



## **GENERAL SCOPING GUIDELINES**

### **1.0 GENERAL GUIDELINES**

#### **1.1 Introduction**

The SCA General Scoping Guidelines provide direction on how to approach the investigation and scoping of the work for the 'DOE Referred Items' as well as 'SCA Additional Recommended Items' for Capital Improvement Program (CIP) and Resolution A Projects. Refer to the [SCA CIP Project Manual](#) and other SCA Standards for further design and technical requirements. Refer to the [CIP Project Manual](#), [Scoping Process](#), for further detailed requirements of the scoping process and step-by-step instructions for completion of Scope Reports.

#### **1.2 Building Condition Assessment Survey (BCAS):**

The Building Condition Assessment Survey (BCAS) Unit conducts and oversees the on-site physical inspection of all DOE assets every year as mandated by state and local requirements. The data generated is the primary source used in establishing the capital needs for our existing school facilities.

CIP projects are typically generated from information gathered in the most recent BCAS. BCAS rating is based on a scale of 1 thru 5, where 1 is rated as a building component in good condition and 5 is rated as poor where the component needs to be replaced or it is a component that has outlived its life expectancy. Generally, projects are created to address deficiencies of system components (nodes) with BCAS rating '5' or in some instances rating of '4' (Between Fair and Poor).

The Capital Plan intent is to provide the necessary amount of work required to bring them to good repair, not to replace all the components or provide enhancement for them. Unlike 'Resolution A' projects, where the school has the latitude to choose what components should be scoped to enhance the space, CIP projects are limited to assigned or approved nodes.

The Designer should carefully examine the latest BCAS related to 'DOE – Referred' items. The BCAS is the most important tool in determining the intent of the project. However, the BCAS inspection is typically based on a half day inspection and it should not be considered a detailed investigation. BCAS interpretation of deficiencies noted are critical, but use it as a guide. For example, BCAS report may indicate rusting anchors or spalling Terra Cotta (TC) at anchors at few locations, but the Designer must investigate the entire façade or the entire building. Compare and pay special attention to locations noted in the BCAS. It will provide a clue/starting point of trouble that the building is experiencing.

In the report, the Designer is to include all work done in the building between the date of BCAS Inspection and the initial scope site visit. Many times, projects are not required because the completed project was in the pipe line when the BCAS inspection was done.

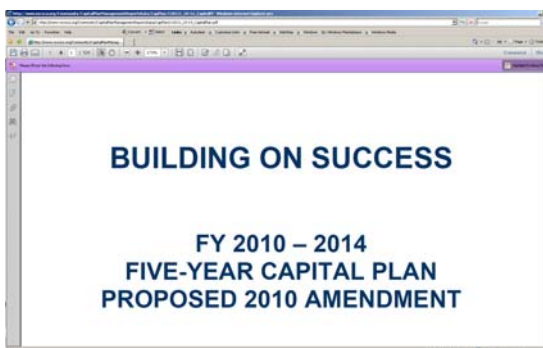
Click on the hyperlink to access the latest [BCAS report](#):



**1.3 SCA’s Five Year Capital Plan:**

The SCA’s Capital Plan Management Department is responsible for creating and amending the five year capital plan. The five year capital plan is used for allocating the budget for all school construction projects over the plan and therefore deciding on which projects proceed and when.

Review the SCA’s Five Year Capital Plan during the pre-scope phase to identify current and future planned projects at the facility. Click on link below to access SCA’s Five Year Capital Plan



**1.4 LLW’s and Nodes:**

All SCA Projects are assigned a Low Level Work (LLW) number. By definition an LLW number is a Capital Category (Cap Cat). LLW numbers are further broken down into related components – referred to as “nodes”. A CIP project can have multiple LLW number and an LLW number may consist of multiple nodes.

