



# Certificate of Correction Request User Guide

REVISED DECEMBER 2023

This User Guide describes completing and submitting a Certificate of Correction (COC) Review Request to resolve an OATH Summons (formerly known as an ECB violation). Summonses will remain open on the property's public profile until they have either been **1) dismissed at a hearing by the Office of Administrative Trials and Hearings (OATH)**, or **2) resolved through the Certificate of Correction review process**.

## Resolve the Violation

First, legally correct the violating conditions at the property. Then, certify the corrections online by completing the required [AEU form\(s\)](#) and submitting them as a **COC Review Request** through the **DOB NOW: BIS Options** portal.

## Required Documents

Complete, sign, and notarize (if applicable) the required documents. Then, upload the documents as a clear photo or scan them in PDF or JPG format. Each COC Review Request must include the following documents:

- A legible copy of the OATH Summons.
- **EITHER** an [AEU2 Certificate of Correction Affidavit](#) **and** an [AEU20 Statement in Support](#) **OR** an [AEU3321 Certificate of Correction and Statement in Support](#) (for Site Safety violations of Building Code Section 3321.1 or 3321.2.1 only). *To determine if the summons is a Site Safety violation, check the section of law on the face of the summons.*
- **Supporting documentation** that includes but is not limited to: permits, correctly labeled photographs (date, location, summons number and a brief description of what the photograph depicts), bills, receipts, inspection results, and proof of Site Safety Training.
  - For summonses issued for working without a permit (WWP), proof of payment of the WWP civil penalty or an approved L2 waiver is required.
  - If a DOB civil penalty for failing to file a COC for a class 1 violation was imposed prior to October 5, 2020, proof of payment is also required.

## Who Can Complete and Sign the AEU Forms?

- **Respondent:** the person named in the Summons. Respondents also certify that they made the corrections or hired the person who made the corrections.
- **Property Owner** (new owners upload a copy of deed) or **Mortgagee** (upload proof of mortgage agreement)
- **Contractor, Licensed Professional, or other authorized representatives** (upload a notarized authorization letter signed by the Respondent or Property Owner authorizing the submission of the certificate of correction).

## Get an eFiling Account

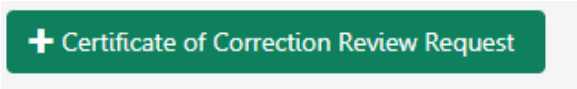
To use the **DOB NOW** portal, an **eFiling account** is required. Create one at [nyc.gov/dobnowtips](https://nyc.gov/dobnowtips).

## Start a Certificate of Correction Review Request

Log into the **DOB NOW** portal at [nyc.gov/dobnow](https://nyc.gov/dobnow) and select the **BIS Options icon**.



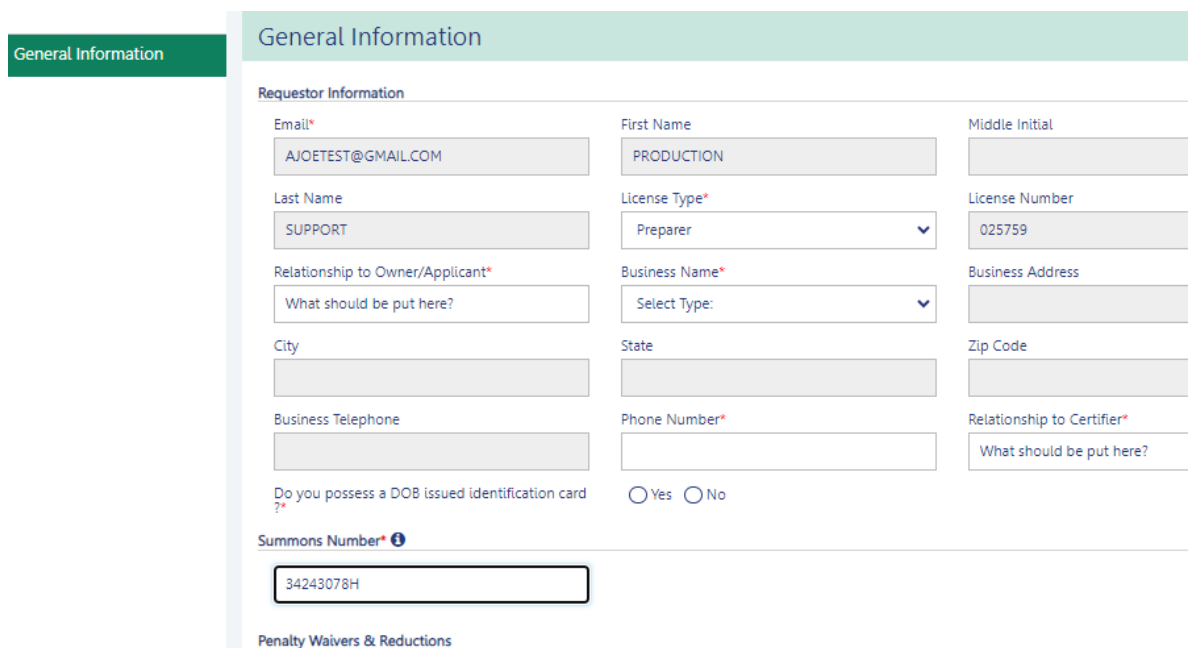
Select the **+Certificate of Correction Review Request** button:



