE-SCHEMATIC PHASE- 1A

### Purpose

The objective of this phase is for the assigned A&E Design team, in collaboration with SCA Management, to explore the best conceptual design solutions, refine and improve the Pre-scope phase analysis and further study design alternatives in an interdisciplinary and holistic way. The options developed during this phase of design do not necessarily determine the outcome but represent design alternatives which communicate the visual identity and functional attributes of a contemporary school building.

### AE Contract Agreement Requirements

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

### Reference Materials and Standards

For the design consultant projects, DCMS DPM shall provide instruction to the AEO R to review and follow the latest SCA Standards. All project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards and Standard Specifications and Details) is available at: <http://www.nycsca.org/Design/Design-Standards>.

**2.1 Instructions to DM/DPMs:** Sequential listing of Standard Procedures and Forms used during the Pre-Schematic Phase (1A) is listed below. DM/DPM teams and designated AEO R are required to review and follow the most updated SCA Standards and latest Bulletins to Standards. DPM to ensure that all project related documents are uploaded into the project folder.



- 2.1.1 Project Assignment Notification to Selected AEoR (via e-mail):** The DCMS Sr. Director/Director forwards an e-mail notification to the AE Consultant (AEoR) commissioned for the design of the project and copies all relevant SCA stakeholders. (Select here for sample email notification). Attachment includes President’s Authorization Memo and the POR ([hyperlink to POR folder](#)).
- 2.1.2 Design Start Notification to AEoR (via e-mail):** The DM follows up on Senior Directors notification with a standard “design start” e-mail to Selected AEoR identifying the Design Project Manager (DPM) for day-to-day communication on the project and projected start of design process and any special circumstances involved with the project. E-mail includes standard sentence that A&E is awaiting direction from CPM as to whether the AE can communicate with the School Principal/Administration. ([Select here for sample email template](#))
- 2.1.3 Pre-schematic Report Sample:** DPM shares with AEoR a sample pre-schematic report and discusses the basic requirements with them.
- 2.1.4 Design Start Notification to Principal/School Administrator (via e-mail):** For the addition projects only, upon receipt of CPM authorization to communicate with School, DM forwards Standard “design start” e-mail to School Principal (the principal’s contact info can be found in the Master Contact Form), providing the AE Consultant’s names and names of assigned DPM, Chief Project Officer, CM Senior Project Officer, and Community Relations Manager.
- 2.1.5 Program Confirmation:** DM-DPM direct AEoR to conduct the following program confirmations:
- **Additions** ([Select here for Planning Guidelines for New Addition](#)):
    - a) DM-DPM team instructs and accompanies the AEoR in conducting a room-by-room survey of the school using SCA’s archived floor plans. The goal is to produce an Existing Room Utilization Survey of the entire existing school.
    - b) The AEoR should compare the Existing Room Utilization Survey to the POR and submit a POR Analysis to the DPM. DPM shall review the analysis and distribute to CPM and DCIM.
    - c) A POR Verification meeting is scheduled by DPM (with AEoR, CPM, DCIM) to review the POR analysis and discuss the impact of Utilization Survey on the POR. CPM shall provide an official updated POR to DPM. DPM will forward an updated POR to the AEoR.



- d) After a design scheme is selected at the end of this phase, the AEO shall submit an updated POR analysis only for the selected scheme to the DPM. This POR Analysis compares the actual design square footage to the POR square footage for each room. The DPM shall review and distribute the updated POR analysis to CPM.
- e) A POR Reconciliation meeting is scheduled by DPM (with AEO, CPM, DCIM) to review the updated POR analysis. CPM shall provide an official, updated POR to DPM. DPM will forward an updated POR to the AEO.
- **Standalone Buildings:**
  - a) After a design scheme is selected at the end of this phase, the AEO shall submit an updated POR analysis only for the selected scheme to the DPM. This POR Analysis compares the actual design square footage to the POR square footage for each room. The DPM shall review and distribute the updated POR analysis to CPM.
  - b) A POR Reconciliation meeting is scheduled by DPM (with AEO, CPM, TSS, DCIM) to review the updated POR analysis. CPM shall provide an official, updated POR to DPM. DPM will forward an updated POR to the AEO.

**2.1.6 Separate Early Work/Demo Package:** As requested by CM, a separate early work/demolition package may be required to be prepared for bid purposes. Scheduling of bid packages is to be discussed with CM and CPM to properly phase construction and occupancy of project. This should be based on previously discussed considerations affecting the phasing of work including TCU removal, demo of existing building components and/or work in the existing building. DPM to request LLW number from CPM for the separate Early Work Package. CPM will require a ballpark estimate for this package prior to issuance of the LLW number.

**2.1.7 CIP Projects (for Addition projects only):**

- New CIP projects - AEO shall start preparing preliminary report for CIP work items to be issued as a CIP package separate from the New Building Package. ([Select here for Planning Guidelines for New Addition](#)).
- DPM to request LLW number from CPM for the separate CIP Project. CPM will require a ballpark estimate for the CIP project prior to issuance of the LLW number.
- Existing CIP Projects – Upon creation of a design bundle, SCORPIO BOT will send an automated email with a PTS Report of all prior and ongoing work at the existing building including images from the EDOCS. The scope of work for all ongoing projects should be discussed at the early design progress meetings and focus on the potential impact on the Addition project’s scope of work and phasing.



- 2.1.8 Fee Agreements for Early Packages and Existing Building Work:** DPM/DM works with AEoR to clarify authorized work and ensures with CCU that fee negotiations are inclusive of any POR in the Existing Building. This effort continues until the POR is solidified at Schematic & DD phases, at which point a Signed Fee Agreement Letter is obtained from CCU and an ATP is processed by the Operations department of the COO's office ([Select here for CCU Guidelines](#)). ([Select here for a list of typical additional services](#)).
- 2.1.9 SHPO Coordination:** For projects within historic districts or for buildings/additions next to or adjacent to a SHPO eligible building, the DPM will coordinate with the SCA SHPO liaison whether the new building is to be considered for SHPO review and its impact on the new building Design. As deemed appropriate, a submission package will be prepared by the AEoR. DPM to provide AEoR with a sample submission package. [Repeat to 2.1.24](#)

**2.2 Design Project Management:** Upon commencement of the Pre-Schematic phase, DPM manages the day- to-day operation of the capacity project; shares all concerns with, and seeks advisement from the responsible DM, as follows:

**2.2.1 Forms and data sheets preparation by DPM:**

- a) **Capacity Project Calendar (Schedule):** DPM generates the Capacity Project Schedules with the dates of all the milestone submittals and the dates of bi-weekly progress meetings for the entire duration of design phase (kick-off, progress and review meetings,), obtains DM and Director's sign-off and submits request to the New Schools Calendar coordinator, who shall schedule the meetings on the New Schools Calendar to avoid or reduce the number of overlapping meetings. ([Select here for invite matrix](#)) ([Select here for sample schedule](#)).
- b) **Submission of Schedule to Operations Data Center (ODC):** Upon receiving both Director and DM's approvals, DPM forwards the Capacity Schedule to Projects Controls at the Operations Data Center for PPM tracking throughout the lifetime of the project.



- c) The initial **Staff Request and Assignment Form** is generated in PTS by DPM. The Staff Request form is forwarded to DCIM Director for identification of discipline reviewers assigned to the project so that all of the SCA reviewers can attend the External Kickoff meeting. ([Select here for DCIM Submission Review Process](#))
- d) **Capacity Project Data Sheet (PDS)** is established by DPM as an internal project management and administrative tool to facilitate phase-by-phase tracking of the project. ([Select here for sample](#)) It is the intent of the PDS to show the following:
- General project information and milestone submission dates
  - Meetings required at each design milestone phase.
  - Lists all the various design reviewers assigned to the project.

#### 2.2.2 Forms and data preparation by AEoR:

- a) **Filing and Submission Tracking Report (FAST Report)** – The FAST Report is to be used by the AEOR to schedule and track all required regulatory and non-regulatory submissions required at each milestone phase. The AEOR is required to enter the scheduled submission and approval dates for every item indicated in the phase. The DPM must monitor and follow-up with the AEOR if any submissions are late or in jeopardy of being late. The FAST Report is to be presented at the beginning of every design progress meeting for the benefit of all stakeholders attending the meeting. ([Select here for FAST report Sample](#)).

**2.3 Meetings Management:** DM-DPM team Prepare, Schedule, and manage all capacity meetings (kick-off, progress/bi-weekly, Quality Control and Compliance meetings) per attached [Capacity Meeting Process](#) and [invite Matrix](#). DPM to **chair all project** meetings. DM/DPM are to follow the guidelines to insure all SCA standard meetings procedure, protocols, forms, presentations are adhered to by AEoR:

- 2.3.1 External Kick-off Meeting Agenda**, and [Minutes Standard Format](#): DPM to schedule external kick-off meeting and prepare Agenda with all listed departments in the [Capacity Project Meeting Invitation Matrix](#).
- 2.3.2 Progress (Bi-weekly) Meeting Agenda**, and [Minutes Standard Format](#), meetings for this phase as per the approved project schedule. ([Select here for sample schedule](#))



