


Office of the  
NYCHA FEDERAL MONITOR  
Bart M. Schwartz  
Pursuant to Agreement dated January 31, 2019  
415 Madison Avenue  
11th Floor  
New York, New York 10017  
212.817.6733

**Transmittal**

**To:** Greg Russ, Chair and CEO, NYCHA, via email:  
[Gregory.Russ@nycha.nyc.gov](mailto:Gregory.Russ@nycha.nyc.gov)  
Jesse Olczak, DOB, via email:  
[Jesse.Olczak@budget.ny.gov](mailto:Jesse.Olczak@budget.ny.gov)  
Michael Cusack, General Counsel, DASNY, via email:  
[mcusack@dasny.org](mailto:mcusack@dasny.org)

**From:** Bart M. Schwartz NYCHA Federal Monitor   
**Date:** November 6, 2019  
**Subject:** Transmittal of Approved GDA Action Plan for the DASNY Funding Agreement with NYCHA

Transmitted herewith, after consultation with each of your offices, you will find :

- a) Memorandum, dated November 6, 2019, from Bart M. Schwartz, Federal Monitor to each of the named addressees, concerning preliminary approval of the *NYCHA GDA Action Plan-for the DASNY Funding Agreement with NYCHA*
- b) *NYCHA Capital Projects Division GDA Action Plan for the Performance Period September to December 2019, with attached GDA Plan Deliverables Tables for Elevators and for Heating.* This Action Plan, required to be prepared by NYCHA and adopted by NYCHA pursuant to the DASNY Funding Agreement after approval by the Federal Monitor, is subject to the same provisions of the HUD Agreement dated January 31, 2019 that control other Action Plans.

As Monitor I have approved the *NYCHA Capital Projects Division GDA Action Plan for the Performance Period September to December 2019, with attached GDA Plan Deliverables Tables for Elevators and for Heating*, as set forth in the attached Memorandum.

Thanks to all of you for your efforts and help in completing this. Please contact either Joseph Jaffe or Elan Parra should you have any questions.

Bart M. Schwartz

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Memorandum

Date: November 6, 2019  
To: Greg Russ, Chairman/CEO  
Cc: Jesse Olczak, State Division of Budget  
Michael Cusack, Dormitory for the State of New York  
From: Bart M. Schwartz, Federal Monitor   
Re: Preliminary Approval of GDA Action Plan

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On September 5, 2019, the New York City Housing Authority ("NYCHA"), and the Dormitory of the State of New York ("DASNY"), entered into a reimbursement funding agreement ("DASNY Funding Agreement") in connection with an allocation by the State of New York of \$450 million for capital improvements at various NYCHA developments throughout New York City. The DASNY Funding Agreement requires, among other things, that NYCHA prepare an action plan ("GDA<sup>1</sup> Action Plan") and present the action plan to the Federal Monitor ("Monitor"), for approval. The DASNY Funding Agreement also requires that, as a pre-condition for reimbursement, NYCHA must first make and document full payment to the contractors, vendors and/or suppliers who have been engaged to undertake identified capital improvement projects on each project for which reimbursement is sought. Upon my preliminary review and approval of reimbursement submissions, DASNY will then conduct its own review and reimburse costs expended by NYCHA for each identified project.

The GDA Action Plan was not contemplated in the agreement between the City of New York, NYCHA and HUD, executed on January 31, 2019 ("HUD Agreement"). The GDA Action Plan funds capital improvements that are otherwise required as part of the larger mandate for improvements that NYCHA is required to complete under the broader HUD Agreement. The reimbursement funding is independent of other sources mentioned in the HUD Agreement and only applies to the expenditure of state funds committed to NYCHA by the Governor. The DASNY Funding Agreement specifically requires that NYCHA prepare a separate GDA Action Plan that "shall include policies and practices to be adopted and specific actions to be taken by NYCHA to successfully complete each project, including milestones, cost and other factors deemed relevant by the Monitor." It further requires that the GDA Action Plan is "subject to the same provisions set forth in the HUD Agreement," including submission of the GDA Action Plan as an "Action Plan" to the Monitor incorporating the same requirements of action plans referenced in the HUD Agreement.

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<sup>1</sup> Grant Disbursement Agreement

As such, it is my responsibility to approve the GDA Action Plan and monitor the GDA Action Plan in the same manner as the action plans created by the HUD Agreement. This includes regular monitoring on each capital infrastructure project and reporting on the progress of the GDA Action Plan in Quarterly Reports, as required in the HUD Agreement.

On September 5, 2019, NYCHA submitted the first of multiple iterations of its GDA Action Plan to the Monitor for approval. After almost a dozen revisions, the GDA Action Plan was submitted on October 30, 2019. In that interim period, the Monitor completed a technical review of the list of identified assets that NYCHA intends to replace using state funds. The Monitor has concluded, based on the available data, that NYCHA has identified those boilers and elevators that most immediately require replacement and that merit consideration for reimbursement pursuant to the GDA Action Plan. The GDA Action Plan (attached) identifies tasks that NYCHA has undertaken, and work that will be required in the coming months to execute the delivery of capital improvements in two phases. However, due to inherent challenges related to accurately estimating the cost and scheduling of the vast number of proposed capital projects under the GDA Action Plan, the plan as presented does not provide the specificity ultimately required for a full and final approval by the Monitor.

