



1.0 GENERAL GUIDELINES

A. Purpose

To delineate and formalize the procedure for submission of SCA projects to the State Historic Preservation Office (SHPO) **for when existing school buildings are involved**. SHPO is a part of the New York State Office of Parks, Recreation and Historic Preservation (OPRHP).

2.0 SHPO SUBMISSION PROCEDURES AND GUIDELINES

A. General

All school buildings over 45 years old with proposed capital project work are to be reviewed for potential submission to SHPO: additions, exterior modernizations, **and many other Capital Improvement Program (CIP) projects**. **Applicable projects would typically have** significant alterations to the exterior or to specific interior spaces, and demolition of buildings. A **search of the Project Tracking System (PTS) and** review with the SHPO Liaison will yield the current SHPO status of the building, and will define the next steps **based on the project scope of work**.

B. Criteria for Eligibility for Listing on the National Register (“National Register Eligible”)

SHPO considers significance in American history, architecture and culture as determining factors. Consideration is given to districts, sites, buildings, structures and objects that possess integrity of location, design, setting, materials, workmanship, character and association. SHPO will consider buildings for National Register Eligibility that:

1. are associated with events that have made a significant contribution to the broad patterns of our history; or
2. are associated with the lives of persons significant in our past; or
3. embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or
4. have yielded, or may be likely to yield, information important in prehistory or history.

C. SHPO Status Determination

The Architect or Engineer of Record (AEOR) shall check the SCA’s Project Tracking System to identify the current SHPO status. If the building is more than 45 years old or is in a Historic District and the SHPO status has not been determined, request the SHPO coordinator to check the state’s CRIS system. If confirmed that the status has not been determined, a preliminary submission is required, **unless the work is of a mechanical nature not affecting the facade**. If records indicate SHPO has already determined the school building as “not eligible” for listing, no further action is required. If records indicate SHPO has already designated the school building as “eligible”, then the AEOR shall proceed to the Detailed Submission phase, **if the project type is not on the list of project types exempt from SHPO review**. (See [SHPO Filing Process Flow Chart](#))

A summary of SHPO status designations follow:

1. *No Determination* - No Preliminary SHPO submission has yet been made, and therefore a Preliminary Submission must be made for any qualifying project. This process will yield a determination from SHPO of status to be used for the future.
2. *Not Eligible* – SHPO has already determined based on a prior Preliminary Submission that the building is not eligible for listing on the National Register. For such buildings, no further SHPO submissions are required.
3. *National Register Eligible* – SHPO has already made a determination (as an outcome of a prior Preliminary Submission) that the building is eligible for listing, or is listed, on the National Register. For such buildings, a qualifying project will require a detailed SHPO Submission.



D. Exempt Projects

Certain categories of work have been determined to have little or no potential impact on the character of historic resources, and are therefore exempt from review by OPRHP. These categories are listed within **Appendix A of the [Letter of Resolution between OPRHP and the SCA](#)**. In addition to the project types that are typically of mechanical nature, there is some exterior work and interior architectural work that is also exempt (e.g. Masonry projects of the type of work described in that will utilize Section 04520A and that is less than 50% percent of the buildings total façade area, projects where the interior finishes in non-monumental spaces will be replaced in-kind with same material, non-original wood windows replaced with matching aluminum windows with matching architectural trim).

1. Projects that meet the exemption requirements for which no determination as to historical status has been made will still require submission of a preliminary submittal to determine building eligibility. The decision on how to treat these items and what masonry specification section is used may be dependent by whether the building is eligible or not (e.g. if not eligible, the original double hung windows are many times replaced with a transom and smaller operating double hung window for ease of operability).
2. Any project that meets the age requirements for consideration by SHPO that has been deemed as ‘National Register Eligible’ and meets any of the exempt categories and thus would not require submission is to be reported to the SCA Liaison with the category of the exemption and a description of the work of the project for verification by the liaison and inclusion in the required yearly report of SHPO review exempt projects.

E. Secretary of the Interior Standards (SOTI)

When the building is National Register Eligible, the AEOR shall refer to the Secretary of the Interior Standards to categorize the treatment of work to be done and to determine the need for application of preservation treatments.