The Cap Cat and associated nodes have been mostly generated from the Building Condition Assessment Survey (BCAS). Projects are identified by Capital Plan Management with the selection of LLW Categories and ‘Nodes’ (components) within these categories. Review all LLW numbers and associated nodes for a given CIP project prior to scope kick-off meeting. Below is an example of a Capital Category 1E - Roofs and associated nodes:

Capital Category	DISC	NODE 1	NODE 2	NODE 3	NODE 4
1E1	ARCHITECTURAL	EXTERIOR	ROOFING		
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	ROOFING	
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	SPECIALTIES	
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	SPECIALTIES	BULKHEAD ROOF
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	SPECIALTIES	BULKHEAD WALLS
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	ROOFING	FLASHING
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	ROOFING	LEADERS, GUTTERS, DOWNSPOUTS
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	ROOFING	ROOF FENCE
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	ROOFING	ROOFING
1E1	ARCHITECTURAL	EXTERIOR	ROOFING	ROOFING	ROOFING DRAINS



### **1.5 DOE Referred Items and Additional Items:**

- Referred Items – Only the following items should be scoped as Referred items
  - Include only work related to the referred LLW and selected nodes in the “DOE-Referred Items”.
  - Related components, which are needed to accomplish the repair or replacement of the referred ‘node(s)’, should also be included in the FIELD REPORT with the “DOE Referred” work.
  - Any work other than “DOE Referred” work requires approval from the SCA Design Project Manager (DPM) and Design Manger (DM) prior to scoping.
  - “Building Envelope Projects” deviate slightly from “General Scoping Guidelines” for referred and additional items. When the original “DOE Referred Item” is one of the five components of a Building Envelope (roofs, parapets, exterior masonry, windows, or exterior doors), the designer must verify the condition of all five components and advise the Design Project Manager (DPM) if the other components should be added to the scope of work as “SCA Additional Recommended Items” in order to provide a water-tight building upon completion of the project. The Flood Elimination component should also be scoped to avoid leaving the building with active water penetration. Prior to proceeding with scoping of additional items, the Consultant AEOR must obtain approval by the DPM or DM.
- Additional Items
  - Include work related to other categories and nodes under “SCA Additional Recommendations”.
    - For example, if the LLW is created for Auditorium Upgrade with a selected node of “Floor Finish”, but there is recommended work related to “Auditorium Seating” replacement, include the work related to “Floor Finish” as the “DOE-Referred Item” and the work related to “Auditorium Seating” as an “SCA Additional Recommended Item”.
- Within two (2) weeks following the Initial Kick-Off Meeting, the Consultant AEOR shall submit a FIELD REPORT identifying the proposed scope of work of DOE-Referred and SCA Additional Recommended Items to the DPM or DM for review and approval of items to be scoped. Any requested NDT, probes or other tests, surveys, etc. should also be identified in the FIELD REPORT. Prior to proceeding with scoping of additional items, the Consultant AEOR must obtain approval by the DPM or DM.

### **1.6 RESO A Projects:**

- RESO A Projects are projects funded each year by the City Council or the Borough President’s Office. They are generally smaller in scope and budget than CIP projects. Typical Reso A projects include Playgrounds, Library Upgrades, Auditorium Upgrades, Science Lab Upgrades, Room Conversions, and Cafeteria/Auditorium Air Conditioning.
- The cost estimate for any Reso A project cannot exceed the authorized construction amount since there is no allowance for any contingency.



- In the kick off meeting with the School Principal, a prioritized list of items requested by the school shall be developed as it relates to the specific project. It shall also be explained to the school that the extent of work which can be accomplished within the allocated funds will be determined after an estimate is developed.
- No additional items should be included in Reso A Scope Estimates, since the “DOE Authorized Construction Estimate” can not be exceeded without prior approval by the SCA Reso A Coordinator.

### **1.7 DOE RED DOT & Emergency Projects:**

- Projects may also be generated due to emergency condition with a DOE “RED DOT” memo attached to the authorization. Make reference to the “RED DOT” or other referral memo(s) in the Scope Report Findings & Recommendations and include a copy in the “Meeting Minutes & Correspondence” section of the Scope Report Appendix.
- These types of the projects are typically created under an assigned LLW with specific components as “selected nodes”.