- 2.3.3 Integrative Design Process (IDP):** During the pre-schematic phase, DM/DPM to ensure the Integrative Design process is performed per the Green Schools Guide Rating System requirements, for which the [IDP Facilitator Guide](#) is to be used (please refer to IDP Toolkit section on the webpage). Project teams should refer to the IDP Facilitator Guide for IDP Workshop format and scheduling protocols as well as IDP Workshop Report guidelines.
- 2.3.4 Phasing Meeting(s):** DM/DPM to schedule with AEoR Phasing meetings as needed during all phases of the project, separate from the typical bi-weekly progress meeting to go over phasing issues including TCU removal; demo of existing building components and/or work in the existing building; invitees to follow the [Invite Matrix](#). In addition, consideration shall be given during these meetings to evaluating and establishing Zone of Public Protection Plan (ZPPP) as per Interdepartmental Agreement - [License Agreement Protocol](#). ([Select here for Phasing Meeting and Phasing Cost Advisory document](#)).
- 2.3.5 Filing Strategy:** The DM/DPM and AEoR shall schedule a meeting with BCC to establish and document filing strategy for the project ([Select here for Planning Guidelines for New Addition](#)).
- 2.3.6 Elements of Smart Design process:** At the onset of a capacity project and throughout the design phases, the DM/DPM shall utilize this form, as a tool, to identify and monitor issues impacting the project's cost, quality of design and schedule. This will be done at an on-board meeting at the beginning of each phase; the attendees shall be the A&E Director, DM/DPM and AEoR; A&E -Sub-consultants may be periodically invited, at the discretion of this team. At the conclusion of each design milestone (Pre- schematic/Schematic/DD/60% CD/100% CD), the documented comments reflecting the outcome of the considerations discussed, per phase, shall be saved into the project folder by the DPM. ([Select here for Elements of Smart Design Sample](#)).
- 2.3.7 Quality Control (QC) Meeting:** DPM schedules the Pre-Schematic QC Meeting two weeks after the Pre-Schematic submission is received from the AEoR and distributed to all Reviewers. All AEoR's responses to comments must be sent to the reviewers prior to the QC Meeting. During the meeting, DPM to ensure that the reviewer completes the "Action" item in the review comments sheet. ([Select here for QC Review Comment Sheet](#)).
- 2.3.8 Design Concept(s) Evaluation and Scheme Selection Meeting:** DPM to schedule this meeting immediately after submission of Pre-schematic report. At the conclusion of the Pre-Schematic phase, the DPM schedules an internal meeting



for evaluation of the attributes of each of three schemes under consideration utilizing the [Design Concept\(s\) Evaluation and Selection Form](#). The goal of this meeting is to reach consensus on which design concept to further develop during the next phase (Schematic Design Phase). IDP Workshop results are to be available for this meeting. DPM to forward the meeting results to the AEoR and the discipline reviewers. Participants at this internal meeting to follow the [invite matrix](#). ([Select here for sample of Selection form](#))

## 2.4 Phase Specific Considerations

- 2.4.1 Flood Plain Zone Designation and Requirements:** DPM to direct the AEoR to verify whether the project site is located within a flood zone according to the latest flood maps. If it is within a flood zone and requires flood mitigation design, the AEOR should be directed to follow [DR 1.3.1.11](#).
- 2.4.2 Municipal Separate Storm Sewer System (MS4) Siting:** DPM shall direct the AEoR to verify whether the project site is located within MS4 zone, using the MS4 sewer maps in the NYC DEP portal. The design must incorporate the latest DEP requirements, including filing, and a Green Infrastructure Feasibility study is required to be prepared. *Refer [SCA MS4-Pollution-Prevention webpage](#). [MS4 Tracking Application – Tracking life cycle of the MS4 submission](#).*
- 2.4.3 Storm Water Prevention Plan (SWPPP):** DPM shall direct AEoR to comply with the latest NYCDEP/NYSDEC requirements for SWPPP filing, as indicated in Chapter 2 of the NYC Stormwater Manual (Storm management requirements). The DPM to ensure that all requests for geotechnical investigations required for filings from the AEOR through STU during the pre-schematic phase have been obtained and submitted. Additionally, during this phase, the DPM should initiate discussions with the AEoR to explore all available options to satisfy the DEP’s storm management practice (SMPs) requirements and explore the potential locations on the site for these options. [Select here for the NYC Stormwater Manual](#).
- 2.4.4 Seismic Design Category and Seismic Design Parameters:** DPM to insure AEoR evaluates and documents the seismic design category designation of the project site. All pertinent Building Code and SCA requirements involving Structural, MEP and Life Safety systems and their associated cost implications are to be identified upfront and included in the Pre-Schematic report. ([Select here for DR 3.0](#) and [here for DR 6.0](#))



- 2.4.5 Chimney & Vent Plan:** The AEO R shall prepare a plan showing all chimneys and vents within 100' radius of the property line as per the NYC Building Code requirements.
- 2.4.6 Structural System Matrix:** The AEO R shall complete the form and send it back to DPM for review. The Structural System Matrix shall be presented at the bi-weekly progress meeting. ([Select here for Structural System Matrix Sample](#)). The DPM should review the matrix with the Director before the AEO R presents the matrix during a progress meeting. The matrix should not determine the final structural system for the project but rather be used as a guide to present to the various SCA stakeholders as a point of discussion during the design progress meeting. Concurrence among all SCA stakeholders should be obtained and the results included in the "summary" field located at the bottom of the matrix. The recommendations of the Structural System Matrix may be subject to change at a later phase based on findings of Geotechnical investigation.

## 2.5 Project Deliverables

- 2.5.1 Pre-Schematic Report Submission:** Upon receipt of report, DPM distributes to all assigned departments/reviewers identified as per Project Data Sheet (PDS) for comments. Reviewers have one week to provide review comments back to the DPM. The DPM must forward all review comments to the AEO R and allow the AEO R one additional week to provide responses. Review comments are submitted as per SCA review format. The DPM schedules a QC meeting to review and discuss the responses. ([Select here for DCIM Electronic Document and Review Procedures](#))
- 2.5.2 Cost Estimate (CE):** A Pre-Schematic cost estimate using the SCA Cost Estimating System must be prepared for each scheme and is due concurrently with the Pre-Schematic Report.
- DPM to ensure the gross area is provided for each scheme.
  - DPM to concur after receiving approval/concurrence from the SCA's Estimating Unit.
  - DPM to coordinate with the SCA's Estimating Unit to ensure that PTS is updated with the gross area and estimate for each scheme.
  - DPM to ensure that the [Cost Per Square Foot \(CPSF\) Breakdown](#) sheet has been included as an attachment to the estimate. DPM to compare the CE to the CPSF to confirm all "large cost" items have been accounted for and that the two documents are in general agreement with each other.



**2.5.3 Certification Letters.** DPM to ensure the certification letter was submitted by the AEoR and that all electronic format of documents included in the Phase 1A – Pre-schematic submittal is compliant per SCA contract agreement are submitted to the CADD Unit for incorporation into the project files including:

- Pre-Schematic Report
- Power point presentations.
- Estimate of construction cost (for each scheme)



In this manual, the term AEoR refers to the Consultant for projects managed by the Design Consultant Management Studio (DCMS) and refers to the Architectural lead for projects managed by the In-House Studio.

### 3.0 SCHEMATIC PHASE- 1B

#### Purpose

The Schematic Design Phase is a critical phase in the development of a new school project. It is during this early stage of design that decisions and choices made determine the long-term success not only in the selected design concept and urban planning strategy but on its impact on building systems; constructability; cost efficiency and schedule.

To achieve a high quality design for the new school, this phase must involve all members of the A&E Design Team including sub-consultants input; client/users insights; and regulatory, environmental and funding agencies interests.

#### AE Contract Agreement Requirements

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

#### Reference Materials and Standards

For the design consultant projects, DCMS DPM shall provide instruction to the AEoR to review and follow the latest SCA Standards. All project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards and Standard Specifications and Details) is available at: <http://www.nycsca.org/Design/Design-Standards>.

**3.1 Instructions to DM/DPMs:** Sequential listing of Standard Procedures and Forms used during the Schematic Phase (1B) 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. DPM to ensure that all project related documents are uploaded into the project folder.



- 3.1.1 Design Project Management:** Upon commencement notifications of the Schematic phase, DPM manages the day-to-day operations of the capacity project; shares all concerns with and seeks advisement from the responsible DM regarding:
- a. **Communication with AEO:** DPM provides AEO with any updates or changes to the schedule of meetings and an updated list of key invitees. DPM monitors implementation of SCA standard meetings procedure, use of standard forms and presentations by the AEO Including but not limited to:
    - **Capacity Meetings Process and Invite Matrix**
    - **Progress (Bi-weekly) Meeting Agenda, Sign-in/Cover-page and Minutes Standard Format**
    - **Capacity Project Filing and Submission Schedule and Status Report (Fast Report)**
    - **Power-point presentations (select here for sample)**
  - b. **Schematic Report Sample:** DPM shares with AEO a sample pre-schematic report and discusses the basic requirements with them.

**3.2 Design Project Management:** Upon commencement of the Schematic phase, DPM manages the day- to-day operation of the capacity project; shares all concerns with, and seeks advisement from the responsible DM, as follows:

**3.2.1 Forms and data sheets preparation by DPM:**

- a) **Capacity Project Data Sheet (PDS):** The PDS is continuously updated by DPM and used as an internal project management and administrative tool to facilitate day-to-day data recording and tracking of the project. (Select here - for sample, reference only).
- b) **Staff Request and Assignment Form** is generated in PTS by DPM. The Staff Request form is forwarded to DCIM Director to request discipline review of the Schematic submission. ([Select here for DCIM Submission Review Process](#))



### 3.2.2 Forms and data preparation by AEoR:

- a) **Filing and Submission Tracking Report (FAST Report)** – The FAST Report is to be used by the AEOR to schedule and track all required regulatory and non-regulatory submissions required at each milestone phase. The AEOR is required to enter the scheduled submission and approval dates for every item indicated in the phase. The DPM must monitor and follow-up with the AEOR if any submissions are late or in jeopardy of being late. The FAST Report is to be presented at the beginning of every design progress meeting for the benefit of all stakeholders attending the meeting. ([Select here for FAST report Sample](#)).
- b) **Borings/Monitoring well/Test pit request:** If not already requested, DPM/DM submits form with an initial boring/monitoring well/Test pit location plan prepared by AEOR to DCMS. When the building footprint is finalized, there may be an additional Borings request with a more exact location of borings.
- c) **Low Voltage Matrix:** Comprehensive analysis of the condition of the existing building low voltage systems is required at this phase to determine the low voltage scope of work that will be included as part of the existing building work (For Addition projects only. [See Planning Guidelines for New Additions](#)
- d) **SEQRA Documents** – The SEQRA Report will be prepared by SCA’s Real estate Dept. However, the DPM must provide the following information to RE for inclusion in the report:
  - a. Brief description of project
  - b. Site plan
  - c. SHPO Information (for SHPO eligible buildings)
  - d. Zoning info/drawings (including Zoning Waiver Requests)