Additionally, several challenges that NYCHA must overcome for success exist, including whether NYCHA can successfully execute multiple design build project plans. While significant cost savings may be realized by using the design build model, NYCHA has never successfully executed such a plan and the schedule currently outlined in the GDA Action Plan appears very aggressive. I acknowledge NYCHA's effort to mitigate this concern by engaging Jacobs Engineering Group to provide program management. However, responsibility to effectively complete the proposed capital improvement projects lies with NYCHA, and NYCHA's inexperience in the work of design build construction must be factored into scheduling commitments if NYCHA is to be successful in meeting interim and long-term deadlines.

In order to facilitate appropriate, effective and informed monitoring of NYCHA's execution of the GDA Plan, as required by the Governor, NYCHA has agreed to proceed as outlined in the GDA Action Plan, including undertaking (and documenting) in the sequence indicated, specific deliverables and tasks set forth in the Appendix thereto, as NYCHA moves forward. As Monitor I am aware that it is premature to request a full schedule and cost estimate for each capital project due the current preliminary stage at which NYCHA finds itself; however, NYCHA has assured me that those details will be included in an amended GDA Action Plan that will be submitted no later than December 31, 2019.

Accordingly, this Memorandum will serve as preliminary approval of NYCHA's GDA Action Plan dated October 30, 2019. For the reasons set forth above and based on the deliverables and tasks set forth in the Appendix to the GDA Action Plan, full final approval is contingent upon an submission of an amended GDA Action Plan that will include compliance with the tasks and deliverables in that Appendix.



## NEW YORK CITY HOUSING AUTHORITY CAPITAL PROJECTS DIVISION

**GDA Action Plan**  
**Performance Period: September to December 2019**  
**October 30, 2019**

### **1. Background**

In September 2019, the Dormitory Authority of the State of New York ("DASNY") and the New York City Housing Authority ("NYCHA"), signed a Grant Disbursement Agreement ("GDA") allocating \$450 million in state capital funds for capital improvement projects to replace heating plants and elevators at thirty-five (35) identified NYCHA developments. The GDA is a reimbursement program requiring NYCHA to pay for the identified capital improvements before seeking reimbursement approval from the State. These funds were originally appropriated by the State in 2017 and 2018, and negotiations related to the funding were ongoing until the State terminated discussions in March of 2018.

The State has now agreed to make the funding available, pending NYCHA's establishment and the Federal Monitor's approval of an action plan "GDA Action Plan"; execution and payment for each identified particular project; and submission of appropriate reimbursement request documentation. Capital improvement projects at the 35 identified developments funded through the GDA are a sub-group of assets that have also been identified for repair in NYCHA's heating and elevator action plans mandated in the agreement between NYCHA and the Department of Housing and Urban Development ("HUD"). After the State offered to restart negotiations in April of 2019, NYCHA worked with New York City and New York State officials to negotiate the terms and conditions set forth in the GDA. The GDA conditions funding reimbursement by the State contingent on the Monitor's approval of the GDA Action Plan. This plan highlights activities NYCHA will undertake through the end of this year to develop a comprehensive schedule and cost estimate for each elevator and boiler identified. An amended GDA Action Plan including schedule and cost documentation will be provided to the Monitor by December 31, 2019.

NYCHA will take necessary steps to make all documentation in connection with this GDA Action Plan available for the Monitor's review, including but not limited to solicitations, contracts, design and construction documents, and the records of prime and subcontractors. Further, NYCHA will cooperate fully with the Monitor to facilitate his oversight and review obligations, including but not limited to ensuring on-site access to project sites to observe construction activity, providing access to any and all project records, facilitating the Monitor's access to all NYCHA, contractor and subcontractor records and employees, as needed, and ensuring Monitor's access to and observations of project meetings. NYCHA will also provide Dormitory Authority reimbursement

requests, including all supporting documentation, to the Monitor for review prior to submission to DASNY.

## **2. Capital Strategy**

To meet the capital-related obligations set forth within the HUD agreement, signed in January 2019, NYCHA has allocated a total of \$1.1 billion dollars: \$932 million in federal, state and city resources to replace 310 boilers within 76 developments<sup>[1]</sup> and \$169 million in federal, state and city resources to replace 281 elevators within 22 developments.<sup>[2]</sup> This GDA Action Plan addresses a portion of NYCHA's obligation under the HUD agreement, and the \$450 million in state funding that is the subject of the 2019 GDA is a portion of the total financial commitment that NYCHA has allocated. NYCHA will use non-federal funds, including Central Office Cost Center "COCC" fee revenues, which are de-federalized and city contributions to complete work prior to state reimbursement.

