

**SPEARS BUILDING**  
**GUIDELINES FOR APARTMENT ALTERATIONS AND DECORATION**

- I.** Discuss your plans for Alterations/Decorating/Cosmetic work with the Managing Agent for guidance. No Alteration or Decorating/Cosmetic Work may proceed until either an Alteration or Decorating Agreement has been approved by the Spears Building. Only emergency and very minor repairs or replacement of appliances are exempted from these requirements.
  
- II.** Renovations and Alterations which require evaluation by the building's architect and engineer, and approval by the Board of Managers include:
  - 1. Any changes that affect water, gas, plumbing, heating system, telephone and/or electric lines. Please be aware that when changes are made which affect water pipes, branch-plumbing lines must also be replaced.
  - 2. Any renovations that require breaching the outside wall of the building. Breaching the exterior walls of the building is not normally approved.
  - 3. Any renovation to existing fireplaces. Building has permitted owners to convert to gas fireplaces.
  - 4. Demolition or cutting into existing interior walls or the construction of new interior walls.
  - 5. Demolition, channeling or cutting into existing floor. With consent of downstairs owner, building has permitted work to be done to adjust existing water pipes.
  - 6. Terrace structures and/or installations (e.g., planters).
  - 7. Installation of new air conditioning systems or units and modification of existing units. Building has permitted installation of central air utilizing existing openings or through access to top of window.
  - 8. The use of jackhammer and other pneumatic tools.
  - 9. Channeling into exterior or supporting walls (for any reason, i.e. water, cable, or electric lines).
  - 10. The removal or modification of walls which support the building. The building does not normally approve.
  - 11. Adding to "wet" areas such as adding to or enlarging bathrooms or kitchens.
  - 12. Changes to or adding any cabinets or shelves which are fixed to walls.

To obtain approval for the aforementioned alterations, you must submit an executed copy of the Alteration Agreement, Certificate of Insurance for the Contractor and a copy of the executed contract (if applicable) to the managing agent for review by the Spears Building's architects and engineers and submittal to the Board of Managers for its approval.

**III.** Minor renovations which **do not** require approval by the building's Architect and Engineer, **nor** approval by the Board of Managers, but **do** require the approval of the Managing Agent include:

1. Painting, wallpapering and similar decorative work.
2. Installing carpeting or similar floor covering.
3. Sanding and staining existing wood flooring.
4. Replacing existing appliances with new models.

To obtain managing agent approval for the aforementioned you must submit an executed copy of the Decorating Agreement, Certificate of Insurance for the Contractor.

**IV.** How to obtain approval of alterations and decoration:

1. Call the managing agent and request an Alteration or Decorating package. The set of materials will provide the details of the plans, contracts, and documents that need to be filed with the managing agent. The package also details the specific licenses and insurance certificates that must accompany the application as well as the documents to be executed.
2. Review the Alteration or Decorating Agreement Application with your prospective contractor/vendor before signing a contract with them. The contractor/vendor must be aware of and agree to the conditions of the Alteration or Decorating Agreement including insurance coverage, indemnification and other requirements of the Spears Building.
3. Submit your request to the managing agent.
4. If you are doing alterations:
  - A) The managing agent will submit your plans to the building's architect and engineer who will determine if the work you have in mind conforms to the building's legal, safety, convenience and esthetic concerns. Be as complete and thorough as possible. If plans are incomplete or present design problems, the building's architect and engineer may require modifications. The more often plans must be revised or amended, the longer the approval process will take. There is a fee for the review of your plans by the building's engineer and architect.
  - B) The managing agent will provide to the Board of Managers the information necessary for the Board of Managers to review requests for alterations.
  - C) The managing agent will communicate the Board of Manager's decision to the applicant. (The Board of Managers does not meet monthly.)
5. If you are doing decorative work the managing agent will review your application and when it is complete will communicate the managing agent's decision to the applicant.
6. You should only execute your contractor/vendor's contract after your request has been approved. After the Spears Building approval you will receive a start date from the managing agent and you may then schedule your contractor/vendor to begin your work. The start date scheduled by the managing agent may depend on the number of ongoing apartment alterations and decorations.

