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NY Rising Housing Program

Request for Scope of Work Change Itemization Form 6100 Completion Guidance

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NY Rising Housing Program (applies to all Programs)

This document is intended to provide a general framework for the development and review of the NY Rising Request for Scope of Work Change Process. The Request for Scope of Work Change Itemization Form-6100, known as a "Form 6100", is a document used to add scope of work items that may have been previously unidentified or missed from a Homeowner's Allowable Activity (AA) report or the Estimated Cost of Repair (ECR) for storm damage and/or elevation. An excel version of the form may be requested via email from the Homeowner's Technical Advisor. It is also available on the NY Rising Housing Recovery Program (the Program) website at <http://stormrecovery.ny.gov/housing-forms-and-resources>. The form and process can be executed after construction is complete or prior to the initiation of construction after an award letter has been sent to the Homeowner.

The Form 6100 is designed to align the program-generated AA or ECR scope of work with any items that are identified by a design professional – such as missed scope, code compliance or environmental requirements, etc. It will also identify any luxury or upgrade items not eligible for program funding. The Form 6100 serves as a record of all items eligible for Program funding and as a tool for cost reasonableness evaluation. It is placed in the applicant's file for future HUD compliance review. The Form 6100 and a Designer Request for Change of Scope of Work form must be completed by the Design Professional contracted for the home rehabilitation. These documents must be submitted to the Program for review and approval via the Applicants' Customer Representative or emailed directly to review@recreatenys.org.

General

- The Design Professional will verify and transfer all scopes of work, quantities and costs included in the original Estimated Cost of Repair (ECR) and/or Elevation ECR that has been developed for the project into the first column "**Program ECR Scope of Work.**"
- If scope items were missed from the Allowable Activities report (AA), a separate Form 6100 should be completed.
- If the Homeowner did not receive an award because the duplication of benefits exceeds the estimated cost of work, all program estimated work items should be included in the first column.
- All optional work such as bulkheads or option mitigation must also be included. The program estimate of required or optional elevation costs must be included in the first column.



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- Any special needs accommodations (ramps, lift etc.) already approved by the Program must be included in the first column.
- Any storm related damage scope not identified during the initial site inspection, or any other work that is required by the local municipality for building code compliance, environmental mitigation, or elevation must be entered in the same manner in the center column **“Request for Change of Scope of Work”**.
 - The Design Professional is not required to provide costs for scope items requested in the scope change, only scope descriptions, quantities and units of measure.
 - When these expenses are required, the Design Professional will include environmental hazard mitigation, code compliance, special needs (accessibility) requirements and
 - When Pre-design investigative services (such as soil tests or surveys) are required and have been done, the Design Professional will include these items in the scope of work being identified in the center column with the “Actual Costs” and attach copies of invoices for these services.
 - The Design Professional will incorporate the **HUD CPD Green Building Retrofit Checklist** minimum design standards to the extent applicable for repair projects.
 - The Design Professional will incorporate the Energy Conservation Construction Code New York State 2010 (ECCNYS 2010) for all substantial repair and reconstruction projects.
- 1. Homeowners may upgrade materials beyond basic builders' grade standards. However, all luxury and upgrade items must be itemized and included in the last column as **“Homeowner Upgrade/Luxury Scope of Work”** separated from Program eligible items. This column may also include items that are not Program eligible but required to be completed for the municipality to issue a Certificate of Occupancy (COO).

Form 6100 Completion Process

- The Design Professional will meet with the Homeowner to verify the scope of work contained in the ECR, and/or Elevation ECR, environmental risk assessment reports, review the Environmental Review Record (ERR) and any other project related information provided to the Homeowner by the Program.
- If not already completed and when necessary for elevation, the Design Professional will ensure that a land survey, pre-construction elevation certificate and sub-surface soils investigation report are completed as required by the project conditions.
- A site visit will be performed to observe the existing conditions and document any scopes of work that may be required but were not included in the original ECR.
- All work that was previously identified in the ECR must be listed in the first column with descriptions, unit of measure, quantity and costs exactly as represented on the ECR. A



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note after the description can be added “from ECR” to denote the previously identified items.