**3.3 Meetings Management:** DM-DPM team Prepare, Schedule, and manage all capacity meetings (kick-off, progress/bi-weekly, Quality Control and Compliance meetings) per attached [Capacity Meeting Process and invite Matrix](#). DPM to **chair all project** meetings. DM/DPM are to follow the guidelines to insure all SCA standard meetings procedure, protocols, forms, presentations are adhered to by AEOR:

**3.3.1 Progress (Bi-weekly) Meeting Agenda,** and [Minutes Standard Format](#). meetings for this phase as per the approved project schedule. ([Select here for sample schedule](#))



- 3.3.2 Quality Control (QC) Meeting:** DPM schedules the Pre-Schematic QC Meeting two weeks after the Pre-Schematic submission is received from the AEO and distributed to all Reviewers. All AEO's responses to comments must be sent to the reviewers prior to the QC Meeting. During the meeting, DPM to ensure that the reviewer completes the "Action" item in the review comments sheet. (Select here for QC Review Comment Sheet).
- 3.3.3 Phasing Meeting(s):** DM/DPM to schedule with AEO Phasing meetings as needed during all phases of the project, separate from the typical bi-weekly progress meeting to go over phasing issues including TCU removal; demo of existing building components and/or work in the existing building; invitees to follow the [Invite Matrix](#). In addition, consideration shall be given during these meetings to evaluating and establishing Zone of Public Protection Plan (ZPPP) as per Interdepartmental Agreement - [License Agreement Protocol \(Manan\)](#). ([Select here for Phasing Meeting and Phasing Cost Advisory document](#)).
- a) **Phasing Plan:** The Phasing plan should be color-coded and include site plan, floor plans and bullet-point narrative clearly defining the scope of work for each phase. ([Select here for sample Phasing plan](#)). See [Planning Guidelines for New Addition](#) which are often even more complex.
- 3.3.4 Early Work Package:** All phasing may take place during the New Building construction phase but often, due to time constraints, CM may determine that a separate Early Work/Demolition bid package is required (separate from the New Building bid package). Most Early Work bid packages include the demolition of existing buildings, TCU's and/or sub-grade structures but they may also include the installation of new site drainage structures.
- a) **Request new LLW No.:** The DPM must request a new LLW No. from CPM (separate from the new Building LLW No.) for any Early Work bid package. Such a request must be accompanied by a "ballpark" cost estimate (not submitted through the SCA CES).
- 3.3.5 PAPS Orientation Meeting:** DPM to schedule. Meeting with AEO and PAPS to review PAPS program, architect's role in the PAPS Core Review Group and art location requirements. The PAPS Core Review Group includes: PAPS Director, PAPS Project Manager, A&E DM & DPM, AEO and DCLA for Percent for Art projects. The Core Review Group participates in the artist selection, artwork design development and approval of Preliminary and Final Artwork Designs.
- 3.3.6 Existing Building ADA Review meeting** (for Addition projects only. See [Planning Guidelines for New Addition](#)
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- 3.3.7 POR Reconciliation:** A POR Reconciliation meeting is scheduled by DPM (with AEO, CPM, DCIM and TSS) to review the updated POR analysis. CPM shall provide an official, updated POR to DPM. DPM will forward an updated POR to the AEO.
- 3.3.8 BCC Filing Strategy Meeting:** DM/DPM and AEO shall schedule and a meeting with BCC and CM to establish and document filing strategy for the project as per (CM) Interdepartmental Agreement. (Select here for Planning Guidelines for New Addition) or (Select here for Interdepartmental Agreement – Protocol for documentation of Filing Strategies for Capacity Projects). Considerations of phasing cost and schedule ramifications for each filing option (New Building vs. Alteration) are finalized before conclusion of Schematic phase for Addition projects.
- 3.3.9 Elements of Smart Design Process:** The DM/DPM shall continue to monitor documented comments from the previous milestone and identify any new developing issues impacting the project’s cost, quality of design and schedule during the current milestone phase. This will continue to be done at a smaller off-line meeting after the last progress meeting; the attendees shall be the DM/DPM and AEO; A&E Directors and Sub-consultants may be periodically invited, at the discretion of this team. At the conclusion of the current design milestone the documented comments reflecting the outcome of the considerations discussed, shall be saved into the project folder by the DPM by utilizing/updating the previous documented ESD form, saved in project folder. (Select here for blank ESD Form).
- 3.3.10 Scheme Selection Meeting (if required):** It often happens during the Schematic phase of Design, that the SCA wants the consultant to provide two or three variations of the design scheme that was selected at the end of the Pre-Schematic design phase for SCA review and approval. If so, a second Scheme Selection meeting will be required at the end of the Schematic phase to determine which variation to proceed with into the next (Des. Dev.) phase. DPM to follow same procedure for Scheme Selection as described in the Pre-Schematic phase.
- 3.3.11 Review Meeting with Principal/Superintendent (Part 1):** The DPM to schedule a meeting with Principal (and/or District Superintendent if a principal has not been assigned) after a schematic concept has been identified to meet the POR. This meeting is to be scheduled by CPM. Please note that this meeting is particularly sensitive since this is the first time the principal has seen the design for the project. DPM is to ensure that the PowerPoint presentation shows only the site plan, floor plans, and, if already available, F&E plans for the specialty rooms. This is CPM’s meeting and they will make the introductory



remarks about the project and answer all questions related to the POR or any other requests from the principal. The AOR will present the site plan and floor plans. CM will discuss any issues related to construction and phasing. External Affairs will discuss school and community outreach. The meeting should be concluded by stating that a follow-up meeting will be scheduled to present the playground design, the video surveillance camera locations, the interior color scheme, and the building exterior elevations (Follow-up meeting to be held at mid-100% design phase).

### 3.4 Phase Specific Considerations

**3.4.1 Envelope System Matrix:** Before the completion of Schematic, phase DM-DPM team to send the Envelope System Matrix form to the AEO. This matrix is used to assist in determining the most suitable Envelope system to use for the new building design. The AEO shall complete the form and send it back to DM/DPM for review. DPM and DM to review with Director before finalizing. The finalized Structural System Matrix shall be presented at bi-weekly progress meeting. ([Select here for Structure and Envelope System Matrix Sample](#)).

### 3.5 Project Deliverables

**3.5.1 Schematic Report Submission:** Upon receipt of report, DPM distributes to all assigned departments/reviewers identified as per Project Data Sheet (PDS) for comments. Reviewers have one week to provide review comments back to the DPM. The DPM must forward all review comments to the AEO and allow the AEO one additional week to provide responses. Review comments are submitted as per SCA review format and stored by the DPM on the SCA Project Directory. The DPM schedules a QC meeting to review and discuss the responses.

**3.5.2 Cost Estimate (CE):** A Schematic cost estimate using the SCA Cost Estimating System must be prepared (for each scheme if multiple schemes provided) and is due concurrently with the Schematic Report.

- DPM to ensure the gross area is provided for each scheme.
- DPM to concur after receiving approval/concurrence from the SCA's estimating unit.
- DPM to coordinate with the SCA's estimating unit to ensure that the PTS is updated with the gross area and estimate for each scheme.



- DPM to ensure that the Cost Per Square Foot (CPSF) breakdown sheet has been included as an attachment to the estimate. DPM to compare the CE to the CPSF to confirm all “large cost” items have been accounted for and that the two documents are in general agreement with each other.

**3.5.3 Green Schools Guide Submission:** DPM to share sample format of Green Design Submission for Schematic Phase with AEoR and facilitate meetings required with the SCA Green Schools Coordinator in TSS. (Select here to go to NYC Green Schools Guide page): DPM to share sample format of Green Design Submission for Schematic Phase with AEoR and facilitate meetings required with the SCA Green Schools Coordinator in TSS. (Select here to go to NYC Green Schools Guide page)

**3.5.4 Certification Letters:** DPM to ensure the Certification letter was submitted by the AEoR and that all electronic format of documents included in the Phase 1B – Schematic submittal is compliant per SCA contract agreement are submitted to the CADD Unit for incorporation into the project files including:

- Schematic Report
- Power-point presentations.
- Estimate of construction cost (for each scheme if multiple schemes provided)

**3.5.5 Statement of Adherence:** At the end of Schematic Phase, AEoR submits a signed Statement of Adherence attesting to the development of the Schematic Phase Submission according to all relevant SCA standards and requirements per AE Scope of Services applicable sections.



## 4.0 DESIGN DEVELOPMENT PHASE 1C

### Purpose

The objective of this phase is for the A&E Design Team, in collaboration with SCA Management, to further refine and enhance the selected scheme and incorporate all the design and construction considerations. Architectural, Urban context, MEP, Structural, Civil, Landscape, Cost, Sustainability and Constructability issues are discussed during this phase. At the completion of Design Development, the project design, room layouts, architectural identity, massing and scale, engineered building systems, site design and building materiality have been clearly defined & confirmed.

### AE Contract Agreement Requirements

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

### Reference Materials and Standards

DCMS shall provide instruction to each selected AEoR to review and follow the latest SCA Standards. All project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards and Standard Details and Specifications) are available at <http://www.nycsca.org/Design/Design-Standards>

**4.1 Instructions to DM/DPM's:** Sequential listing of Standard Procedures and Forms used during the Design Development is listed below. DM/DPM teams and designated AEoR are required to review and follow the most updated SCA Standards and latest Bulletins to Standards. DPM to ensure that all project related documents are uploaded into the project folder.

**4.1.1 AEoR Communication:** Upon commencement notifications of the Design Development phase, DPM manages the day to day operations. DPM via e-mail provides AEoR any updates or changes to the schedule of meetings and list of key invitees. DPM monitors implementation of SCA standard meetings procedure, use of standard forms and presentations.