The \$450 million allocated to NYCHA by New York State will be utilized to address capital improvement needs to replace 108 boilers at 25 developments and elevator systems consisting of 148 elevator cars at 10 developments. The improvements will positively impact the quality of life of more than 79,234 residents and will decrease maintenance tickets, expanding the limited resources available to support NYCHA's efforts to preserve its aging building stock. Furthermore, state funds represent approximately 36% of the agency's financial obligation to replace boilers and 54% of the agency's financial obligations to replace elevators within NYCHA developments as required in the HUD agreement. As described in more detail below, NYCHA anticipates that GDA funding will not be sufficient to cover all costs associated with the capital improvements contemplated in this GDA Action Plan. Additional costs above the \$450 million may occur as the scope develops and determinations are made as to what locations may benefit from more advanced and efficient heating plant systems. This may result in heavier up-front costs for technologically advanced more efficient hardware. In addition, typical construction related cost overruns may occur due to market and labor conditions. NYCHA plans to use the federal Capital Fund Program (CFP) to pay for any costs more than the \$450 million. HUD requires that housing authorities attach all CFP funding to projects and are not allowed to hold any funds in reserve for cost overruns or change orders. Therefore, if additional investment is required to complete the state pipeline, NYCHA will have to revise the 5-year federal plan and push other projects out. Pursuant to the GDA, NYCHA understands that these funds will not be reimbursed; they represent the additional investment needed to complete the scope of work included in this GDA Action plan and will be determined based on the eventual bid results for these projects.

Anticipated dates identified in this GDA Action Plan will be revised to more accurately reflect the forthcoming program/project schedules in an amended GDA Action Plan that will be submitted to the Monitor by the end of December. Further detail is provided below.

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<sup>[1]</sup> Pursuant to Obligation A.14c of the HUD Agreement, NYCHA is obligated to replace 297 boilers. As part of its capital plan, NYCHA is scheduled to complete the replacement of 310 boilers by December 31, 2026.

<sup>[2]</sup> Pursuant to Obligation C.33.b of the HUD Agreement, NYCHA is obligated to replace 275 elevators. As part of its capital plan, NYCHA is scheduled to complete the replacement of 281 elevators by December 31, 2024.

### 3. Detailed Summary of Key Activities for Heating Plant Replacement Work

Under the GDA, NYCHA has divided the heat plant replacement work into two phases. The state appropriated the \$450 million over two years. The 2017 appropriation was for \$250 million; NYCHA proposed a mix of heating plant and elevator projects and the State agreed to this proposal. The 2018 appropriation was for \$200 million. The phases in the final GDA reflect this division of pipeline and funding as closely as possible given price escalation since the funds were appropriated. Phase 1 includes nine (9) developments and thirty-seven (37) boilers. The second phase includes sixteen (16) developments and seventy-one (71) boilers. Prioritization of these sites in Phase I & Phase II was based on the 2017 Physical Needs Assessment and NYCHA operational data that captures number of outages, work order tickets and availabilities of parts. The table below details each of the sites per Phase. NYCHA intends to implement the heating plant replacement work through a variety of mechanisms, described below.

#### Heating Plants/Boilers (Phase 1 and 2)

Development	Equipment Year (PNA)	Boiler Count	Condition Rating (OP) 2018	Condition Rating (PNA) 2017
<b>Phase 1</b>				
830 Amsterdam	1996	2	3	3
Berry	1950	3	5	5
Eastchester	1987	4	3	5
Jackson	1986	4	5	4
Marlboro	1993	6	5	4
Pink	1990	6	5	3
Tilden	1990	4	5	4
Ocean Hill Apartments	1980	2	5	3
Marble Hill	1986	6	4	3
<b>Phase I Total</b>		<b>37</b>		
<b>Phase 2</b>				
Amsterdam	2003	4	3	3
Bay View	1990	8	4	4
Brevoort	1990	4	5	3
Cooper Park	1987	4	4	4
Gowanus	1981	6	5	4
Johnson	1993	5	3	4
Lincoln	1985	5	3	3
Marcy	1979	7	5	4
Mott Haven	1998	4	2	3
Ravenswood	1986	7	5	3
Roosevelt I & II	1964	4	4	4
Smith	1992	6	3	3
UPACA (Site 5)	1986	2	4	3

Development	Equipment Year (PNA)	Boiler Count	Condition Rating (OP) 2018	Condition Rating (PNA) 2017
Van Dyke I & II	1990	5	5	3
<b>Phase II Total</b>		<b>71</b>		
<b>Phase 1 and 2 Grand Total</b>		<b>108</b>		

**a. Activate Program Management Firm - Jacobs Project Management**

NYCHA entered into contract with Jacobs Project Management “Jacobs” in May 2019. Jacobs is a full-service project management firm that offers integrated solutions to assist in all aspects of major construction activities from planning through design, construction, maintenance, and operating a facility.

**Completed Activities:**

- In August 2019, NYCHA issued a task order to Jacobs for Program Management Professional Services.

**Ongoing Activities:**

- As of October 2019, NYCHA is writing task orders to Jacobs to manage the entire heating plant replacement projects at six (6) developments (26 boilers) that are part of Phase 1. The developments in Jacobs’s scope include Eastchester, Jackson, Marlboro, Ocean Hill Apartments, Pink and Tilden. The task orders will be issued to Jacobs by October 18, 2019 for signature.
- NYCHA aims to execute task orders by November 8, 2019.