The General Information tab appears on the left panel. Information from the eFiling account is pre-populated in the application in the grayed-out fields and cannot be edited.

The **Requestor** enters the License Type, Business Name, a phone number, the relationship to Certifier (the person listed on the summons as the respondent), and whether the Requestor has DOB-issued identification. If the requestor does not have a DOB-issued license, select **Preparer** as the License Type and enter the Relationship to Owner/Applicant. If the requestor is the owner, select **Preparer** as the License Type and enter “Self” in the Relationship to Owner/Applicant field.

Enter a 9- or 10-digit OATH Summons Number in the Summons Number field. It will begin with a 3 or 03 and end with a letter. If you do not have a copy of the summons, a summary or copy and the number can be found by searching in the Buildings Information System (BIS) at [www.nyc.gov/bis](http://www.nyc.gov/bis).



**General Information**

**Requestor Information**

Email\* AJOETEST@GMAIL.COM

First Name PRODUCTION

Middle Initial

Last Name SUPPORT

License Type\* Preparer

License Number 025759

Relationship to Owner/Applicant\* What should be put here?

Business Name\* Select Type:

Business Address

City

State

Zip Code

Business Telephone

Phone Number\*

Relationship to Certifier\* What should be put here?

Do you possess a DOB issued identification card?  
 Yes  No

**Summons Number\*** ⓘ

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Penalty Waivers & Reductions

Under **Penalty Waivers & Reductions**, check the applicable boxes, then select **Save** to proceed.

**Penalty Waivers & Reductions**

If the violation is admitted and certified as corrected, it may be eligible for a penalty waiver or reduction. Penalty waivers and reductions are outlined in the DOB Penalty Schedule found in Title 1 of the Rules of the City of New York, Section 102-01. To request a cure or stipulation, check the applicable box below. For more information visit [www.nyc.gov/DOBpenaltyschedule](http://www.nyc.gov/DOBpenaltyschedule).

**Cure (waiver):** If the summons states a Cure Date, submit an acceptable Certificate of Correction to DOB by the Cure Date. If the Certificate of Correction is approved, a hearing will not be held, and no penalty will be imposed by OATH. If the Certificate of Correction is not approved, attend the hearing to dispute the violation or admit to the violation by paying the penalty before the scheduled hearing date.

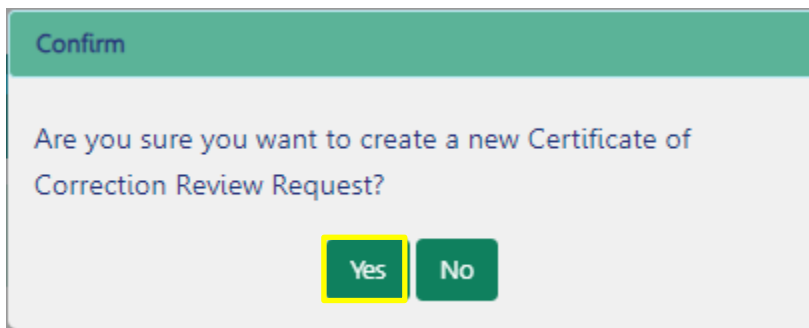
**CURE.** I admit the existence of the violation(s) charged.

**Stipulation (reduction):** If a pre-hearing stipulation is received and accepted, a reduced penalty of one-half the standard penalty may be imposed if an acceptable Certificate of Correction is submitted to DOB by the compliance due date. If the Certificate of Correction is not approved, the penalty will be increased to the standard or aggravated penalty, whichever is applicable.