- 4.1.2 Communication with Principal/School Administrator:** DPM to consult with CPM if any meetings or communication with principal is required to address any special Principal requests and to communicate with School all related progress on issues discussed during Design Development Phase.
- 4.1.3 CIP Projects (for Addition projects only)** [See New Addition Guidelines](#)
- 4.1.4 Fee Agreement:** Upon refinement of POR at Design Development phase and establishment of the final scope of work, the DM/DPM communicates with CCU to inform the design fee negotiations and revisions process if there are significant changes to scope of work. The Fee Agreement Letter as amended by CCU is provided to the DCMS Ops Manager and an ATP is processed. ([Select here for CCU Guidelines](#)). ([Select here for a list of typical additional services](#)).
- 4.2 Design Project Management:** Upon commencement of the Design Development phase, DPM manages the day- to-day operation of the capacity project; shares all concerns with, and seeks advisement from the responsible DM, as follows:
- 4.2.1 Forms and data sheets preparation by DPM:**
- Capacity Project Calendar (Schedule):** DPM updates Capacity Project Schedules with the dates of all the milestone submittals and the dates of bi-weekly progress, obtains DM and Director’s sign-off and submits any change request to the New Schools Calendar coordinator, who shall schedule the meetings on the New Schools Calendar to avoid or reduce the number of overlapping meetings. ([Select here for invite matrix](#)) ([Select here for sample schedule](#)).
  - Submission of Schedule to Operations Data Center (ODC):** DPM forwards any approved changes to PPM tracking throughout the lifetime of the project.
  - The initial **Staff Request and Assignment Form** is generated in PTS by DPM. The Staff Request form is forwarded to DCIM Director for identification of discipline reviewers assigned to the project so that all of the SCA reviewers can attend the External Kickoff meeting. ([Select here for DCIM Submission Review Process](#))
  - Capacity Project Data Sheet (PDS)** is established by DPM as an internal project management and administrative tool to facilitate phase-by-phase tracking of the project. ([Select here for sample](#)) It is the intent of the PDS to show the following:



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- General project information and milestone submission dates
- Meetings required at each design milestone phase.
- Lists all the various design reviewers assigned to the project.

### 4.2.2 Forms and data preparation by AEO:

a) **Filing and Submission Tracking Report (FAST Report)** – The FAST Report is to be used by the AEO to schedule and track all required regulatory and non-regulatory submissions required at each milestone phase. The AEO is required to enter the scheduled submission and approval dates for every item indicated in the phase. The DPM must monitor and follow-up with the AEO if any submissions are late or in jeopardy of being late. The FAST Report is to be presented at the beginning of every design progress meeting for the benefit of all stakeholders attending the meeting. ([Select here for FAST report Sample](#)).

**4.2.3 CP Request Form:** CP request form is prepared and processed with Finance, by the DPM, including a detailed updated POR, Schematic Report and Cost Estimate of that phase. CP request form might be revised, as needed, in any phase. ([Select here for sample of CP Request](#)): CP request form is prepared and processed with Finance, by the DPM, including a detailed updated POR, Schematic Report and Cost Estimate of that phase. CP request form might be revised, as needed, in any phase. ([Select here for sample of CP Request](#))

**4.2.4 STU Form:** Final Borings, Test Pits and Probes, if required, will be requested by DPM via [Specialty Testing Unit Application portal](#). DPM will need to obtain Boring, Test Pits and Probe locations plan from the consultant.

**4.3 Meetings Management:** DM-DPM team Prepare, Schedule, and manage all capacity meetings (kick-off, progress/bi-weekly, Quality Control and Compliance meetings) per attached [Capacity Meeting Process and invite Matrix](#). DPM to **chair all project** meetings. DM/DPM are to follow the guidelines to insure all SCA standard meetings procedure, protocols, forms, presentations are adhered to by AEO:

**4.3.1 External Kick-off Meeting Agenda**, and [Minutes Standard Format](#): PM to schedule external kick-off meeting and prepare Agenda with all listed departments in the [Capacity Project Meeting Invitation Matrix](#)

**4.3.3 Progress (Bi-weekly) Meeting Agenda**, and [Minutes Standard Format](#). meetings for this phase as per the approved project schedule.

**4.3.3 Design Development Green Design Submission:** DPM monitors timely submission of Green Design package and facilitates meetings required with the SCA Green Schools Coordinator in TSS. DCMS DPM/DM team will not authorize DD Phase payment if Green Design Submission has not been made.



- 4.3.4 Phasing Meeting(s):** DPM to schedule with AEoR Phasing meetings as needed during all phases of the project, separate from the typical bi-weekly progress meeting to go over phasing issues including TCU removal; demo of existing building components and/or work in the existing building; invitees to follow the [Invite Matrix](#). In addition, consideration shall be given during these meetings to evaluating and establishing Zone of Public Protection Plan (ZPPP) as per Interdepartmental Agreement ([Select here for Phasing Meeting and Phasing Cost Advisory document](#)).
- 4.3.5 Filing Strategy:** The DM/DPM and AEoR shall schedule a meeting with BCC to establish and document filing strategy for the project ([Select here for Planning Guidelines for New Addition](#)).
- 4.3.6 Elements of Smart Design process:** At the onset of a capacity project and throughout the design phases, the DCMS DPM shall utilize this form, as a tool, to identify and monitor issues impacting the project’s cost, quality of design and schedule. This will be done at an on-board meeting at the beginning of each phase; the attendees shall be the A&E Director, DM/DPM and AEoR; A&E -Sub-consultants may be periodically invited, at the discretion of this team. At the conclusion of each design milestone (Pre- schematic/Schematic/DD/60% CD/100% CD), the documented comments reflecting the outcome of the considerations discussed, per phase, shall be saved into the project folder by the DPM. ([Select here for Elements of Smart Design Sample](#)).
- 4.3.7 Quality Control (QC) Meeting:** DPM schedules the Pre-Schematic QC Meeting two weeks after the Pre-Schematic submission is received from the AEoR and distributed to all Reviewers. All AEoR’s responses to comments must be sent to the reviewers prior to the QC Meeting. During the meeting, DPM to ensure that the reviewer completes the “Action” item in the review comments sheet. (Select here for QC Review Comment Sheet).
- 4.3.8 External Agency Coordination: DOT/DEP/DEC/DSNY/MTA/AMTRAK Utility Companies Coordination:** During the Design Development Phase, a number of planning and introductory meetings shall be scheduled by the DPM team to review the DOT/DEP/DEC/DSNY/MTA/AMTRAK and utility companies with concerns of the capacity site and building planning issues. The intent of these sessions is to establish design and filing protocols appropriate to the scope and design of the new school and its coordination with Regulatory agencies having jurisdiction over the work. It is important to review all areas of work including outside premise area such as sidewalks and check if proposed work is within the zone of influence of a transit stop or structure. Any proposed vault work in sidewalk need to be coordinated with DOT. AeOR to prepare the [Utility/Regulatory Agency Filing Process for Electric/Power Vault Advisory document](#)
- 4.3.9 Off-line Meetings with Specialty Group:** DPM via e-mail provides AEoR any updates or changes to the schedule of meetings and list of



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key invitees. DPM monitors implementation of SCA standard meetings procedure, use of standard forms and presentations by the AEOR to meetings with specialty group representatives: Library; Kitchen; DIIT; FF&E; PAPS; D75-DOE.

- 4.3.10 Preliminary Deviations Submission and Review:** Prior to Preliminary Deviations proposal, discussions with the DM/DPM must be initiated by the AEOR. DM will indicate whether a Deviation Proposal should be made or not. Prior to proposing deviations, the AEOR shall check the Log of Deviations Not Accepted to avoid unnecessary submittals. AOR must submit a “Deviations Proposal” to the DM/DPM for consideration and approval by the Deviations Committee so that ample time is provided for its review and approval/disapproval by the Deviations Committee. Typically, the process shall begin no later than the DD (30%) phase with a final determination being sought prior to the conclusion of the 60% phase unless an extension of time is authorized by A/E. (Select here for **Invite Matrix**). DPM provides AEOR with Deviations sample forms and sample submissions in anticipation of early potential “non – SCA standards items” which may impact the project. ([Select here for Procedural Guideline 3.2.4 – Deviations from Design Standards](#))
- 4.3.11 Internet Protocol Digital Video Surveillance (IPDVS):** DPM to schedule a meeting with DOE security review group to review the IPDVS locations and design. Principal’s/School Administrator’s review and approval of camera locations is required during the construction documents phase based on the IPDVS determination of the scope of such services for the proposed school (new and existing).
- 4.3.12 PAPS Art Location Meeting:** PAPS to schedule an Art Location Meeting to select Art location. AEOR is expected to prepare a PowerPoint presentation identifying potential Art locations in compliance with PAPS Art Location requirements. A meeting is scheduled one week after the 30% design submission if the project is eligible for PAPS.
- 4.3.13 PAPS Artist Selection Meeting (Panel 1):** PAPS to schedule. Meeting is to review artists and select finalists (and alternates) who will prepare artwork proposals for the project. AEOR, DM and DPM are all invited. AEOR is required to attend as they are voting panelists. DM & DPM are advisory panelists. AEOR to give a short (5-10 minute) and give short PowerPoint presentation showing the building design, neighborhood context and focused attention on the Art location(s). PowerPoint presentation to be submitted one week prior to scheduled meeting. The meeting is scheduled four weeks after the Art Location Meeting.

### 4.4 Phase Specific Considerations

- 4.4.1 Zone of Public Protection Plan (ZPPP):** At beginning stage of Design Development phase AEOR is to produce a Zone of Public Protection Plan identifying adjacent properties with block and lot and address along with brief written scope of work and outline of exposure. AEOR issues ZPPP to DPM. DPM is to issue the ZPPP to Safety Unit, CRM, and External Affairs, ([add link to sample ZPPP](#))
- 4.4.2 Zoning and Egress Filing:** DPM ensures that AEOR files the Zoning and Egress documents with BCC prior to the submission of the Zoning Override Letter. This is monitored by review of the Capacity Project Filings and Submissions status at each biweekly meeting.



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- 4.4.3 Zoning Waiver Request Package:** 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 including a cover-letter to the Dep. Mayor’s Office along with 8.5” x 11” back-up drawings detailing all aspects of building design not in compliance with Zoning Regulations ([insert link to sample here](#)). After the AEOR submits the “draft” ZWR package to the DPM, the DPM/DM and Director must review the package for accuracy and content before forwarding it to the SCA RE Departments. Upon their review and approval, the SCA Real Estate Departments will forward the entire ZWR package to the Deputy Mayor’s Office
- 4.4.4 Chimney & Vent Plan:** The AEOR shall prepare a plan showing all chimneys and vents within 100’ radius of the property line as per the NYC Building Code requirements.
- 4.4.5 Library Layout Plan:** The AEOR shall prepare plan showing Library layout and submit to DPM to forward to Library Division for review and comments.
- 4.4.6 Kitchen Layout Plan:** The AEOR shall prepare plan showing kitchen layout and submit to DPM to forward to Office of Foods for review and comments.