**Anticipated Deliverables and Completion:**

- Jacobs will develop project schedules for the 6 developments receiving heating plant replacements (26 boilers) including milestones for completion of each development - by October 31, 2019.

**b. Activate New York Power Authority (NYPA)**

NYCHA will leverage an existing energy services agreement with NYPA from 2005 to provide turnkey design-build services to implement heating plant replacement projects at three (3) developments (11 boilers). NYPA will manage these projects from inception to closeout as an extension of NYCHA staff. The NYCHA agreement with NYPA is attached. NYCHA will also utilize Jacobs to oversee the NYPA work.

**Completed Activities:**

- On September 11, 2019, NYCHA signed an Authorization to Proceed “ATP” with NYPA for the design-build of 3 heating plants (11 boilers) that are part of Phase 1. The developments in NYPA’s scope include: 830 Amsterdam, Berry and Marble Hill.

- On October 3, 2019, NYPA began site visits to the 3 sites to explore existing conditions of the heating plants and the tank rooms.

Ongoing Activities:

- NYPA site visits will continue and be concluded by October 17, 2019.

Anticipated Deliverables and Completion:

- Task Order to be issued to Jacobs with regard to the NYPA projects by November 8, 2019.
- Summary of NYPA's design-build process and project schedules for the 3 developments receiving heating plant replacements (11 boilers) assigned to NYPA will be delivered to NYCHA by October 31, 2019.

**c. Active Design-Build Through Outreach to Industry and a New Request for Qualifications**

New York's Assembly passed legislation granting NYCHA design-build authority in 2018. Such authority will run for a period of three years from execution by the Governor, which NYCHA anticipates will occur soon but has not yet occurred. Design-build offers a new opportunity to facilitate NYCHA capital projects. For projects in which design-build is appropriate, project delivery can be faster due to the collapsed design schedule. It also can provide a valuable opportunity for engaging the designer and the contractor in value engineering, thereby enhancing efficiencies in means and methods as well as identifying potential cost savings. This opportunity is normally not available to public housing authorities under standard HUD and state public housing procurement structures.

Completed Activities:

- As of May 23, 2019, HUD agreed that NYCHA could implement a design-build delivery mechanism that is consistent with the new legislation<sup>1</sup> or projects in which design-build is appropriate.
- On July 11, 2019, the Authority contracted with Epic Management LLC ("Epic") to assist in identifying project pipelines that are suited to design-build; establishing standards and protocols for design-build; overseeing the procurement of and negotiations with design-build teams; and overseeing project delivery. Epic Management LLC is a program and construction management firm that provides services for design-build project delivery. EPIC Management LLC will assist NYCHA in identifying project pipelines that are suited to design-build; establishing standards and protocols for design-build; overseeing the procurement of and negotiations with design-build teams; and overseeing project delivery.
- On September 4, 2019, NYCHA also has contracted with Nixon-Peabody LLC to provide outside legal counsel on the design-build initiative.

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<sup>1</sup> NYCHA is operating under the legislation enacted in 2018. The Act states that NYCHA "may" use design-build. (Part LLL, Sections 3 and 4).



- To create interest and awareness in the industry of the design-build pipeline, and to encourage firms to start identifying partners, with the goal of having a healthy bidding pool, NYCHA met with Subcontractor Trade Associations (“STA”) on September 25, 2019 and with the Association of Engineering Consultants (“ACEC”) on September 26, 2019.

#### Ongoing Activities:

- NYCHA plans to meet with the NY Building Congress on October 29, 2019. Also, Epic Management will meet with the Mechanical Contractors Association, as part of their scope, and is conducting outreach to MEP engineering firms.
- NYCHA will continue to coordinate outreach to industry organizations as well as vendors, manufacturers and labor trades as a strategy to address broaden the pool of designers and contractors interested in bidding on NYCHA’s construction projects.
- As of September 19, 2019, NYCHA began meeting with Epic Management on a bi-weekly basis to develop a Request for Qualifications (RFQ) and project schedule.
- The purpose of the RFQ is to create a pre-qualified list of vendors to compete for the final award of the Phase 2 Request for Proposal.

#### Anticipated Deliverables and Completion:

- Epic Management will provide working drafts of Request for Qualifications.
- NYCHA will review and comment on working draft.
- Final Draft of completed package including form of contract.
- Submission to Monitor for review and comment.
- RFQ finalized and released – December 10, 2019

#### 4. Detailed Summary of Key Activities for Elevator Replacement Work

NYCHA has identified 148 elevators across ten (10) developments for replacement through this GDA Action Plan. The detailed list of the sites is shown per the table below. Prioritization of these sites was based on the 2017 Physical Needs Assessment and NYCHA operational data. <sup>2</sup>