The Secretary of the Interior Standards offer four distinct approaches to the treatment of historic properties: Preservation, Rehabilitation, Restoration, and Reconstruction, with guidelines for each:

Preservation

When the property's distinctive materials, features, and spaces are essentially intact and thus convey the historic significance without extensive repair or replacement; and when a continuing or new use does not require additions or extensive alterations, preservation may be considered as a treatment. Preservation maximizes retention of existing materials and features. Where the severity of deterioration requires repair or limited replacement of a distinctive feature, the new material will match the old in composition, design, color and texture. Treatments that cause damage to historic materials will not be used.

Rehabilitation

When repair and replacement of deteriorated features are necessary; when alterations or additions to the property are planned for a new or continued use, Rehabilitation may be considered as a treatment.

Restoration

When the property's design, architectural, or historical significance during a particular period of time outweighs the potential loss of extant materials, features, spaces, and finishes that characterize other historical periods; when there is substantial physical and documentary evidence for the work; and when contemporary alterations and additions are not planned, Restoration may be considered



as a treatment. Prior to undertaking work, a particular period of time, i.e., the restoration period, should be selected and justified, and a documentation plan for Restoration developed.

Reconstruction

When a contemporary depiction is required to understand and interpret a property's historic value (including the re-creation of missing components in a historic district or site); when no other property with the same associative value has survived; and when sufficient historical documentation exists to ensure an accurate reproduction, Reconstruction may be considered as a treatment.

For SCA's applicable projects, the work done on historic schools will almost always fall within the "Rehabilitation" treatment category. The Detailed Submission to SHPO shall refer to, the Secretary of the Interior (SOTI) Standards to support a line of reasoning and justification for the scope of work. In the following section, suggestions of possible wording to be included in the report and the guideline affected has been provided in *red italics as the designer prepares to make a case for the proposed work*.

Secretary of Interiors Standards (SOTI) for Rehabilitation

1. A property will be used as it was historically or be given a new use that requires minimal change to its distinctive materials, features, spaces and spatial relationships.
This building was originally constructed as a school and still serves as a school with only minor changes [clarify if any significant changes to use]. The current (and historic) use will be maintained.
2. The historic character of a property will be retained and preserved. The removal of distinctive materials or alteration of features, spaces and spatial relationships that characterize a property will be avoided.
The historic character of the property will not be affected by the work done and any work that would affect this character will be avoided.
3. Each property will be recognized as a physical record of its time, place and use. Changes that create a false sense of historical development, such as adding conjectural features or elements from other historic properties, will not be undertaken.
There will be no changes or added elements that could alter the physical record by creating a false sense of historical development.
4. Changes to a property that have acquired historic significance in their own right will be retained and preserved.
Any changes that have been made previously and acquired historical significance will be retained and preserved. [Identify if any significant changes which may be considered to have acquired historic significance.]
5. Distinctive materials, features, finishes, and construction techniques or examples of craftsmanship that characterize a property will be preserved.
Elements such as materials, features, finishes, and construction techniques or examples of craftsmanship that provide character to the property will be preserved, except where the severity of deterioration requires repair or replacement. (See Standard #6)
6. Deteriorated historic features will be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature will match the old in



design, color, texture and, where possible, materials. Replacement of missing features will be substantiated by documentary and physical evidence. (See Appendices B and C, specification sections)

All work done will strive to repair rather than replace. The requirements for Standard #6 will be followed in the event that deterioration is severe or when the location of the problem requires removal of material to gain access to the root issue. The replacement of deteriorated elements such as flashing or mechanical anchoring, or the replacement of missing elements such as masonry will be substantiated by documentation and physical evidence.

[Note that in the event that the root problem is imbedded behind the exterior features and must be investigated, an argument and documentation for such work must be stated within the context of the SOTI standards.]

7. Chemical or physical treatments, if appropriate, will be undertaken using the gentlest means possible. Treatments that cause damage to historic materials will not be used.

Masonry Restoration and Masonry Cleaning will be undertaken using the gentlest means possible. The specifications for this work in Section 04250A Masonry Restoration and 04510A Masonry Cleaning are edited to address project-specific conditions using the latest SCA Standard Specifications, which are based upon the specifications included in Appendices B & C from the Letter of Resolution, dated 04/13/07 between the NYS Office of Parks Recreation and Historic Preservation and the NYC School Construction Authority.

8. Archeological resources will be protected and preserved in place. If such resources must be disturbed, mitigation measures will be undertaken.

No archeological resources have been identified in association with this project.

9. New additions, exterior alterations, or related new construction will not destroy historic materials, features, and spatial relationships that characterize the property. The new work will be differentiated from the old and will be compatible with the historic materials, features, size, scale and proportion, and massing to protect the integrity of the property and its environment.