### 4.5 Project Deliverables

- 4.5.1 [Design Development Drawings](#) Submission:** Upon receipt of drawings, DPM distributes the submission to all assigned reviewers for comments. Starting this phase, MEP, Fire Protection and Envelope design shall be reviewed by DCIM assigned consultants. Review comments are submitted per SCA review format.
- 4.5.2 [Design Development Cost Estimate](#):** A more detailed cost estimate is to be included in the Design Development report by AEOR. Cost estimate to reflect Deviations information and to be reviewed and approved by SCA Cost Estimating Unit. DPM to ensure the updated gross area of the design is provided in the estimate. The Design Development cost estimate is due concurrently with the design submission. DPMs are to ensure that the Cost per Square Foot (CPSF) breakdown sheet ([See Example CPSF](#)) has been included as an attachment to the estimate. The DPM compares the cost estimate and CPSF sheet to confirm all “large cost” items have been accounted for and the two documents agree with each other. Cost estimate submission and approval dates are to be tracked on the FAST sheet.
- 4.5.3 [POR Comparison Table](#):** DPM facilitates the POR reconciliation process among AEOR, CPM and TSS to arrive at a final POR for the project at the conclusion of the Design Development Phase. At the conclusion of each design milestone phase, the DM/DPM shall forward to TSS an updated POR that reflects the most recent program. TSS shall update and upload an official version of the POR in the project folder. DM/DPM can access the POR shortcut in the project folder and can locate the POR based on the correct Capital Plan, the School District and Project name; DPM facilitates the POR reconciliation process among AEOR, CPM and TSS to arrive at a final POR for the project at the conclusion of the Design Development Phase. At the conclusion of each design milestone phase, the DM/DPM shall forward to TSS an updated POR that reflects the most recent program. TSS shall update and upload an official version of the POR in the project folder. DM/DPM can access the POR shortcut in the project folder and can locate the POR based on the



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correct Capital Plan, the School District and Project name; an index, listing all the current folders where the POR is located has been created for the appropriate 5 Year Capital Plan. (Select here POR index) or (Select here for Procedural Guideline 3.2.101 Program of Requirements Approval Process for Capacity Projects).

- 4.5.4** At the end of the Design Development Phase, AEOR submits a signed Statement of Adherence attesting to the development of the IC Submission according to all relevant SCA standards and requirements. (Applicable to DCMS only).
- 4.5.5** **Certification Letter:** AEOR shall submit Certification letter to the CADD Unit for incorporation into the project files to confirm that all electronic format of documents included in the Phase 1A – Pre-schematic submittal are compliant per SCA contract agreement:
- Pre-Schematic Report.
  - Power Point Presentations.
  - CES Estimate of Construction Cost (for each scheme).
- 4.5.6** E-mail notification of acceptance of the Design Development Documents (Phase IC) is issued by the DCMS DPM to the AEOR. This notice to proceed to the next phase of document development (Phase IIA) may be conditional.: E-mail notification of acceptance of the Design Development Documents (Phase IC) is issued by the DPM to the AEOR. This notice to proceed to the next phase of document development (Phase IIA) may be conditional.



In this manual, the term AEoR refers to the Consultant for projects managed by the Design Consultant Management Studio (DCMS) and refers to the Architectural lead for projects managed by the In-House Studio.

## 5.0 CONSTRUCTION DOCUMENTS PHASES IIA (60%)

### Purpose

Drawings and Specifications are further developed by all technical Consultants to an increasing level of detail commensurate with Phase IIA 60% completion for the ultimate production of a well-coordinated set of construction documents.

### AE Contract Agreement Requirements

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

### Reference Materials and Standards

For the design consultant projects, DCMS DPM shall provide instruction to the AEoR to review and follow the latest SCA Standards. All project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards and Standard Specifications and Details) is available at: <http://www.nycsca.org/Design/Design-Standards>.

**5.1 Instructions to DM/DPMs:** Sequential listing of Standard Procedures and Forms used during the 60% Phase (IIA) is listed below. DM/DPM teams and designated AEoR are required to review and follow the most updated SCA Standards and latest Bulletins to Standards, whether or not those items are explicitly noted below. DPM to ensure that all project related documents are uploaded into the project folder.

**5.2 Document Development (Design Project) Management:** Upon commencement of the 60% Construction phase, DPM manages the day-to-day operation of the capacity project; shares all concerns with, and seeks advisement from the responsible DM. The DM-DPM team oversees the development of the project construction documents (drawings and specifications) including; as follows:



### 5.2.1 Forms and data sheets preparation by DPM:

#### a) Capacity Project Data Sheet

The Capacity [Project Data Sheet](#), is updated for each phase by DPM as an internal project management and administrative tool to facilitate phase by phase tracking of the project.

**5.2.2 Communication with AEO:** DPM, with DM support, oversees and tracks the development of the construction documents and administers the following

#### 5.2.2.1 Monitoring and facilitating meetings with BCC

**5.2.2.2 Supplemental Meetings with Specialty Group Representatives:** Unless otherwise noted DPM schedules the meetings; DPM, with DM support, facilitates and attends meetings with AEO. Meeting intent and procedures are described below

5.2.2.2.1 Security” [includes IPDVS, DIIT, FF&E Integrator]

5.2.2.2.2 FMSI [Mechanical Controls]

5.2.2.2.3 DOT/DSNY – Part 2

5.2.2.2.4 PAPS

5.2.2.2.5 Phasing

5.2.2.2.6 GSG Submission (scheduled by GSG)

5.2.2.2.7 Deviations

5.2.2.2.8 Façade Review – Part 2

5.2.2.2.9 Finish Materials to President

5.2.2.2.10 POR Reconciliation

5.2.2.2.11 QC Review

5.2.2.2.12 Elements of Smart Design



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**5.2.2.3 Monitoring and facilitating Submissions/Filings:** or a complete list of Submissions/Filings refer to the FAST Report. Select submissions/filings are described below

5.2.3.2.1 Architectural Floor Plans of Final Designs - Early in the 60% design phase, the AEoR is to provide a set of floor plans (in PDF format) of the final floor plans. (Select here for [SAMPLE Floor Plans](#))

- Each floor plan shall include/incorporate the following:
- Site plan, floor plans and Roof plans
- All Room Names with Room Numbers (is this a reference to existing bldg. room #s / other #s not yet established?)
- A separate sheet listing all Room Names with Square Footage (Sq. Ft.). Do not show room areas on floors plans.
- Drawings should be in color. One color per use (i.e. red for Classroom, yellow for PA's, blue for Administration, etc.)
- Floor Plans for both the New Addition and the Existing Building (indicate spaces altered within existing building)
- Be legible when printed on 11" x 17" (Tabloid) size sheets.
- To achieve this Notes, Dimensions, Column Lines, Tags, Wall Type symbols, etc. are not to be shown.
- Furniture Layout are not required.

The DPM shall name the file "Final PDF Plans" and save in folder: J:\...\ManagementSchedule\Correspondence until a new specific folder is identified

**5.2.3 Forms and data sheets preparation by AEoR:**

- a) **Filing and Submission Tracking Report (FAST Report):** The FAST Report is to be used by the AEOR to schedule and track all required regulatory and non-regulatory submissions required at each milestone phase. The AEoR is required to enter the scheduled submission and approval dates for every item indicated in the phase. The DPM must monitor and follow-up with the AEoR if any submissions are late or in jeopardy of being late. The FAST Report is to be presented at the beginning of every design progress meeting for the benefit of all stakeholders attending the meeting. ([Select here for FAST report Sample](#)).



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**5.3 Meetings Management:** DM-DPM team Prepare, Schedule, and manage all capacity meetings (kick-off, progress/bi-weekly, Quality Control and Compliance meetings) per attached [Capacity Meeting Process and invite Matrix](#). DPM to **chair all project** meetings. DM-DPM are to follow the guidelines to insure all SCA standard meetings procedure, protocols, forms, presentations are adhered to by AEO:

- 5.3.1 Progress (Bi-weekly) Meeting Agenda, and Minutes Standard Format.** meetings for this phase as per the approved project schedule. ([Select here for sample schedule](#)). Bi-weekly meetings may be waived by A&E during the 100% Phase.
- 5.3.2 Phasing Meeting(s):** DM-DPM to schedule with AEO Phasing meetings as needed during all phases of the project, separate from the typical bi-weekly progress meeting to go over phasing issues including TCU removal; demo of existing building components and/or work in the existing building; invitees to follow the [Invite Matrix](#). In addition, consideration shall be given during these meetings to evaluating and establishing Zone of Public Protection Plan
- 5.3.3 Security Meeting (IPDVS, DIIT, FF&E System Integrator):** DPM to provide designated DCMS Administrative Staff with Project Information Sheet which has been completed by AEO and request a meeting with the Safety unit. The DCMS Administrative Staff will create the calendar invitation and the DPM will forward it to DIIT and FF&E System Integrator. If a System Integrator has not yet been assigned to the project, DPM is to contact the FF&E Director for that assignment. ([Project Information Sheet](#)) ([Inter-Agency Contacts](#)).
- 5.3.4 FMSI [Mechanical Controls] Meeting (as needed)** At start of 100% DPM is to alert the FMSI coordinator that the phase has been initiated and coordinate any immediate follow-up between AEO and the FMSI coordinator. At 100% Submission, DPM is to select Mechanical Controls Review and is to forward relevant drawings and specifications to the FMSI coordinator. If requested by FMSI coordinator, the DPM is to schedule a dedicated FMSI Meeting. Compliance Review will be required for FMSI.
- 5.3.5 PAPS Meeting:** PAPS Artist Kickoff Meeting: PAPS to schedule. Meeting with PAPS Core Review Group and the commissioned artist to review and provide direction for preliminary design development. AEO is required to attend and give a short (5 – 10 minutes) updated PowerPoint presentation showing the building design, neighborhood context and focused attention on the Art location(s). Presentation to include most recent drawings with dimensions related to the art location and an updated rendering of the art location showing all colors, finishes and associated lighting as approved by SCA Executive Dept. and the school Principal/Superintendent. AEO is to provide updates on construction schedule and any changes to the art location



**5.3.6 GSG Submission Meeting** GSG schedules this meeting. DPM monitors timely submission of Green Design package and participates in meetings with the SCA/TSS Green Schools Committee. ([GSG Submission guidelines](#)). Click here if pursuing [Solar PV Canopy and Rooftop Stormwater Management](#).