Development	Equipment Year	Elevator Count	Condition Rating (OP) 08/2019	Condition Rating (PNA) 2017	# of Senior (62+) Or Residents With Mobility Or Vision Issue at Dev.	% of Senior (62+) Or Residents With Mobility Or Vision Issue at Dev.	# of Buildings with single-car elevators	Elevator Outages/ Car/ Month (OP)	Roof Rating	Funding for Roof Replacement
Atlantic Terminal	2001	3	4	3	192	33.92%	0	0.92	5	Tranche 6
Carey Gardens	1992	9	5	4	461	28.51%	0	1.22	4.53	In Construction
Coney Island (4&5)	1994	6	5	3	146	29.14%	0	2	4.4	In Construction
Coney Island (1B)	1996	3	5	3	198	19.86%	0	0.58	4.6	In Construction
High Bridge Gardens	2001	12	3	3	390	24.21%	0	1.06	2.43	Completed
Butler	2000	18	3	3	661	15.44%	0	1.09	4.07	Tranche 4
Mitchell	1994	20	5	3	896	22.74%	0	3.06	4.35	In-Construction
Queensbridge North	1994	49	5	3	795	25.76%	13	0.52	1.24	Completed
Richmond Terrace	1995	12	5	3	175	14.00%	0	0.72	2	Completed
Unity Plaza	1992	16	5	3	266	16.60%	8	0.77	3	Completed
<b>TOTAL</b>		<b>148</b>								

##### a. Activate Program Management Firm - Jacobs Management

NYCHA will also utilize the Jacobs contract to deliver the elevator replacement work.

##### Completed Activities:

- In September 2019, NYCHA met with Jacobs to discuss opportunities for bulk purchase of elevator cars and to explore the possibility of prioritizing and accelerating the schedule for the elevator projects included in this GDA Action Plan. Jacobs provided a summary report for the Bulk Purchase option. (See attachment)
- On September 27, 2019, Jacobs issued solicitations for design services from NYCHA's IDIQ pool of firms for the elevators included in this GDA Action Plan. Proposals are due back on October 16, 2019. Jacobs is utilizing existing NYCHA A/E contracts for the design of the elevators. (copy of the solicitation attached)
- On October 8, 2019, NYCHA issued a task order to Jacobs for Program Management Professional Services to manage the elevator replacements as part of this GDA Action Plan.

##### Anticipated Deliverable:

- Selection of consultant design firms.
- Jacobs to issue design services task orders – November 29, 2019

<sup>2</sup> The attached "GDA Plan Deliverables Table/Elevators" is attached hereto and incorporated herein; dates will be added in consultation with Monitor's team.

- Jacobs will deliver project schedules including milestones for completion of each development – December 6, 2019.

**GDA ACTION PLAN: HEATING PLANT REPLACEMENT PHASE 1 PRELIMINARY SCHEDULE<sup>3</sup>**

Development	Count	Budget	Anticipated Project Start Date	Anticipated Design End Date	Anticipated Procurement End Date	Anticipated Construction End Date	Anticipated Completion End Date	Duration (M)
830 Amsterdam	2	\$ 4,452,000	10/2019	8/2020	11/2020	12/2022	6/2023	44
Berry	3	\$ 6,678,000	10/2019	8/2020	11/2020	12/2022	6/2023	44
Eastchester	4	\$ 8,904,000	10/2019	8/2020	11/2020	12/2022	6/2023	44
Jackson	4	\$ 6,466,000	10/2019	8/2020	11/2020	12/2022	6/2023	44
Marlboro	6	\$ 13,356,000	10/2019	8/2020	11/2020	12/2022	6/2023	44
Pink	6	\$ 12,190,000	10/2019	8/2020	11/2020	12/2022	6/2023	44
Tilden	4	\$ 6,380,256	10/2019	8/2020	11/2020	12/2022	6/2023	44
Ocean Hill Apartm	2	\$ 7,380,063	10/2019	8/2020	11/2020	12/2022	6/2023	44
Marble Hill	6	\$ 13,737,600	10/2019	8/2020	11/2020	12/2022	6/2023	44
	<b>37</b>	<b>\$ 79,543,919</b>						

Note: The project start date is the date of anticipated design start pending approval of this GDA Action Plan.

**GDA ACTION PLAN: HEATING PLANT REPLACEMENT PHASE 2 PRELIMINARY SCHEDULE**

Development	Count	Budget	Anticipated Project Start Date	Anticipated Design End Date	Anticipated Procurement End Date	Anticipated Construction End Date	Anticipated Completion End Date	Duration (M)
Amsterdam	4	\$ 9,158,400	TBD	TBD	TBD	TBD	TBD	TBD
Bay View	8	\$ 54,816,664	TBD	TBD	TBD	TBD	TBD	TBD
Brevoort	4	\$ 9,158,400	TBD	TBD	TBD	TBD	TBD	TBD
Cooper Park	4	\$ 9,158,400	TBD	TBD	TBD	TBD	TBD	TBD
Gowanus	6	\$ 41,470,000	TBD	TBD	TBD	TBD	TBD	TBD
Johnson	5	\$ 11,448,000	TBD	TBD	TBD	TBD	TBD	TBD
Lincoln	5	\$ 11,448,000	TBD	TBD	TBD	TBD	TBD	TBD
Marcy	7	\$ 55,055,000	TBD	TBD	TBD	TBD	TBD	TBD
Mott Haven	4	\$ 9,158,400	TBD	TBD	TBD	TBD	TBD	TBD
Ravenswood	7	\$ 16,027,200	TBD	TBD	TBD	TBD	TBD	TBD
Roosevelt I & II	4	\$ 9,158,400	TBD	TBD	TBD	TBD	TBD	TBD
Smith	6	\$ 31,460,000	TBD	TBD	TBD	TBD	TBD	TBD
UPACA (Site 5)	2	\$ 4,579,200	TBD	TBD	TBD	TBD	TBD	TBD
Van Dyke I & II	5	\$ 11,448,000	TBD	TBD	TBD	TBD	TBD	TBD
	<b>71</b>	<b>\$ 283,544,064</b>						