No additions are proposed as part of this project. Exterior alterations and related new construction will restore deteriorated or lost historic details. See Standards #2 and #6 above.

10. New additions and adjacent or related new construction will be undertaken in such a manner that, if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.

No additions or adjacent new construction will be undertaken as part of this project.

[Note that it is possible that the building under review has had additions occurring at various times in its history. If this is the case, the designer shall deal with each addition in the context of its historical timeframe.]

F. SHPO Submissions

1. Preliminary Submission

- a. When the SHPO status for a building has not yet been determined and meets the criteria for SHPO review, the A&E SHPO Liaison will submit materials for Preliminary review. This electronic submission shall be prepared by the AEOR and forwarded to the Design Project Manager (DPM). The file is to be in a pdf format and limited to no more that 25 Mb. Multiple



files are permitted if a single file would be above the 25 Mb limit. The DPM will create a preliminary SHPO submission request in PTS and upload the file(s). The SHPO Liaison will transmit it to SHPO via the state's CRIS system. This Preliminary submission shall be done as early as possible in the Scope Phase, and shall include, but not be limited to the items listed below.

Preliminary SHPO Submission Documentation Requirements per SCA [Template for Preliminary SHPO Submission](#):

Cover Page

- SCA Capital Improvement Logo Heading
- Title: "Preliminary Submission to NYS Historic Preservation Office"
- SHPO ID: TBD
- SCA Design number
- LLW numbers & descriptions
- Photograph of the school's primary elevation
- Name of school (PS/IS/HS) and borough)
- Preparer [SCA Consultant Name or SCA A/E In-House Studio]
- SCA Design Manager
- Date of Original Submission to SHPO, followed by the date of the latest revision (if resubmitted in its entirety)

Body of Report

- Building Description, History & Project Status
- Summary of Modifications Affecting Historic Character
- Location Map Block Plan/Context Photos (to show the school building in its context)
 - Aerial Photos (from Google Earth or Google Map)
 - Street Views from each corner and along streets
- Site Plan/Building Photo Key
- Photos of Existing Building
 - Historic images, if available
 - Dedication plaque, if available
 - Views of all exterior elevations (Straight on if possible), including rear wings and interior courtyards.
 - Close-ups of exterior details such as entry, cornice, and window elements (no more than 5-6 views should be necessary).
 - In the Preliminary SHPO report, the Preparer shall include images of significant interior spaces such as lobbies, gymnasium, auditorium and cafeteria areas, libraries, principal's office and any other significant areas. Larger spaces can generally be adequately documented with two wide-angle views taken from opposing corners. All photographs should be numbered and keyed to the existing floor plans to identify the location and view depicted.
 - In the Preliminary SHPO Report, also provide photos of a typical classroom.
- Original Plan & Elevation drawings

2. Detailed Submission

If the building is determined to be National Register Eligible **or was previously determined to be eligible**, a Detailed Submission of the proposed work shall be prepared by the AEOR as soon as possible after the design start, but no later than 50% Design completion for CIP projects, or prior to the 60% Contract Documents completion for Capacity projects (**Unless the work falls into the exempt category as indicated in Part D above and the caveats of Appendix A of the Letter**



of Agreement). This electronic submission shall be prepared by the AEOR and forwarded to the Design Project Manager (DPM). The files are to be in a pdf format and limited to no more than 25 Mb. The DPM will create a detailed SHPO submission request in PTS and upload the file(s). The SHPO Liaison will transmit it to SHPO via the state’s CRIS system. This submission shall include, but not be limited to the items listed below.

Detailed SHPO Submission Documentation Requirements per SCA [Template for Detailed SHPO Submission:](#)

Cover Page

- SCA Capital Improvement Logo Heading
- Title: “Detailed Submission to NYS Historic Preservation Office ”
- SHPO ID: (Leave blank for the initial submission, as SHPO will assign a project specific ID when it receives the submission. Use the assigned number for subsequent submissions on the project.)
- SCA Design number
- LLW numbers & descriptions
- Photograph of the school’s primary elevation
- Name of school (PS/IS/HS) and borough
- Preparer [SCA Consultant Name or SCA A/E In-House Studio]
- SCA Design Manager
- Date of Original Submission to SHPO, followed by the date of the latest revision (if resubmitted in its entirety)