**5.3.7 Thermal Envelope Review Meeting**

- At the start of 100% TSS will provide DM/DPM with the Building Envelope Commissioning Agent contact information.
- DPM to include Building Envelope Review as an agenda item in the first meeting of the 100% phase and to ensure that either GSG Director or dedicated GSG staff can attend. At the meeting, the Building Envelope Commissioning Agent will give a description of the items that they will be looking for as part of the building envelope design to ensure that thermal bridging is minimized whenever possible.
- At the midway point of the 100% phase, the DPM is to schedule a dedicated **meeting** so that the consultant can present their building envelope details, for TSS and the Building Envelope Commissioning Agent review.

**5.3.8 Principal Meeting**

**Communication with Principal/School Administrator:**

For Addition projects, at the mid-point of 100% Design, the DPM is to alert CPM that the project team is ready to schedule a meeting with Principal and receive CPM's consent before scheduling the meeting with the Principal. This is CPM's meeting and all presentation materials must be reviewed and approved by CPM before the meeting. At the meeting, CPM will make introductory remarks about the project and answer all questions related to the POR or any other requests from the principal. The AOR will present the project documentation\*. CM will discuss any issues related to construction and phasing. External Affairs will discuss school and community outreach.

\*The presentation materials are to be: Site Plan, Floor Plans, Playground design, Building Elevations (if previously approved by the President), Interior Color Scheme (if previously approved by the President).

For New Building projects, at the mid-point of 100% Design, the DPM is to alert CPM that the project team is ready to schedule a meeting with the Superintendent and, as appropriate, the D75 Program Representative.



**5.3.9 POR Reconciliation Meeting** DPM ensures that AEoR prepares and submits POR reconciliation package at the end of 60% phase. The POR reconciliation must be accompanied by plans that include the current design square footage for all spaces. DPM to review the documents for completeness and make DM aware of any discrepancies prior to forwarding the package to CPM. Unless waived by CPM, the DPM is to schedule the POR Reconciliation Meeting per Capacity Meeting Matrix. CPM comments generated by the meeting must be resolved prior to the subsequent phase or as agreed to by CPM. Upon receipt, DPM files CPM's acceptance of the POR in the project file. ([Select here POR index](#)) or ([Select here for Procedural Guideline 3.2.101 Program of Requirements Approval Process for Capacity Projects](#))

**5.3.10 3<sup>rd</sup> Party Coordination and Constructability Review – Meeting**

The DM/DPM at the 100% Contract Documents Phase shall submit to DCIM a request for a Coordination and Constructability Review by an SCA authorized third party reviewing consulting firm. Upon identification of the assigned Coordination and Constructability Review Firm, the DM/DPM shall instruct the AEoR to upload their files/documents (Drawings and Specifications) to an ftp site or a drobox. ([Select here for Scope of services for C&C Review](#)). The DCIM Coordinator shall request and obtain a fee proposal for these services and establish the schedule of the completion of such review in consultation with the assigned DM/DPM. The C&C comments shall be provided in a format which identifies those with potential cost impact on the project. The DM/DPM team shall review all items and insure that AEoR addresses in a timely manner all mutually agreed and all accepted review comments critical for bid and construction purposes. In the event of prohibitive project schedule affect in implementing the required revisions, the DM/DPM shall assess with Director the following options:

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- c) Incorporation of critical items through Addenda prior to Bid and remaining items through Bulletins after Bid as to minimize change orders and not adversely impact or delay the Bid process.

A back check process based on a random sampling or revisions shall be conducted by the AEoR and DM/DPM team to insure all major items involving cost have been addressed in the revised documents

**5.3.11 QC Review Meeting**

Upon receipt of a complete set of documents DPM schedules and facilitates the 100% QC Review meeting. Utilizing the Staff Request and Assignment Form, the DPM emails a Submittal link to DCS for assignment of, and distribution to, DCS Reviewers, for comments. DPM issues the Submittal link to CM and to Specialty Reviewers, where applicable (FMSI & FF&E)



review are required at 100%). Review comments are submitted per SCA review format within 10 working days to DPM. AEO shall respond to QC review items within 5 days of receipt. DPM shall schedule the QC Review to allow the reviewers 2 working days to review the AEO responses.

The purpose of the meeting is for the Reviewer/AEO/Sub-Consultants to review and discuss all open Reviewer Comments. Following the QC Meeting the Reviewer is to provide their Action Codes to the DPM on the standard Review form. For all open items, the DPM is to facilitate follow-up by AEO until every item is closed. DPM to file documentation of closure, which may be a combination of the Review Form Action Codes and follow-up correspondence, in the project file.

#### **5.3.12 Compliance Review Meeting**

AEO implements all 100% reviewers' comments in the contract documents and submits the documents to the DPM in electronic format. DPM shall distribute the documents to all reviewers and set up an onboard compliance QC review meeting as required by each Reviewer. If a Reviewer waives Compliance Review, the DPM is to include that communication in the project file. ([Select here for Project Data Sheet](#)) g

#### **5.3.13 Elements of Smart Design (ESD) Meeting**

The DM/DPM shall continue to monitor ESD comments from the previous milestones and identify any developing issues which could impact the project's cost, quality of design and/or schedule. The ESD Meeting occurs after the last progress meeting of the phase. The attendees shall be the DM/DPM and AEO. A&E Directors and Sub-consultants may be invited at the discretion of the team. At the meeting the DPM, working with the AEO, annotates each category that has not already been resolved in a prior phase. The ESD form should represent the cumulative comments through the current phase. The DPM saves the updated [ESD form](#) in the project folder.

### **5.4 Phase-Specific Considerations**

- 5.4.1 BCC Meetings:** AEO and DPM to schedule and attend meetings with BCC throughout 100%. DPM shall attend appointments with BCC at key points of 100% document development and establish/attend emergency appointments should they be required to stay on target for timely turnover of design documents. DM to attend BCC meetings as needed.
- 5.4.2 Federal Aviation Administration (FAA):** DPM directs AEO to obtain the initial FAA determination via the [FAA portal](#) (<https://oeaaa.faa.gov/oeaaa/external/portal.jsp>) Notice Criteria Tool. The AEO must convey the outcome to the DPM.



- 5.4.2.1 If “no hazard” is determined, the AEoR will receive a “No Hazard Determination Letter” from the FAA; the DPM shall place the letter in the project file. Depending on the construction schedule AEoR may need to file for extension.
- 5.4.2.2 If required by the outcome of the initial determination, the DPM directs AEoR to proceed with full notice of construction/alteration filing and submission.

**5.4.3 Utility Coordination:**

- 5.4.3.1 General: AEoR to continue outreach to electric, gas, and telephone utilities. If a utility is not responsive AEoR is to bring this to the DPM/DM’s attention so that DM may alert the Director
- 5.4.3.2 Con Edison Vault: If a Con Edison vault is required, the AEoR must follow the [Vault Procedure](#) and keep DPM/DM apprised of progress/status.

**5.4.4 Zoning Over-Ride Request / Zoning Waiver Letter:** DPM to follow-up with the SCA Real Estate to obtain the updated status of the Zoning Waiver approval and alert DM of status. If major items change from prior submissions [more students, taller building, change in size/location of play yard or curb cuts etc.] the DPM must update Real Estate promptly

**5.4.5 Zoning Exhibits:** The AEoR is to provide Zoning Exhibits I & III to the DPM who will submit them to SCA legal for review. Upon acceptance of the documents by SCA Legal, AEoR is to sign and notarize Exhibit III and Legal is to provide signed/notarized Exhibit I. DPM forwards the original signed/notarized Exhibit I back to AEoR. The AEoR then files both the original exhibits with the county clerk’s office and obtains the city register file number (CRFN) to be submitted to BCC or DOB.

**5.4.6 Turnover Checklist:** DPM to forward to AEoR the Turnover Checklist to use as a guide in performing a final quality check of the updated and approved bid set. DM-DPM team to agree on the “Issue for Bid” date to appear on all bid documents including IEH work and section S01010. Documents will not enter the bid phase (aka “Turnover to CM”) until all comments from reviewers have been addressed satisfactorily and Regulatory approvals of New Building application have been obtained (with the exemption of the Zoning Waiver approval). The Turnover package to CM from A&E will be uploaded in TOBSS. ([Select here for Capacity Project Turnover Advisory](#)).



**5.4.7 Turnover of Non-Standard Capacity Projects:** Some capacity projects, such as 3Ks or early packages, are identified by CM as projects that are to be managed by the On-Call CM team, typically due to tight construction schedules. These types of projects are not processed for Turnover via TOBBS.

5.4.7.1 The contract documents and cost estimates are provided to the CM team via a link and emails are saved in the project file.

5.4.7.2 Subsequently, these projects must be turned over via Turnover Transmittal and TOBSS to ensure tracking of deliverables for payment purposes

## 5.5 Project Deliverable

**5.5.1 IEH Submission:** Upon receipt and acceptance of the complete 100% Submission, DPM to utilize the ENFO platform to submit documents to IEH. Upon receipt of determination from IEH, DPM to share all documentation with AEO for inclusion in the project documents

### 5.5.2 Cost Estimate (CE) :

**5.5.2.1** A 100% cost estimate using the SCA Cost Estimating System must be prepared for the 100% Submission:

- DPM to ensure the gross area is provided.
- DPM to concur after receiving approval/concurrence from the SCA's Estimating Unit.
- DPM to coordinate with the SCA's Estimating Unit to ensure that PTS is updated with the gross area and estimate.
- DPM to ensure that the [Cost Per Square Foot \(CPSF\) Breakdown](#) sheet has been included as an attachment to the estimate. DPM to compare the CE to the CPSF to confirm all "large cost" items have been accounted for and that the two documents are in general agreement with each other.