<sup>3</sup> The attached “GDA Plan Deliverables Table/Heating-Phase 1” is attached hereto and incorporated herein; dates will be added in consultation with Monitor’s team.

**GDA ACTION PLAN: ELEVATOR PIPELINE PRELIMINARY SCHEDULE**

Development	Count	Budget	Anticipated Project Start Date	Anticipated Design End Date	Anticipated Procurement End Date	Anticipated Construction End Date	Anticipated Completion End Date	Duration (M)
Atlantic Terminal	3	\$ 1,855,000	10/2019	8/2020	11/2020	8/2022	2/2023	40
Carey Gardens	9	\$ 3,498,000	10/2019	8/2020	11/2020	7/2022	1/2023	39
Coney Island (4&5)	6	\$ 2,226,000	10/2019	8/2020	11/2020	2/2022	8/2022	34
Coney Island (1B)	3	\$ 1,908,000	10/2019	8/2020	11/2020	7/2022	1/2023	39
High Bridge Gardens	12	\$ 12,720,000	10/2019	8/2020	11/2020	2/2022	8/2022	34
Butler	18	\$ 14,400,000	10/2019	8/2020	11/2020	8/2022	2/2023	40
Mitchel	20	\$ 11,660,000	10/2019	8/2020	11/2020	12/2022	6/2023	44
Queensbridge North	49	\$ 21,730,000	10/2019	8/2020	11/2020	7/2023	1/2024	51
Richmond Terrace	12	\$ 12,720,000	10/2019	8/2020	11/2020	1/2022	7/2022	33
Unity Plaza	16	\$ 6,996,000	10/2019	8/2020	11/2020	5/2022	11/2022	37
	<b>148</b>	<b>\$ 89,713,000</b>						

Note: The project start date is the date of anticipated design start pending approval of this GDA Action Plan.