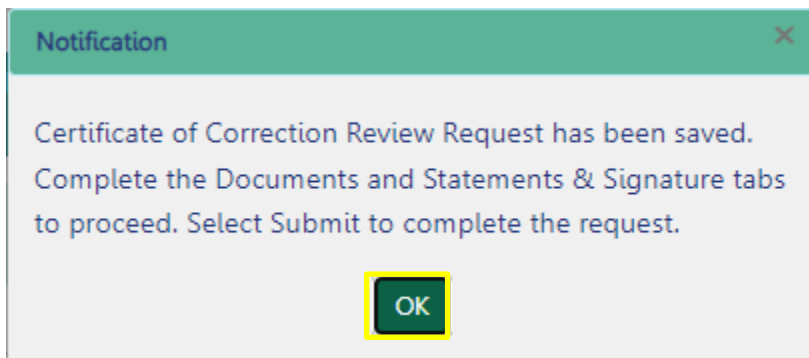
**STIPULATION.** I admit the existence of the violation(s) charged.

If a cure is requested, Section 3 of the AEU2 form must be completed. **If the cure box is not checked on the AEU2 form, the COC will result in a standard approval.**

After completing the required fields, select **Yes** to create the request.

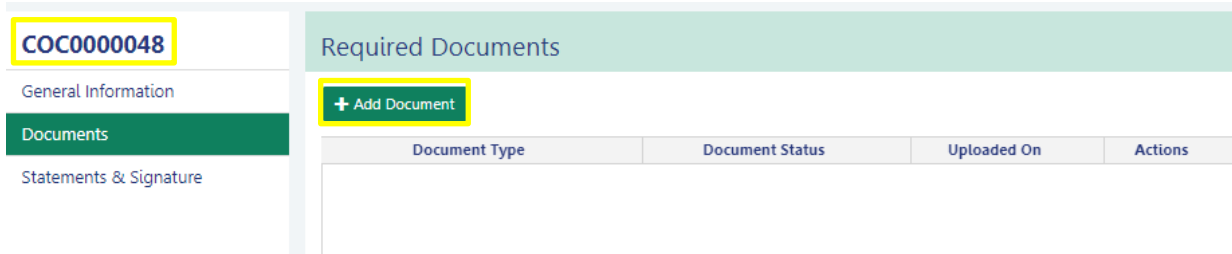


After **Yes** is selected, the following **Notification** appears:



Click **OK**.

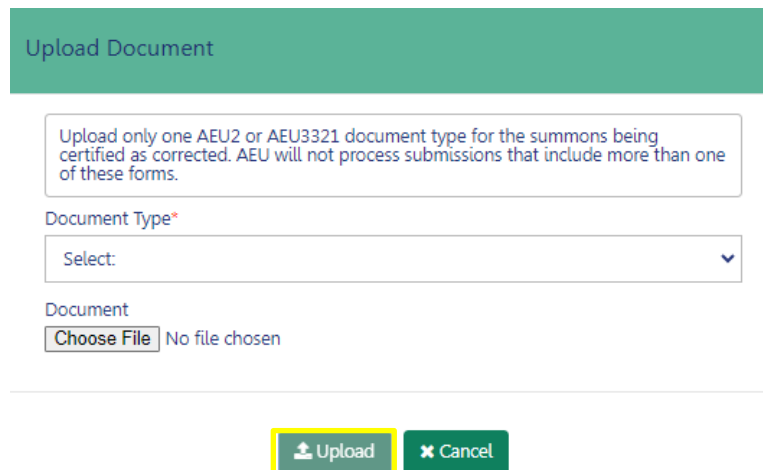
A request number appears above the **General Information** tab. In this example, it is **COC0000048**. The Documents tab also appears on the left panel. Select the **Documents** tab, then select **+Add Document**.



Each required document must either be scanned or you can take a picture of it. If you are taking a picture, ensure the camera is positioned above the document and that the image fills the entire screen. If the image is not clear and readable, it will not be accepted, which will delay the processing of your application.

A new window, **Upload Document**, appears.

Select the **Document Type** and then **Choose File** to select the document from your computer. Click **Upload** for it to be added to the request.



Select **+Add Document** and continue with these steps for each document that needs to be uploaded.

After all the documents have been uploaded, select the **Statements & Signature** tab. Check the box to attest to the **Requestor's Statement**. The **Name** and **Date** populate and serve as the Requestor's electronic signature. Then, Save the application.

DOB will not review the request until the **Submit** button has been clicked and confirmation is given for it to be submitted. An email notification will be sent with the status of the review.