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**5.5.2.2** A Turnover cost estimate using the SCA Cost Estimating System must be prepared for the Turnover Submission:

- DPM to ensure the gross area is provided.
- DPM to concur after receiving approval/concurrence from the SCA’s Estimating Unit.
- DPM to coordinate with the SCA’s Estimating Unit to ensure that PTS is updated with the gross area and estimate.
- DPM to ensure that the [Cost Per Square Foot \(CPSF\) Breakdown](#) sheet has been included as an attachment to the estimate. DPM to compare the CE to the CPSF to confirm all “large cost” items have been accounted for and that the two documents are in general agreement with each other.

**5.5.3 Building Area Tabulation – Education and Custodial Spaces Submission:** AEoR to submit Building Area tabulation as per DR 1.1.5.1. PM submits Building Area tabulation to DSF and copies DM / CPM.

**5.5.4 Final Compliance Review Memorandum:** DM, in coordination with DPM and consultation with CM, completes a Final Compliance Review Memo to the VP regarding adherence with all review comments. In the event it is not feasible to address all outstanding concerns before scheduled turnover, the memo will outline a strategy on how to release the documents for bid.

**5.5.5 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 **DPM**. The certificate will state that to the best of the AEoR knowledge and beliefs these completed Services meet the requirements of this Agreement, all applicable regulatory agencies, local utilities and that all review comments received from the SCA, have been properly addressed. [\[Link to sample letter\]](#).

**5.5.6 Email Notification of Acceptance:** DPM issues email notification of acceptance to AEoR at each milestones: 100% Submission, Compliance, Turnover (aka Bid Set). Acceptance may be conditional. Documents will not enter the Bid Phase (aka turnover to CM) until all outstanding items have been addressed satisfactorily and Regulatory approvals have been obtained.



- 5.5.7 Submissions of Electronic Documents:** [Certification Letters](#) are submitted by AEO to CADD Unit stating that all electronic formats of documents included in the Phase IIB (100%) submittal are compliant per SCA Agreement.
- 100% Construction Documents
  - 100% Specifications
  - Estimate of Construction Cost
- 5.5.8 Statement of Adherence:** DPM emails **ODC** with Actualized Dates: 100% Submittal, Cost Estimate, and Review/Approval. At the end of the Construction Document Phase IIB 100%, the AEO submits a signed [Statement of Adherence](#) attesting to the development of the 100% documents according to all relevant SCA and Regulatory standards and requirements.
- 5.5.9 Notification to Proceed to Next Phase:**
- 5.5.9.1 DPM to issue to the AEO an E-mail of acceptance of 100% Construction Documents and [Notification to Proceed to Next Phase](#), with certain conditions
- 5.5.9.2 DPM to issue to the AEO an E-mail of acceptance of Turnover Documents and [Notification to Proceed to Next Phase](#), with certain conditions



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In this manual, the term AEOE refers to the Consultant for projects managed by the Design Consultant Management Studio (DCMS) and refers to the Architectural lead for projects managed by the In-House Studio.

## 6.0 CONSTRUCTION DOCUMENTS PHASES IIB (100%)

### Purpose

Drawings and Specifications are further developed by all technical Consultants to an increasing level of detail commensurate with Phase IIA 60% completion for the ultimate production of a well-coordinated set of construction documents.

### AE Contract Agreement Requirements

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

### Reference Materials and Standards

For the design consultant projects, DCMS DPM shall provide instruction to the AEOE to review and follow the latest SCA Standards. All project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards and Standard Specifications and Details) is available at: <http://www.nycsca.org/Design/Design-Standards>.

**6.1 Instructions to DM/DPMs:** Sequential listing of Standard Procedures and Forms used during the 60% Phase (IIA) is listed below. DM/DPM teams and designated AEOE are required to review and follow the most updated SCA Standards and latest Bulletins to Standards. DPM to ensure that all project related documents are uploaded into the project folder.

**6.2 Design Project Management:** Upon commencement of the 60% Construction phase, DPM manages the day- to-day operation of the capacity project; shares all concerns with, and seeks advisement from the responsible DM, as follows:

#### 6.2.1 Forms and data sheets preparation by DPM:

##### a) Capacity Project Data Sheet

The Capacity [Project Data Sheet](#), is updated for each phase by DPM as an internal project management and administrative tool to facilitate phase by phase tracking of the project.

#### 6.2.2 Forms and data sheets preparation by AEOE:



- a) **Filing and Submission Tracking Report (FAST Report):** The FAST Report is to be used by the AEOR to schedule and track all required regulatory and non-regulatory submissions required at each milestone phase. The AEOR is required to enter the scheduled submission and approval dates for every item indicated in the phase. The DPM must monitor and follow-up with the AEOR if any submissions are late or in jeopardy of being late. The FAST Report is to be presented at the beginning of every design progress meeting for the benefit of all stakeholders attending the meeting. ([Select here for FAST report Sample](#)).

**6.3 Meetings Management:** DM-DPM team Prepare, Schedule, and manage all capacity meetings (kick-off, progress/bi-weekly, Quality Control and Compliance meetings) per attached [Capacity Meeting Process and invite Matrix](#). DPM to **chair all project** meetings. DM-DPM are to follow the guidelines to insure all SCA standard meetings procedure, protocols, forms, presentations are adhered to by AEOR:

- 6.3.1 Progress (Bi-weekly) Meeting Agenda, and [Minutes Standard Format](#).** meetings for this phase as per the approved project schedule. ([Select here for sample schedule](#)). Bi-weekly meetings may be waived by A&E during the 100% Phase.
- 6.3.2 Phasing Meeting(s):** DM-DPM to schedule with AEOR Phasing meetings as needed during all phases of the project, separate from the typical bi-weekly progress meeting to go over phasing issues including TCU removal; demo of existing building components and/or work in the existing building; invitees to follow the Invite Matrix. In addition, consideration shall be given during these meetings to evaluating and establishing Zone of Public Protection Plan.
- 6.3.3 Security Meeting (IPDVS, DIIT, FF&E System Integrator):** DPM to provide designated DCMS Administrative Staff with Project Information Sheet which has been completed by AEOR and request a meeting with the Safety unit. The DCMS Administrative Staff will create the calendar invitation and the DPM will forward it to DIIT and FF&E System Integrator. If a System Integrator has not yet been assigned to the project, DPM is to contact the FF&E Director for that assignment. ([Project Information Sheet](#)) ([Inter-Agency Contacts](#)).
- 6.3.4 FMSI [Mechanical Controls] Meeting (as needed):** At start of 100% DPM is to alert the FMSI coordinator that the phase has been initiated and coordinate any immediate follow-up between AEOR and the FMSI coordinator. At 100% Submission, DPM is to select Mechanical Controls Review and is to forward relevant drawings and specifications to the FMSI coordinator. If requested by FMSI coordinator, the DPM is to schedule a dedicated FMSI Meeting. Compliance Review will be required for FMSI.
- 6.3.5 PAPS Meeting** PAPS Artist Kickoff Meeting: PAPS to schedule. Meeting with PAPS Core Review Group and the commissioned artist to review and provide direction for preliminary design development. AEOR is required to attend and give a short (5 – 10 minutes) updated PowerPoint presentation showing the building design, neighborhood context and focused attention on the Art



location(s). Presentation to include most recent drawings with dimensions related to the art location and an updated rendering of the art location showing all colors, finishes and associated lighting as approved by SCA Executive Dept. and the school Principal/Superintendent. AEOB is to provide updates on construction schedule and any changes to the art location.

**6.3.6 GSG Submission Meeting:** GSG schedules this meeting. DPM monitors timely submission of Green Design package and participates in meetings with the SCA/TSS Green Schools Committee. ([GSG Submission guidelines](#)). Click here if pursuing [Solar PV Canopy and Rooftop Stormwater Management](#) .

**6.3.7 Thermal Envelope Review Meeting**

- At the start of 100% TSS will provide DM/DPM with the Building Envelope Commissioning Agent contact information.
- DPM to include Building Envelope Review as an agenda item in the first meeting of the 100% phase and to ensure that either GSG Director or dedicated GSG staff can attend. At the meeting, the Building Envelope Commissioning Agent will give a description of the items that they will be looking for as part of the building envelope design to ensure that thermal bridging is minimized whenever possible.
- At the midway point of the 100% phase, the DPM is to schedule a dedicated **meeting** so that the consultant can present their building envelope details, for TSS and the Building Envelope Commissioning Agent review.

**6.3.8 Principal Meeting:**

**Communication with Principal/School Administrator:**

For Addition projects, at the mid-point of 100% Design, the DPM is to alert CPM that the project team is ready to schedule a meeting with Principal and receive CPM's consent before scheduling the meeting with the Principal. This is CPM's meeting and all presentation materials must be reviewed and approved by CPM before the meeting. At the meeting, CPM will make introductory remarks about the project and answer all questions related to the POR or any other requests from the principal. The AOR will present the project documentation\*. CM will discuss any issues related to construction and phasing. External Affairs will discuss school and community outreach.

\*The presentation materials are to be: Site Plan, Floor Plans, Playground design, Building Elevations (if previously approved by the President), Interior Color Scheme (if previously approved by the President).



For New Building projects, at the mid-point of 100% Design, the DPM is to alert CPM that the project team is ready to schedule a meeting with the Superintendent and, as appropriate, the D75 Program Representative.

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- a) A 100% cost estimate using the SCA Cost Estimating System must be prepared for the 100% Submission:
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  - DPM to coordinate with the SCA’s Estimating Unit to ensure that PTS is updated with the gross area and estimate.
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**6.5.5 Certificate of Completeness:** At Turnover Documents, the AEO 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 DPM. The certificate will state that to the best of the AEO’s knowledge and beliefs these completed Services meet the requirements of this Agreement, all applicable regulatory agencies, local utilities and that all review comments received from the SCA, have been properly addressed. [\[Link to sample letter\]](#).

**6.5.6 Email Notification of Acceptance:** DPM issues email notification of acceptance to AEO at each milestones: 100% Submission, Compliance, Turnover (aka Bid Set). Acceptance may be conditional. Documents will not enter the Bid Phase (aka turnover to CM) until all outstanding items have been addressed satisfactorily and Regulatory approvals have been obtained.

**6.5.7 Submissions of Electronic Documents:** [Certification Letters](#) are submitted by AEO to CADD Unit stating that all electronic formats of documents included in the Phase IIB (100%) submittal are compliant per SCA Agreement.