**GDA PLAN DELIVERABLES TABLE FOR ELEVATORS**  
10-30-2019

Task #	Activity	Task	Deliverable
0	Identify capital requirements for both elevators and interrogate under separate issuance.	Analytical review of presented assets in capital plan.	Analysis
<b>STAGE GATE 0 CHECK</b>			
1	(1) Review and comment on staffing plan and resumes; (2) Review and comment on internal build protocols	Review NYCHA's staffing plan for oversight of the design-bid-build consultant Jacobs. Review NYCHA's internal build protocols and procedures.	(1) provide an org chart identifying staff responsible for GDA, job functions, resumes (2) provide written internal build protocols and procedures
2	Enter into contract with Jacobs	Executed task orders to Jacobs.	Executed task orders to Jacobs.
2a	Monitor Review	Review proposed elevator schedule and scope.	Monitor to provide comments.
3	Select Design Consultant Firm	Select Design Consultant Firm.	Selection of consultant design firms.
4	Produce finalized Project Schedules	Produce and deliver finalized project schedules	NYCHA to deliver program schedules incorporating the individual project requirements.
4a	(1) Complete and submit a benchmark project schedule identifying proposed timeline from initial assessments through completion of work and closeout;	Develop a detailed benchmark baseline schedule with milestones for the projected work	(1) Phase 1 project benchmark schedule identifying proposed timelines
4b	(1) Complete and submit a project schedule identifying proposed timeline from initial assessments through completion of work and closeout; (2) Complete field review of proposed projects to assess site conditions that may/will impact the proposed Scope of Work on a project by project basis.	Monitor NYCHA's Scoping Review of all proposed elevator projects; review proposed selection of Design, Bid, Build (i.e. "DBB") projects	(1) provide completed assessment of proposed projects to assess whether sufficient information has been gathered to sufficiently scope the work. (2) provided list of proposed DBB projects with backing assessments from the consultants with field reports and photographs
4c	(1) Review schedules, (2) milestones, and (3) estimates for each project at each development	Assess that NYCHA's schedules and cost estimates for Phase 1 work are reasonable based on the revised scoping For elevators the Phase I AE deliverables include detailed site surveys.	(1) provide schedules with milestones, and (2) cost estimates once completed by Jacob's
4d	Monitor Review	Review proposed elevator schedule and scope.	Monitor to provide comments
4e	NYCHA/JACOBS to reply	NYCHA to provide modification and re-submittals Monitor NYCHA's outreach efforts to the Industries (equipment manufacturers, labor trades, etc.). Engage vendors and labor trades early on to discuss if they can handle and keep up with the large amount of work with the already saturated industry work. Jacobs will be conducting outreach to the elevator industry during the design phase.	Finalized Plan
5a	(1) observe that outreach is being conducted		(1) provide a list of who is being contacted; (2) when; (3) what topics are being discussed and what commitments, if any, are reached
5b	(1) Review defined scope and basis of design which will form the set of standards by which the bidders will work from (including but not limited to: design and project delivery standards, code and other regulatory requirements, information requirements, energy efficiency requirements, equipment and materials standards, installation and construction standards, QA/QC standards, safety, community relations, warranties/guarantees, training)	Assess that internal specifications, standards and requirements are robust and sufficiently outline specified materials and program requirements for vendors	(1) provide requested documents on an as needed basis
5c	(1) Complete and submit a proposed deliverables list to be issued on a month over month basis, to be purchased from the sub consultants under the Task order;	Develop a list of proposed deliverables to be issued by the sub consulting team as managed by NYCHA (cost, schedule and kip's) to enable the monitoring of the proposed program;	(1) List of deliverables
5d	Review list of proposed deliverables	Review list of proposed deliverables	Provide Feedback on deliverables
5e	(1) Complete and submit a project schedule identifying proposed timeline from initial assessments through completion of work and closeout; (2) Complete field review of proposed projects to assess site conditions that may/will impact the proposed Scope of Work on a project by project basis.		(1) provide completed assessment of proposed projects to assess whether sufficient information has been gathered to sufficiently scope the work. (2) provided list of proposed DBB projects with backing assessments from the consultants with field reports and photographs
6	Detailed estimates. Estimates are part of the various design phase deliverables.	Detailed estimates to be delivered by AE consultants via Jacobs.	Jacobs will deliver estimates for each development.
7	Monitor design phase		
<b>STAGE GATE 1 CHECK</b>			
8	Review of RFP prior to release	Review of RFP	Comments to RFP
8a	Procure and award elevator construction contracts		
<b>STAGE GATE 2 CHECK</b>			
9	Monitor the selection of vendors with prior experience in completing similar contracts to execute the GDA Plan	Monitor the selection of vendors with prior experience in completing similar contracts to execute the GDA Plan	(1) scoring sheets; (2) RFP responses; (3) standardized interview questions (if applicable)
10	(1) participate in pre-bid site visits in real time to monitor vendor activity to comment on whether correct assessment is being performed	Review process by which vendors are assessing project scope	(1) List of attendees with organization and contact numbers
11	(1) Review durations for review and approval and internal procurement team staffing to monitor performance against the proposed schedule as identified in item 1 above	Internal procurement process	(1) Staffing plan from Procurement identifying interagency contacts; (2) Process diagram illustrating approval process through final release of contract for start of work;
<b>STAGE GATE 3 CHECK</b>			
12	Monitor scope of work of executed contract from inception to closeout.	Monitor costs and schedule	Provide aging reports, cost analysis etc....
<b>STAGE GATE 4 CHECK</b>			
13	Monitor closeout process and handover	Monitor information and asset handover from contractor to Capital Projects to relevant NYCHA Operations and Maintenance personnel.	Provide closeout reports, project analysis, etc....



