

RESPONSE REQUIRED

The Department of Buildings issues summonses (previously known as Notices of Violation) to enforce the NYC Construction Code, Administrative Code, Electrical Code or Zoning Resolution. Each summons includes two orders: 1) to correct condition(s) that violate these rules or laws and 2) to certify them as corrected with the Department's Administrative Enforcement Unit (AEU).

A RESPONSE IS REQUIRED. Paying the penalty will not resolve the summons. Unless the summons is certified as corrected with AEU or dismissed by the OATH Hearings Division, it will continue to appear as Open in Department records, even if a hearing has been held or the penalty has been paid. A Certificate of Correction may be submitted to the Department any time after a summons is issued. Permit holders and sub-contractors may submit on behalf of property owners without an authorization letter to do so.

Partial correction is not acceptable. All violating conditions must be corrected and all applicable DOB civil penalties must be paid in order to certify correction and resolve the summons. If an acceptable Certificate of Correction is not received by the Department in a timely manner, DOB civil penalties may be imposed and re-inspections may take place, leading to the issuance of additional summonses.

We are here to help. The AEU3321 must be used to resolve Site Safety Training summonses issued for violating Sections 3321.1 or 3321.2.1 of the Building Code. Forms, the summons in your language, and more information may be found on DOB's website at www.nyc.gov/aeu. You may also contact AEU by phone at **(212) 393-2405** or by submitting an inquiry at www.nyc.gov/dobhelp. Translation services are available.

INSTRUCTIONS

SECTION 1: Violation and Certification Information

Provide the summons number, the address where the violation occurred, the certifier's name and complete mailing address. Next, check one of the boxes to indicate the certifier's relationship to the place of occurrence. Last, insert the mailing address of the person attesting to the correction of the violating conditions.

SECTION 2: Course Provider and Worker Information

Complete this section by inserting the worker's name and job title. Then, enter the course provider's name and address. Next, enter the date the training is scheduled to take place or the date the training was completed. Last, insert the type of SST Card the worker will obtain or has obtained, along with the training course the worker is scheduled to take or has already taken.

*NOTE: 'Date Training is Scheduled' is only applicable when the training is **paid for and scheduled** but not yet completed. 'Date Training Completed' is applicable when the training has been completed prior to the submission of the Certificate of Correction.*

SECTION 3: Statement in Support

When certifying correction for summonses issued for violating Building Code Section 3321.1 or 3321.2.1, documented proof must be provided that the worker listed in the summons has received or will receive Department approved Site Safety Training and that there have been no changes to the terms and conditions of the listed worker's employment, including hours and rate of pay.

Select the statement that best describes how the violating condition or conditions were corrected:

- **Selection 1** – when the Department approved Site Safety Training has been **paid for and scheduled** by the person certifying correction. It is applicable only when the Site Safety Training is *scheduled but not completed* by the date of the Certificate of Correction submission. When using this selection, the submitter must provide a document with proof that the training was paid for and scheduled.
- **Selection 2** – when the Department approved Site Safety Training was **completed prior to the submission** of the Certificate of Correction application, even if the training was completed prior to the issuance of the summons. When using this selection, the submitter must provide a color copy of the front and back of the OSHA card, SST Card, or a color copy of the certificate of completion.
- **Selection 3** – for situations that are not captured by selections one or two.

SECTION 4: Statement of Signature

Sign the Certificate of Correction before a Notary Public.

HOW TO SUBMIT A CERTIFICATE OF CORRECTION TO THE DEPARTMENT

- To submit a Certificate of Correction request, use an eFiling account to log into DOB NOW at www.nyc.gov/dobnow and select the BIS Options portal. To create an eFiling account, visit www.nyc.gov/dobnowtips.
- From the DOB NOW BIS portal, select **+Certificate of Correction Review Request** and enter the required fields including the Summons number. Select Save and then in the Documents section, upload completed applicable AEU3321 forms and any other required documents. After completing the Statements & Signature section, select Submit. The request will not be reviewed by the Administrative Enforcement Unit until the Submit button is selected and confirmation is given for it to be submitted.

IMMEDIATELY HAZARDOUS CLASS 1 SUMMONSES AND PENALTIES

Class 1 (Immediately Hazardous) Summonses: An acceptable Certificate of Correction that attests to the correction of the violating condition(s) must be immediately filed with the Department. Failure to promptly certify correction of a Class 1 violation may result in re-inspections of the violating conditions resulting in the issuance of additional summonses and/or a one-time DOB civil penalty of \$1,500 for 1- and 2-family homes or \$3,000 for all other properties.