V. Additional process where Alteration Agreement is required:

1. Applicants who wish to renovate their units are required to follow the Building's Renovation Guidelines spelled out in this document as well as other limitations and Board requirements which are listed in the Alteration Agreement.
2. All proposed work must conform to the regulations of the New Building Code and all other governing agencies.
3. Plans must be submitted to the Property Manager. Documents will be forwarded to FSI for review. FSI logs the documents in and begins the review process, typically the documents are reviewed and a report is generated within five to ten working days. FSI will review the proposed design and proposed changes in an attempt to identify items or issues which may prove to be detrimental to the property or other unit Owners. If the documents submitted are inadequate, they will be returned to the Property Manager and then to the Applicant so that a more detailed set of documents can be provided. In the event that documents submitted to FSI are reviewed and appear to be inadequate, FSI will issue a report and request additional information and clarification. Typically the Applicant will submit a written response along with revised construction documents. FSI will review the response and issue a second report. This process will continue until all questions or issues have been resolved to the satisfaction of FSI and then the Board. If the documents submitted are inadequate the Board or Property Manager will return the Documents to the Applicant for more detailed documents. In the event that documents submitted to FSI are reviewed and appear to be inadequate FSI will issue a report and return the documents for additional information. The level and quality of the Plans and Specifications and their completeness will have direct bearing on the review and approval process. The more complete the documents the faster the Board will have the opportunity to review and determine how or if the project will be permitted to proceed.
5. The Board of Managers does not meet very month. Responses to applicants are facilitated between meetings by email communications. Responses from the Board can vary from fifteen to thirty days, but on occasion do to the unavailability of board members for longer periods. It is the Board's practice to facilitate applicants requests where ever possibly.
4. FSI will review documents for:
  - a. Code compliance
  - b. Building and Industry Standard Rules and regulations
  - c. Filing requirements for regulatory agencies. Self Certification of Projects Should not be permitted.
  - d. Submission of required paperwork (insurance certificates, schedules, etc.)
  - e. Adequate understanding for and inclusion of Proper protection of the Common areas of the Building and proper separation of the Work area from Common areas in the Building.
  - f. Proper understanding of Delivery and removal of Men and Materials.
  - g. Impact on any Common element at the property.
  - h. Impact on Exterior Architecture, i.e. Windows, Doors, Roof elements etc....
  - i. Impact on Buildings mechanical systems. Ventilation, AC, Heat.
  - j. Impact on Buildings Plumbing Systems.
  - k. Impact on Buildings Electrical Systems.
  - l. Impact on Fire Protection Systems.
  - m. Impact on Buildings Structure.
  - n. Compliance with Codes related to Sound Transmission and Multiple Dwelling Laws.
  - o. Duration of project and impact on Unit Owners.

a. Overall compliance and proper closeout of Project.

5. In addition to addressing all of the issues above, FSI will review the proposed design and proposed changes in an attempt to identify items or issues which may prove to be detrimental to the property or other unit Owners. This may include the evaluation of a proposed Wet area (Laundry, Kitchen, and Bathroom) over what was a Dry area, or issues related to Noise in areas that are typically quiet. Changes to exterior building features, or penetrations in exterior construction. Modifications to the structure, and or modifications to the Buildings Mechanical, Electrical, Plumbing and Fire Protection systems. The reviews are conducted in an attempt to prevent conditions which would be detrimental and to minimize the adverse affects to the property that any construction project could have. FSI's review is to the Board who has the ultimate decision with respect to the impact and approval process.

6. All proposed work that goes beyond regular maintenance of the property will require filing with the NYC Building Department. Applicant's design professionals must prepare a complete and comprehensive set of construction documents including Plans and Specifications as well as filing forms. The level and quality of the Plans and Specifications and their completeness will have direct bearing on the review and approval process. The more complete the documents the faster the Board will have the opportunity to review and determine how or if the project will be permitted to proceed.

7. The building and FSI requires that all documents be submitted in electronic format, or the Applicant will be responsible for the costs associated with scanning of documents. For filing purposes. FSI will maintain the files for all projects electronically but cannot store rolled drawings and large paper files.

8. FSI will prepare and issue to the Board a comprehensive report which will include comments and recommendations. Often times because of the inadequacy of the documents submitted for review, FSI will ask a series of questions to better understand what is being proposed so that a recommendation can be made to the Board. If the submission is not clear it may be necessary to request a re-submission of documents for clarification. Often times FSI discover that the Design Architect/Engineer had not fully developed or thought out the process and corrections are warranted. FSI mandates that all revisions are "Bubbled" so that the second and subsequent reviews can be performed quickly. If the applicant fails to comply it results in additional time and cost. Typically the applicant will submit a written response along with revised construction documents. FSI will review the response and issue a second report. This process will continue until all questions or issues have been resolved to the satisfaction of FSI and then the Board.

9. FSI will correspond with the owner's design professionals and review their responses to the comments in the report if so directed by the Board or Property Manager. Ultimate approval is granted by the Board and is accomplished in the form of a Letter stipulating any conditions or requirements.

10. Once the proposed project has been accepted by the Board and the applicant has been notified, Department of Building Forms are typically submitted to the Board or Property Manager and then submitted to FSI for review and comment. These forms are typically reviewed within a few days and recommendations are made for revision or the Forms will be signed by the appropriate person and returned.

11. Once project has been filed and approved the applicant should present approvals and permits which should be delivered to FSI for the file. The permits will be posted at the property.

12. Typically, a Pre Construction meeting will be held after the installation of the protection so that FSI can assure compliance with the documents on behalf of the Board.

13. FSI will inspect the progress of the work as well as the building's superintendent monitor to progress and notify the Board if Deviations occur or unforeseen conditions arise. Weekly superintendent inspections FSI periodic inspections will be performed during construction and a final inspection will be performed by [FSI.be](#) performed. The Applicant is responsible to close the project and deliver As Built Drawings for the Buildings records.

14. FSI requires that all documents be submitted in electronic format, or the Client will be responsible for the costs associated with scanning of documents. For filing purposes. FSI will maintain the files for all projects electronically but can not store Rolled drawings and large paper files.

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Before you begin any work in your apartment you should notify your neighbors, above, below and on either side by dropping them a note informing them of the nature and duration of the work planned.

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