GDA PLAN DELIVERABLES TABLE FOR HEATING - PHASE 1  
10-30-2019

Task #	Activity	Task	Deliverable
0	Identify capital requirements for both heating interrogate under separate issuance.	Analytical review of presented assets in capital plan.	Analysis
<b>STAGE GATE 0 CHECK</b>			
	(1) Review and comment on staffing plan and resumes; (2) Review and comment on internal build protocols	Review NYCHA's staffing plan for oversight of the design-build consultants (Epic, Jacobs, Nixon Peabody). Review NYCHA's internal build protocols and procedures.	(1) provide an org chart identifying staff responsible for GDA; job functions, resumes (2) provide written internal build protocols and procedures
1	Site Visit	NYPA to schedule and coordinate	NYPA site visits will continue and be concluded.
2	Enter into contract with Jacobs	Deliver NTP	Executed task orders to Jacobs.
3	Enter into contract with Jacobs	Deliver NTP	Task Order to be issued to Jacobs with regard to the NYPA projects.
4	Deliver RFQ	Draft RFP to be reviewed	Epic Management will provide working drafts on Request for Qualifications.
5	Produce finalized Project Schedules by Jacobs	Produce and deliver finalized project schedules	Jacobs to develop project schedules for the for the 6 developments receiving heating plant replacements (26 Boilers) including milestones for completion of each development. (830 Amsterdam, Berry & Marble Hill)
5a	(1) Complete and submit a benchmark project schedule identifying proposed timeline from initial assessments through completion of work and closeout;	Develop a detailed benchmark baseline schedule with milestones for the projected work	(1) Phase 1 project benchmark schedule identifying proposed timelines
5b	(1) Complete and submit a project schedule identifying proposed timeline from initial assessments through completion of work and closeout; (2) Complete field review of proposed projects to assess site conditions that may/will impact the proposed Scope of Work on a project by project basis.	Monitor NYCHA's Scoping Review of all proposed Phase 1 projects; review proposed selection of Design Build (i.e. "DB") projects	(1) provide completed assessment of proposed projects to assess whether sufficient information has been gathered to sufficiently scope the work. (2) provided list of proposed DB projects with backing assessments form the consultants with field reports and photographs
5c	(1) Review schedules, (2) milestones, and (3) estimates for each project at each development	Assess that NYCHA's schedules and cost estimates for Phase 1 work are reasonable based on the revised scoping	(1) provide schedules with milestones, and (2) cost estimates once completed by Jacob's
5d	Monitor Review	Review proposed boiler schedule and scope	Monitor to provide comments.
5e	NYCHA/JACOBS to reply	NYCHA to provide modification and re-submittals.	Finalized Plan
6	Produce Project Schedules by NYPA	Produce and deliver project schedules	Summary of NYPA's design-build process and project schedules for the 3 developments receiving heating plant replacement (11 Boilers) assigned to NYPA will be delivered to NYCHA.
7	Meeting	Provide meeting notes from discussions	NYCHA plans to meet with the NY Building Congress.
8	Review Epic Deliverable	Review Epic Deliverable	NYCHA to review and comment on working draft presented by Epic Management.
9	Form of Contract	Deliver form of Contract	Final draft of completed package including form of contract (RFQ Plans).
10	Review and Comments (Form of Contract)	Review and Comments (Form of Contract)	Submission to Monitor for review and comment (RFQ).
10a	(1) observe that outreach is being conducted	Monitor NYCHA's outreach efforts to the industries (equipment manufacturers, labor trades, etc.). Engage vendors and labor trades early on to discuss if they can handle and keep up with the large amount of work with the already saturated industry work.	(1) provide a list of who is being contacted; (2) when; (3) what topics are being discussed and what commitments, if any, are reached
11	Finalize RFQ	Finalize RFQ	RFQ finalized.
12	Details schedules and estimates. These are to be finalized once the D-B contracts have been awarded.	Detailed scheduled and estimates to be delivered by Jacobs.	Jacobs will deliver project schedules including milestones for completion of each development.
12a	(1) Review defined scope and basis of design which will form the set of standards by which the bidders will work from (including but not limited to: design and project delivery standards, code and other regulatory requirements, information requirements, energy efficiency requirements, equipment and materials standards, installation and construction standards, QA/QC standards, safety, community relations, warranties/guarantees, training)	Assess that internal specifications, standards and requirements are robust and sufficiently outline specified materials and program requirements for vendors	(1) provide requested documents on an as needed basis
12b	(1) Complete and submit a proposed deliverables list to be issued on a month over month basis, to be purchased from the sub consultants under the Task order;	Develop a list of proposed deliverables to be issued by the sub consulting team as managed by NYCHA (cost, schedule and kip's) to enable the monitoring of the proposed program;	(1) List of deliverables
12c	Review list of proposed deliverables	Review list of proposed deliverables	Provide Feedback on deliverables
12d	(1) Complete and submit a project schedule identifying proposed timeline from initial assessments through completion of work and closeout; (2) Complete field review of proposed projects to assess site conditions that may/will impact the proposed Scope of Work on a project by project basis.	Monitor NYCHA's Scoping Review of all proposed Phase 1 projects that are not deemed capable for DB; review proposed selection of Design BID Build (i.e. "DBB") projects	(1) provide completed assessment of proposed projects to assess whether sufficient information has been gathered to sufficiently scope the work. (2) provided list of proposed DBB projects with backing assessments form the consultants with field reports and photographs
12e	(1) Review modified contract language meets the requirements for design build contracts;	Assess that revised contracts address the modifications required under a DB contract	(1) provide requested documents on an as needed basis
<b>STAGE GATE 1 CHECK</b>			
13	Review of RFP prior to release	Review of RFP	Comments to RFP
14	RFP release	RFP release	RFP released.
<b>STAGE GATE 2 CHECK</b>			
15	Monitor the selection of vendors with prior experience in completing DB contracts to execute the GDA Plan	Monitor the selection of vendors with prior experience in completing DB contracts to execute the GDA Plan	(1) scoring sheets; (2) RFP responses; (3) standardized interview questions (if applicable)
16	(1) participate in pre-bid site visits in real time to monitor vendor activity to comment on whether correct assessment is being performed	Review process by which vendors are assessing project scope	(1) List of attendees with organization and contact numbers
17	(1) Review durations for review and approval and internal procurement team staffing to monitor performance against the proposed schedule as identified in item 1 above	Internal procurement process	(1) Staffing plan from Procurement identifying interagency contacts; (2) Process diagram illustrating approval process through final release of contract for start of work;
<b>STAGE GATE 3 CHECK</b>			
18	Monitor scope of work of executed contract from inception to closeout	Monitor costs and schedule	Provide aging reports, cost analysis etc....
<b>STAGE GATE 4 CHECK</b>			
19	Monitor closeout process and handover	Monitor information and asset handover from contractor to Capital Projects to relevant NYCHA Operations and Maintenance personnel.	Provide closeout reports, project analysis, etc....