- Any newly identified scopes of work and unit of measure not in the original ECR will be added **without costs** into the appropriate category with detailed descriptions/specifications in the description column and center column. All information presented should be described at the schematic level of design.
- Floorplan sketches (with pile layouts) and building sections should be submitted to further communicate dimensions, quantities, elevation heights and design intent. A complete set of Permit Documents **IS NOT** required for this exercise.
- If work is being requested to be added/deleted to a specific space/room in the dwelling, reference the space as listed on the ECR and provide quantities for the change amount and unit of measure in the center column.
- If a Substantial Damage determination has been made on the dwelling and the feasibility determination remains as Repair, the Design Professional will verify that the scope items which are being added comply with the ***HUD CPD Green Building Retrofit Checklist***.
- For projects requiring elevation, the Design Professional will:
 - Verify the required elevation based on the pre-construction elevation certificate (pre-elevation) as compared to the Elevation ECR amount provided by the Program. Any required adjustments (+/-) to height for floor height, stair height or number of landings will be input in to the center column.
 - Calculate and enter the type and number of piles that will be required. The depth required will be based on the geotechnical report which must also be provided.
 - Provide quantities and unit of measure dimensions of any required reinforced concrete footings, pier bottoms & piers, spread footings, foundation walls, pile caps or reinforced concrete slab on grade.
 - Determine the need and design of any accessibility modifications for ramps or lifts. Include a copy of special need requirements from physician or care provider that serves as basis of design.
- Based on the ERR, the Design Professional will coordinate with all required agencies to determine the proper mitigation strategies for any items identified on the Tier II Site Specific Checklist and include the scope of work.
- The Design Professional will ensure that the final scope of work that will be Program funded complies with, to the extent applicable, the Energy Conservation Construction Code New York State (ECCCNYS) 2010, HUD CPD Green Retrofit Checklist and applicable New York State Building Code.

Homeowner Upgrade/Luxury Scope of Work

- Homeowners may upgrade beyond basic builder's grade standards. However, these costs are not eligible for reimbursement.
- The Design Professional will meet with the Homeowner to identify and discuss any desired scope of work that exceeds the program basic livability standards, is not program eligible work, or is a program identified luxury item.



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- Once identified, the Design Professional will itemize the work into the proper category and provide a detailed description of the work to be performed and the unit of measure in the last column titled “**Homeowner Upgrade/Luxury Scope of Work**” on the 6100 Form.

Submittal and Program Review

- After the Design Professional has completed the scope of work development and alignment, the Homeowner (or Design Professional) will email a copy of the completed excel file (Form 6100), pdf of the signed and sealed last page of the Form 6100, floorplan sketch, building section, land survey, subsurface soils report, initial (pre-construction) elevation certificate, and any photos or other supporting documents to the homeowner's Customer Representative or to review@recreatenys.org.
- The Program will use Program developed Xactimate pricelists and templates to establish unit costs for the approved Scope of Work items. Review of the information submitted will not comprise a detailed “take-off” of all elements and components of the design information. An order of magnitude and/or systems-unit approach will be utilized within Xactimate to revise the Program estimate.
- Once the review is complete and changes approved, the ECR scope of work will be adjusted to include the eligible changes that have been requested and approved. A new version of the ECR will be provided to the Homeowner.
- The Program will adjust the Award Amount to reflect the cost changes indicated by the scope adjustments.

Final Steps

- The Design Professional should base the Permit Documents, which are submitted to the municipality, on the adjusted scope of work. Should new/additional information arise prior to completion of the Permit Documents, the above process will be repeated and a second version of the Form 6100 generated.
- Once complete, the Permit Documents and Final Form 6100 should be used to engage a general contractor for pricing and contract negotiations. To ensure the most accurate contract negotiations with a General Contractor, the negotiations **should not** begin until Permit Documents, consistent with Program requirements, have been completed.