- 100% Construction Documents
- 100% Specifications
- Estimate of Construction Cost



**6.5.8 Statement of Adherence:** At the end of the Construction Document Phase IIB 100%, the AEOB submits a signed [Statement of Adherence](#) attesting to the development of the 100% documents according to all relevant SCA and Regulatory standards and requirements.

- DPM emails **ODC** with Actualized Dates: 100% Submittal, Cost Estimate, and Review/Approval.

**6.5.9 Notification to Proceed to Next Phase**

- a) DPM to issue to the AEOB an E-mail of acceptance of 100% Construction Documents and [Notification to Proceed to Next Phase](#), with certain conditions.
- b) DPM to issue to the AEOB an E-mail of acceptance of Turnover Documents and [Notification to Proceed to Next Phase](#), with certain conditions.



## 7. 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 and review of the apparent low bidders' cost breakdown is required for the final selection of the lowest responsive bidder.

### AE Contract Agreement Requirements

When DCMS has engaged a consultant in the design of the new capacity school project all parties are required to follow the criteria in the applicable Scope of Services Section Appendix A of AE Consultant Services Agreement. ([Select here for sample of Scope of Services](#))

### Reference Materials and Standards

DCMS shall provide instruction to each selected AEO to review and follow the latest SCA Standards. All project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards, Title Sheets, Standard Details and Specifications) is available at <http://www.nycsca.org/Design/Design-Standards>

**7.1 Bid and Award Phase IIC- Instructions to DPM's:** Sequential listing of Standard Procedures and Forms used during this phase are listed below. DM/DPM teams and designated AEO are required to review and follow the most updated SCA Standards and latest Bulletins to Standards

**7.1.1 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 AEO and sub-consultants. In addition, DM/DPM facilitates meetings with BCC and continues to update all "Open Submittals and Approvals for Capacity Projects" form, ([select here for OS&A sample](#)) until all of the items have been finalized. This phase is comprised of the following three major effort periods.

- Post Turnover to Advertisement ([Select here for Advisory document for Post Turnover Activities](#))
- Post Advertisement to Bid ([Select here for Advisory document on 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 Pre-Bid Meeting Power Point Presentation:** The DPM shall instruct the AEO to prepare a Pre-Bid meeting Agenda and Power Point Presentation (15-20 minutes long) that defines the architectural, structural, civil and MEP scope of work for prospective bidders. Contract Administration Department (CA) schedules the pre-bid meeting approximately 2 weeks after the bid documents have been advertised. The AEO and



sub-consultants will attend this meeting. DPM advises AEO to attend of a follow-up Mandatory field visit for interested bidders.

- 7.1.2 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 Cost Estimating Unit for review. The DPM to forward estimate to the CM, A&E, CA, DCIM and Director of Life Cycle Management. This must all take place before the actual Bid Opening occurs.
- 7.1.3 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 should ensure that latest complete set of drawings and specifications including all addenda are in project folder.
  - **Bid Breakdown Review:** Upon request from CA, the DM-DPM team shall instruct the AEO to prepare 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. AEO will analyze low bidders cost breakdown and provide analysis to A&E Chief Cost Estimator for review. Consultant to identify major discrepancies between bid and estimate, and provide possible reasons for the differences. ([Select here for Procedural Guideline 4.3.1 Bid Analysis & Reconciliation Procedure for Capacity and CIP Projects](#)) (Select here for Final Revised BID Breakdown Template - [T:\sca\\_stds\forms\Estimating](#))
- 7.1.4 Pre-Award Meeting:** CM will call a pre-award meeting to discuss variances between final estimate and lowest bid. The DM/DPM & AEO team including consultants estimator, CM CA and A&E shall be attending. This meeting chaired by CM will address the results of the Bid Breakdown Analysis.
- 7.1.5 Selection of Field Rep:** Upon e-mail notification by the DM-DPM team, the AEO will review, screen and forward the resume(s) of a Technical Field Representative for the construction period. The DM-DPM team shall schedule and attend interview sessions with the CM Department for the selection of a qualified Technical Field Rep. for the construction project. CM, A&E and AEO will make a consensus-based selection of a Field Rep. Once a candidate has been selected, the DPM shall inform AEO via email.



## 8. CONSTRUCTION ADMINISTRATION PHASES IIIA & IIIB

### Purpose

DCMS is tasked with Construction support (Phase IIIA) and the responsibility to assure that the building constructed meets the Contract Documents (CDs). 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

When DCMS has engaged a consultant in the design of the new capacity school project all parties are required to follow the criteria in the applicable Scope of Services Section Appendix A of AE Consultant Services Agreement. ([Select here for sample of Scope of Services](#))

### Reference Materials and Standards

DCMS shall provide instruction to each selected AEoR to review and follow the latest SCA Standards. All project related and relevant information (SCA Procedural Guidelines; Design Requirements, Manuals, Room Planning Standards, Title Sheets, Standard Details and Specifications) is available at <http://www.nycsca.org/Design/Design-Standards>

- 8.1 Construction Administration Phases IIIA & IIIB - Instructions to DPM's"** : Sequential listing of Standard Procedures and Forms used during this phase 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
- 8.1.1 Pre-Construction Meeting:** Upon award of the construction contract by CM, a Pre-construction meeting is scheduled by CM. DM/DPM, Commissioning, GSG liaison, AEoR (& sub-consultants) and General Contractor (& sub-contractors) are to attend this meeting. Items to be discussed and addressed at this meeting include, but not limited to, the project schedule, introduction of key project team members, information routing protocols, Green Submissions and updated Filings and approvals. The DPM is responsible for reporting on open Filings, and the AEoR AP representative on open GSG items. The SCA Community Relations Liaison shall also attend to discuss neighborhood concerns.
- 8.1.2 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, AEoR (& sub-consultants) and General Contractor (& sub-contractors including its LEED AP) are to attend this meeting.
- Items to be discussed and addressed at this meeting are the Green Submissions and data gathering and collection by the Contractor.
- 8.1.3 Post NTP Meeting:** AEoR shall attend CM meeting(s) with BCC regarding items required for issuance of construction permits as required by CM. When necessary, construction permits may be issued in a phased manner to facilitate the construction schedule of the project per (CM) Interdepartmental Agreement. ([Select here for Interdepartmental Agreement – Post NTP Permit Requirement Meeting](#)).



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- 8.1.4 Comprehensive Contract Documents:** The DPM shall maintain all Addenda issued during the bid phase from the Bid Set Website located in SCAN – SCA Application; and instruct the AEOB to download the same from the SCA website ([Bid-Set website](#)).
- 8.1.5 Amended Drawings and Filings:** DPM, as requested by the CM, ensures AEOB and sub-consultants monitor filing of amended documents in a timely manner to facilitate construction inspections and adherence to construction schedule. ([Select here for Procedural Guideline 5.3.3 - Timely Filing of Amended Drawings](#)).
- 8.1.6 Requests of Information (RFI's):** RFI's are entered in CAHUA/CAMP by the Contractor, addressed to the AEOB and its sub-consultants for interpretation of Contract Documents and assistance to the SCA on review of contractor/sub-contractor inquiries. AEOB 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 AEOB 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.
- 8.1.7 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 AEOB in the form of drawings and specifications. Notice of Assignment (NOA) to be issued to the AEOB to proceed with the bulletin. The AEOB shall submit a fee proposal in PAR in RCMS for review and approval so ATP can be issued. The AEOB 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 Senior 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 AEOB shall amend the drawings at DOB/BCC as required.
- 8.1.8 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 AEOB. 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](#)).



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- 8.1.9 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 AEO, SCA CM Project Officer or Special Inspectors and is monitored for timely resolution and corrective action. ([Select here for NCR Advisory Document](#)).
- 8.1.10 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 AEO 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 AEO and Field Rep. ([Select here for Capacity Field Report form](#)).
- The DPM and the PO shall ensure the AEO reviews and maintains record of all Contractor's Green Submissions and related concerns throughout the construction and commissioning periods. ([Select here for GSG Toolkits](#))
- 8.1.11 PAPS Artist Preliminary Design Meeting:** PAPS schedules. AEO and DPM to attend. Artist presents preliminary art proposal to the PAPS Core Review Group
- 8.1.12 PAPS Artist Final Design Meeting:** PAPS schedules. AEO and DPM to attend. Artist presents final artwork to the PAPS Core Review Group.
- 8.1.13 PAR Proposals/Additional Services:** DPM monitors AEO anticipated additional services (such as bulletins, additional site visits, etc.) on construction projects and issue NOAs/ATPs for Additional Services where warranted. AEO 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 AEO ([Select here for Workflow Chart for PAR Proposals Review](#))
- 8.1.14 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, AEO and sub-consultants will meet with Contractors, BCC and CM to monitor that sufficient progress is made on all open filing items required for TCO. Attendance to 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 AEO and Inspectors to discuss open items for each discipline/contractor.
- 8.1.15 Phased Completion:** After TCO is obtained and upon receipt of GC's Substantial Completion or Phased Completion request, DPM shall seek consensus with AEO that Substantial Completion/Phased Completion status is attainable, based on-site walkthrough by DM/DPM, AEO, CM and Contractor. ([Select here for Substantial Completion Advisory Document \(draft\)](#) or [here for Sample Phased Completion Letter](#), or [here for Sample Certificate of Substantial Completion](#)).
- 8.1.16 Punch List:** DPM to monitor AEO and Sub-Consultants on progress on Punch List during scheduled Punch List Field Visits. Upon completion of Punch List, AEO to provide [Punch List Memorandum](#) to DM/DPM.



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- 8.1.17 As-Built Drawings – Record Drawing:** DPM to periodically inquire with SPO about all information required from Contractor and sub-contractors on As-Built information to be submitted to AEOB in order for the final As-Built Documents to be available for turnover to the DOE by substantial completion phase of project. ([Select here for DCIM Case study of As-Builts Requirement](#) and [here for As-Built List](#)).
- 8.1.18 Close-out:** DM/DPM to act as liaisons between AEOB and DCIM Close-out Coordinator to ensure all A&E related actions are addressed on the project.
- 8.1.19 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. Field Representative for the construction period.