Body of Report

- Building Description, History & Project Status
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- Site Plan/Building Photo Key
- Photos of Existing Building
 - Historic images, if available
 - Dedication plaque, if available
 - Views of all exterior elevations (Straight on if possible), including rear wings and interior courtyards.
 - Close-ups of exterior details such as entry, cornice, and window elements (no more than 10-12 views should be necessary).
 - If the Preliminary SHPO report established the need for detailed documentation of interior spaces and these spaces will be impacted by the proposed work, then the Preparer shall include images of such spaces. (See the description of interior spaces outlined in the requirements for Preliminary SHPO Submission Requirements).
- Original Plan & Elevation drawings (if available) to compare to previous exterior alterations and proposed new construction
- Scope of Investigation, Findings & Conclusions
 - Scope of Investigation for Current Project
 - Investigation Findings
 - Investigation Conclusions
- Recommended Work
 - Recommendations
 - Summary work by Capitol Category/LLW’s



- Rehabilitation Drawings
 - Floor Plans and Elevations identifying those areas where alterations, removals and new construction is proposed
 - Sections and Details related to proposed alterations to the exterior or significant interior spaces, as applicable.
- Specifications

Appendix

- Photos of Existing Conditions
- Damage Mapping
- Window Comparison (if window work is proposed)
 - Drawing of typical/representative existing historic window elevation(s) and section(s) with proposed new window elevation(s) and section(s).
- Testing & Other Reports*
 - Spray Test Results
 - Roof Capacitance/Moisture Testing
 - Exterior Exploratory Probes
 - Brick and Mortar Tests
- Correspondence (DSF Memorandums and/or other relevant correspondence)

**Exploratory Probes and/or Testing as required to provide justification for proposed exterior alterations.*

G. Additional Resources

For additional technical guidance on historic schools rehabilitation, make sure to access the SCA website to see the guidance compendium, [New York City's Historic Schools - A History and Guide to Rehabilitation](#).

This document provides a guide to the rehabilitation of New York City Public School Buildings constructed from the mid-nineteenth up to the mid-twentieth century. It includes a compilation of narratives on the architectural eras of these school buildings, as well as their style and plan typologies. The detailed Technical Guideline provides a practical overview to historic buildings' structure, materials and systems, as well as standards and strategies for their rehabilitation. The Guide includes case studies of actual renovation projects. The technical resource and individual project examples highlight the difficulties of solving water penetration and structural problems in these historic schools. The investigations and solutions, developed by both SCA A&E in-house staff and our design consultants, highlight common problems found in historic school buildings, and serve to guide future rehabilitation projects.

Along with this guide, see information on "Sister Schools" - groups of identical or similar schools with a brief description and approximate year(s) when that building type was built. When scoping a renovation project, we recommend reviewing projects undertaken at these "sister schools" to that building, as oftentimes the vulnerable and/or damaged aspects are common to all. These aspects must be investigated, even where there are no currently noted issues.

Keep in mind too, that some earlier repair campaigns may have been unsuccessful and may require subsequent work. If you happen to work on a school that you think should be added to the Sister Schools list, please notify the CADD unit at CADDUNIT@nycsca.org.

H. SHPO Responses and Actions to be Taken

1. **Upon review of a detailed submission, SHPO will typically provide one of the following responses**



- Information Requested
- No Adverse Impact
- No Adverse Impact with Conditions
- Adverse Impact

2. Action by designer

- a. If a response of ‘Information Requested’ is received, the designer shall research what additional information is being required and submit another detailed submission. Discuss with the SHPO Coordinator so try and ensure the additional information is complete and will satisfy SHPO’s request. Sometimes the SHPO Coordinator may only need to submit additional photos rather than requiring an entire resubmission.
- b. If a response of ‘No Adverse Impact’ is received, there is no further detailed submissions required and project may proceed.
- c. If a response of ‘No adverse Impact with Conditions’ is received, this will typically be that SHPO is fine with the technical submission and work, but may want to see samples of the mock-up during construction to verify there will be ‘No Adverse Impact’
- d. If a response of ‘Adverse Impact’ is received, the design team shall work with the SHPO coordinator to properly address SHPO’s concerns. This may require additional tests or further narrative, making a case for the work that is required.
 - If the objections can’t be resolved, the SCA may determine that it will proceed with the work and SHPO will determine the project will have an ‘Adverse Impact’ and a Letter of Resolution will be prepared by the Authority to memorialize the Authority’s position.