To see any application that has been saved or submitted, return to the Dashboard and select the **Certificate of Correction Review Request** tab (the grey tab without the +). To continue with an application in pre-filing status, double-click on the Request # to open it.

Certificate of Correction Review Request					
Request #	Request Status	Requestor Name	Summons Number	Created Date	Actions
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
COC0000045	Pre-filing	ADAM JOE	122	04/06/2020	
COC0000043	Pending QA Admin Assignemnt	ADAM JOE	13423143214	04/06/2020	

Applications not assigned for review may be deleted or withdrawn at any time by selecting the option from the filing action column.

View ...	Filing Action	Request #	Request Type	Request Status
	Select Action: ▼	COC0000642	New	QA Admin Review in Process
	Select Action: ▼	COC0000325	New	Pre-filing
	Select Action: ▼	COC0000324	New	Pre-filing
	Delete	COC0000323	New	Pre-filing
	Select Action: ▼	COC0000062	Dispute	Withdrawn

An email notification will be sent after the Administrative Enforcement Unit reviews the request. There is no email notification when the request is submitted. You can log into the portal to see the Request Status from the dashboard.

### Common Disapproval Reasons

- **Authorization letter:** a notarized letter from the named Respondent or current property owner granting permission to certify the correction.
- **Civil Penalties:** DOB Immediately Hazardous Class 1 Summons (AEUHAZ) or WWP Civil Penalty is due.
- **Forms:** Blank, missing, incomplete, or illegible forms submitted (complete and notarize required forms).
- **Licensed Professional Statements:** include company letterhead, corporate officer signature, and license number.
- **Photograph Labels:** add the summons number, location, date, and a description.
- **Proof of ownership:** proof of current property owners is required.
- **Providing a defense:** submitting a defense or disputing the violation (Defense to be presented at OATH Hearing).
- **Statements:** required AEU20 document does not provide a detailed statement of correction.
- **Stop Work or Vacate Order:** contact the issuing unit to rescind/lift the order.

If a document was rejected as part of the disapproval, you have the option to resubmit this request by replacing the rejected document with a new document, completing the **Statement & Signature** section, and selecting the **Resubmit** button. Documents in Accepted or Approved status cannot be changed.

Select the reupload button to replace the rejected document and submit the new one.

COC0000627

General Information

**Documents**

Disapproval Reasons

Statements & Signature

### Required Documents

+ Add Document

Actions	Document Type	Document Status
	AEU2	Rejected
	AEU20/Supplemental Statement	Rejected
	Permits	Accepted
	Summons/Violation	Accepted

When the documents are replaced, the status changes to **Pending**. Select **Save**, then **Resubmit**.

**Save** **Resubmit**

If a document was rejected as part of the disapproval, you have the option to resubmit this request by replacing the rejected document with a new document. A document in Accepted or Approved status cannot be changed.

If you believe the results of the review are incorrect and an error has been made, a dispute can be submitted by selecting the **Dispute** button. You must have a justifiable reason to dispute with the Department may result in disciplinary action.

To add documents to a disapproved request and/or start a new submission, return to the dashboard and select **+Certificate of Correction Review Request**. A

COC0000627

General Information

**Documents**

Disapproval Reasons

Statements & Signature

### Required Documents

+ Add Document

Actions	Document Type	Document Status
	AEU2	Pending
	AEU20/Supplemental Statement	Pending
	Permits	Accepted
	Summons/Violation	Accepted