### **1.8 Budget**

The “Authorized Construction Amount” for each LLW number is based upon the dollar values assigned by Capital Plan Management to various components from the BCAS Survey and historical data. The LLW budget may not be an accurate estimate for the necessary scope of work based upon further investigation, and hence should not be used as a guide for the Scope Estimate.

### **1.9 Project Information:**

The Consultant AEOR must obtain the following project information from the SCA DPM:

- CIP System:
  - Building ID, school address, Block Number, Lot Number and other data
  - D#, LLW#(s), and the ‘DOE Authorized Construction Estimate’ for each LLW#
  - Node(s) Description
  - Memo Fields related to projects including any Correspondence from DOE, DSF or others regarding issues related to the circumstances which may have initiated the project (such as a hazardous condition or deficiencies to be addressed)
  - The names of the assigned Senior Project Officer (SPO) and Project Officer (PO)
  - A List of active and completed projects with following information:
    - Project titles
    - Design Number (D#)



- Low Level Work Number(s) (LLW#)
  - Project (or Package) Number (P#)
  - Month and year of “Actual Construction Completion” for completed projects
- Master Contact Form (MCF):
- Master Contact Form provides a list of people to be invited at the scope kick-off meeting. Click on link below to access latest MCF

[Master Contact Form](#)

<b>MASTER CONTACT FORM</b>						
Building ID: M079	Building Name: P.S. 79 (MULT. HANDICAP) - M					Date: November 16, 2011
Design No: D014371	Llw No: 074689			Subject:		
Project Description: EXTERIOR MASONRY						
Name	Title	Company	Signature	Phone	Fax	E-mail
Greer Phillips	Principal-1 LFT	Principal - M079		2123693134	2129968307	gphillips@schools.nyc.gov
Peter Robertin	Custodian	Custodian - M079		(212) 534-5037		cm079@schools.nyc.gov
Richard Bocchiechio	DSFP	Office of Space Planning		(718) 935-3392	(917) 515-4859	rbocchi2@schools.nyc.gov
Volker Braren	DPM	DSF		(718) 610-0214	NULL	vbraren@schools.nyc.gov
Leonard Richardson	DDF	DSF		(718) 361-3744		lrichar2@schools.nyc.gov
Thomas Fanizzi	BMP	DSF		(718) 361-3755		tfanizzi@schools.nyc.gov
Timothy George	DF	DSF		(718) 361-3741		tgeorge@schools.nyc.gov
NULL	PPF - CFN	DSF		NULL	NULL	NULL
NULL	SPF - CFN	DSF		NULL	NULL	NULL
Cheneng Kuo	DPMSCA	SCA A&E		(718) 752-5620	718-752-3620	ckuo@mscsca.org

- State Historic Preservation Office (SHPO):
- For buildings 45 years or older, the DPM or Design Lead should check the SCA historic database and/or verify if the building is eligible for listing on the State and National Register of Historic Places – commonly known as “SHPO Eligible”.
  - For buildings 45 years or older where SHPO eligibility has not been established, confirm with the DPM or DM if a Preliminary SHPO Submission is required for the project.
  - For SHPO Eligible buildings, a detailed submission may be required. These buildings are exempt from the NYC energy code, though the code should be met where practical.
  - For SHPO Non-Eligible buildings, no SHPO submission is required. These buildings must meet NYC energy code requirements.
  - Follow SCA [SHPO Submission Procedures](#) for preliminary and detailed submission requirements.

**1.10 Existing Drawings and Other Documents:**

The AEOR is responsible for retrieving following documents from SCA:



➤ Alchemy

Drawings for most schools can be obtained from the SCA's Alchemy database, which contain drawings for most of the DOE's buildings including drawings for original construction, additions and subsequent renovation projects, surveys, borings, etc. The Alchemy database is accessible at kiosks located within the A&E CADD Unit. (Refer to the [CADD Manual](#) on the SCA website). The Designer must bring their own CD/DVD to copy Alchemy drawings.

➤ CADD Files & Scope Reports from Previous Projects:

The AEOR should also request a copy of CADD Files from previous projects through DPM or DM. Scope reports from previous projects may also provide some useful information, e.g. Building History, SHPO eligibility, etc. SCA DPM or DM will request documents through A&E CADD Unit. Always bring in extra copies of blank CD/DVD.

➤ Sister Schools

- The Consultant AEOR must ask their DPM if the building being scoped is on the list of Sister Schools.
- Sister Schools are any schools that have a strong historical connection. It is a listing of groups of schools that typically are identical.
- Schools were built using the same floor plan/layout, designed by same Architects (e.g. Snyder Buildings)
- Why review sister schools?
  - To identify similar problems found on other projects
  - To obtain optimized solutions to resolve recurring problems by seeing what was done on other projects
  - Potentially obtain missing plans for the building
  - No need to Reinvent the wheel
  - Provide long term solutions

### 1.11 Specialty Testing

The SCA's Specialty Testing Unit can provide following services:

- Boring
- Geotech
- Roof Cuts
- Exploratory Probes
- NDT and Material Testing
- Survey

Contact the DPM/DM if testing services other than those listed above is needed.



Early in the Scoping Phase; as soon as possible following the Kick-Off Meeting and Initial Site Visit, identify surveys, borings, testing and probes which will be required to confirm conditions and assist in determining findings. Although the schedule may not permit the performance of all investigative testing during this phase, requests for investigative work should be initiated during Phase 1 so that the work can be performed at the onset of Phase 2. If probes, tests, or borings are necessary in order to develop recommendations, the AEOR shall notify the DPM immediately.

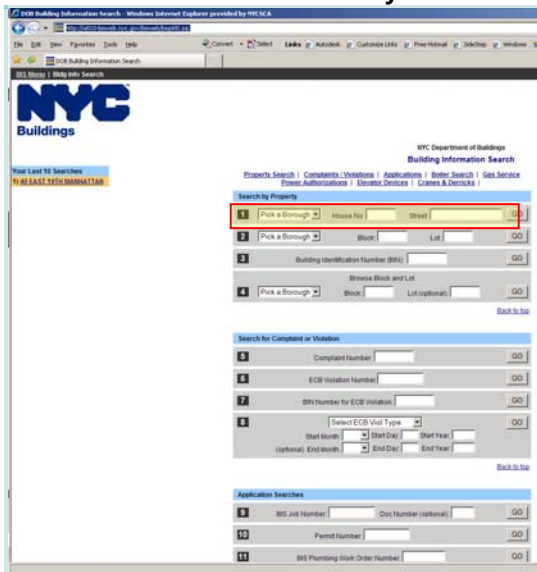
For the above-referenced services, submit work order requests thru the DPM/DM to the Specialty Testing Unit. If the SCA contractors are not available, solicit proposals from at least three SCA pre-qualified contractors for any investigative probes and borings which are required. The probe package, which should include the locations, number of probes, and the contractor's name, shall be submitted for review and approval by the DPM. Once bids are received, the DPM will provide an authorization letter to proceed with the lowest responsive bidder.

**1.12 DOE/ECB Violations:**

Search Department of Building (DOB) & Environmental Control Board (ECB) open violations – click on the link below to access NYC DOB's Building Information System:

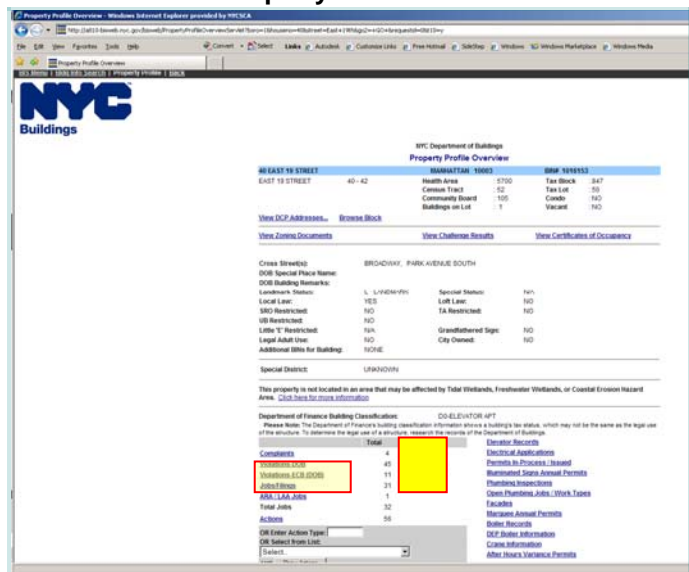
<http://a810-bisweb.nyc.gov/bisweb/bispi00.jsp>