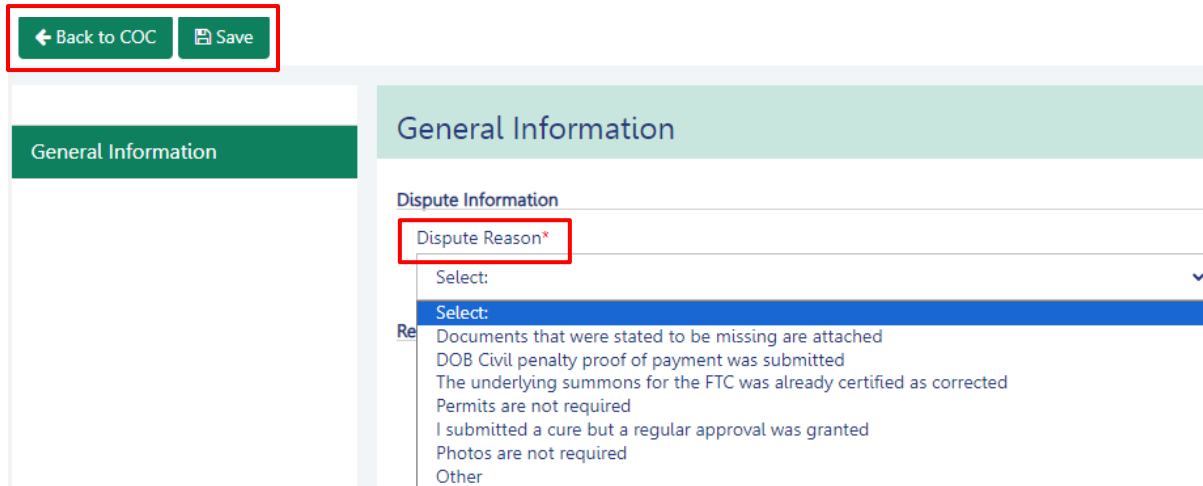
If you believe the review results are incorrect and an error has been made, a dispute can be submitted by selecting the **Dispute** button. You must have a justifiable reason to dispute.

**Dispute**

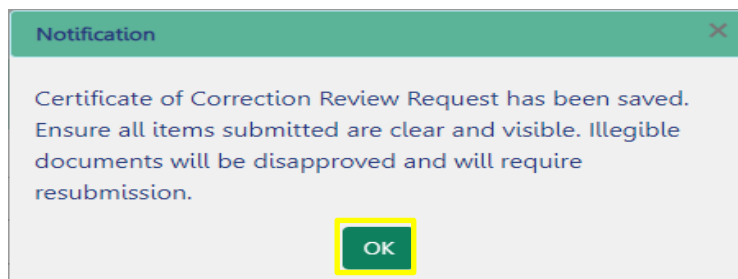
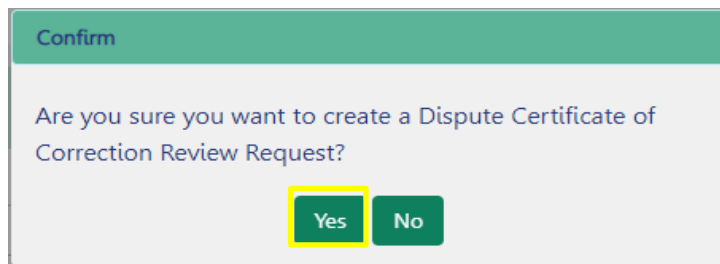
Select the applicable reason and save the request. *A pattern of unjustified disputes submitted by those*



registered with the Department may result in disciplinary action.



After **Save** is selected (and data has been entered in all the required fields), the applicant is asked to review and create the request:



Clicking **OK** to the confirmation notification gives the request a number that will appear in the top left of the application. In this example, it is **COC0000627-D2**:

COC0000627-D2

**General Information**

Documents

Statements & Signature

**Dispute Information**

Dispute Reason\*

Documents that were stated to be missing are attached

Complete the **Statements & Signature section** and submit the Dispute for review.

← Back to COC Save **Submit**

COC0000627-D2

General Information

Documents

**Statements & Signature**

**Statements & Signature**

Requestor's Statement\*

I understand that false certification is a criminal misdemeanor under sections 28-203.1.1 of the NYC Administrative Code, punishable by up to one (1) year imprisonment and/or a fine up to \$25,000. I further understand that false statements in any of the attached documents are also punishable with a civil penalty of up to \$25,000 as a per se Class 1 violation under Code sections 28-211.1, 28-204.1, 28-201.2(2) and 28-202.1 by the issuance of a summons returnable at OATH where I must appear.

I understand and agree that by personally clicking on the box at left I am electronically signing this document and expressing my agreement with the Certification terms above. I understand that my electronic signature shall have the same validity and effect as a signature affixed by hand.

Name:  (Electronically Signed)

Date:

When a certificate of correction is approved, a compliance date will be listed in the email sent. Additionally, the summons will display as **“Resolved”** in the Buildings Information System (BIS). Once a summons displays as resolved in the record, no further action is required.

NYC Department of Buildings  
OATH/ECB Violation Details

[Click here for more information about Severity, Violation and Hearing Statuses](#)

Premises:	Filed At:
BIN	Community Board: 101
<b>OATH/ECB Violation Summary</b>	
OATH/ECB Violation Number:	
<a href="#">View Image of Summons/Notice at OATH</a>	
<b>VIOLATION RESOLVED</b>	