**Search Screen – BIS System**



**List of DOB Violations**

**Property Profile Overview**



**List of ECB Violations**



NYC Department of Buildings  
DOB Violations

ADDRESS	TYPE	FILE DATE
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 09/09/09		
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 12/17/09		BAKID NO. 371
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 12/17/09		BAKID NO. 371
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 12/17/09		BAKID NO. 371
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 09/09/09		09/09/09
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 09/09/09		09/09/09
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 12/17/09		BAKID NO. 371
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 10/13/09		09/09/09
46 EAST 18 STREET BAHAMIAN <td>DOB VIOLATION - DISMISSED</td> <td>09/09/09</td>	DOB VIOLATION - DISMISSED	09/09/09
DISMISSAL DATE: 09/09/09		BAKID NO. 827

NYC Department of Buildings  
ECB Query By Location

ECB Number	Dept. of Buildings Violation	Respondent	ECB Issuing Status	Viol. Date	Administrative Code	ECB Priority
38133336	RESOLVED - CERTIFICATE ACCEPTED	ADRIANA BUILDING CORP.	IN VIOLATION	02/02/09	827	80.00
38222308	RESOLVED - CURE ACCEPTED	AS 18 ST DINERS CORP.	CURED/IN VIOLATION	02/18/09	822	80.00
38222302	RESOLVED - CURE ACCEPTED	46 EAST 18 STREET CORP.	CURED/IN VIOLATION	02/18/09	822	80.00
38133333	RESOLVED - CERTIFICATE ACCEPTED	46 EAST 18 STREET CORP.	IN VIOLATION	11/16/08	827	80.00
38222309	RESOLVED - CURE ACCEPTED	BUCHENBERG HARMEN LLC	CURED/IN VIOLATION	04/29/11	233	80.00
34406298	RESOLVED - CERTIFICATE ACCEPTED	SCULPTURE ASSOC LTD	IN VIOLATION	08/02/09	828	80.00
38155428	RESOLVED - CERTIFICATE ACCEPTED	46E 18TH STREET CORP.	IN VIOLATION	10/27/08	827	80.00
34406293	RESOLVED - CERTIFICATE ACCEPTED	SCULPTURE ASSOC LTD	IN VIOLATION	08/02/09	828	80.00
38133339	RESOLVED - CERTIFICATE ACCEPTED	BUCHENBERG & HARMEN LLC	IN VIOLATION	08/02/09	233	80.00
34406294	RESOLVED - CERTIFICATE ACCEPTED	SCULPTURE ASSOC LTD	IN VIOLATION	08/02/09	828	80.00

If information on any outstanding violation is not found on the NYC DOB website, the AEOR must contact DOB for a copy, since all outstanding violations must be addressed if determined to be relevant to the project.

**1.13 Cap Cat Specific Scoping Guidelines**

Follow Capital Category specific scoping guidelines for further details. The following scoping guidelines are available at this time. In the future, more scoping guidelines will be added to the list. Click on the link below to access scoping guidelines:

- [Building Envelope](#)
- [Roofing](#)
- [Parapet](#)
- [Exterior Masonry](#)
- [Windows](#)
- [Exterior Doors](#)
- [Flood Elimination](#)
- [Auditorium Upgrade](#)
- [Gymnasium Upgrade](#)
- [Science Room Conversion/Upgrade](#)
- [Program Accessibility](#)

**End of General Scoping Guidelines**