



Instructions for Submitting Local Law 11/98 Cycle 6 Report for Architects and Engineers and Building Owners

These instructions, which are for Architects, Engineers, and Property Owners who submit LL 11/98 Cycle 6 Reports, standardize the reporting format and do not impose additional requirements. NYC Department of Buildings requires all reports to be of such quality that a reader can confidently accept the stated conclusions. To be accepted by NYC Department of Buildings, all reports must cover the seven areas (I-VII) that are described below.

Building Owners shall make sure all appurtenances are securely installed, stable and properly supported. [Refer to Rules 1 RCNY §32-03 (b)(3)(ii)(G)].

Note: The report content must comply with all requirements listed in Rules 1 RCNY §32-03, (b)(3)(ii)(items A through S). (See Table of Contents below).

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Report of Critical Examination

I. Property Information [Item A, C of the Rules]

a) A separate report must be prepared and filed for each building, even if it shares a Block and Lot number with other structures. Most buildings have a unique Building Identification Number (BIN) that is assigned by the NYC Department of City Planning. It is important to include this number (BIN) in the report.

b) Provide the following information:

1. The complete address of the building and any associated AKA's (also known as), its Block and Lot and its BIN.
2. The names, address, and telephone number of the Owner, or the agent or the person in charge, possession or control of the building.

II. Summary of Findings and Recommendations [Items N, O, P, Q of the Rules].

Provide a concise statement of the scope of the inspection and findings. The conclusions and recommendations should be briefly stated and include your determination as to whether the building is categorized "Safe," "Safe With a Repair and Maintenance Program (SWARMP)," or "Unsafe."

III. Methods Used to Conduct Inspection [Items E, F, L of the Rules].

a) The Report must include:

1. The name of the professional responsible for the inspection.
2. The name, address, and telephone number of any rigger or testing laboratory or other consultant involved in the inspection and used in developing this report, if applicable.
3. The dates, (MM DD, YYYY to MM DD, YYYY), during which each inspection was conducted.
4. The detailed description of how you conducted the physical examination of a representative sample of a street front wall, (i.e., scaffold drop or other method), include comments and results of all destructive and non-destructive tests that were conducted.
5. The exact identification of where on the building the “up close” (physical) examination was performed (indicate graphically).

b) Note: Upon discovery of any Unsafe Condition, you are required to immediately notify the Borough Commissioner and the Owner of the building using the Standard Notification Form LL-8 as per 1 RCNY §32-03 (b)(2)(vii) and OPPN # 1/05 .

IV. Detailed Description of the Inspected Building [Items B, D of the Rules]

a) Provide a written description of the building, noting at a minimum the following:

1. Type of exterior construction (e.g., masonry, stone, metal and glass, etc.)
2. Approximate age of structure
3. Individual Landmark status or if within a Landmark District
4. Number of stories
5. Approximate plan dimensions
6. All appurtenances
7. Occupancy and Certificate of Occupancy number, if available
8. Any other relevant information.

b) Plot plan with North Arrow

c) All reports (Safe, SWARMP, Unsafe) should include at least one (1) photograph or detailed sketch of each elevation, which reasonably depicts existing conditions. Also, if possible, at least one of the photographs should show the address of the building.

V. Report of Findings [Item G, H, I, J, K, S of the Rules]

a) Report review.

1. Confirm that you have reviewed the previous Cycle report and indicate the prior report status (Indicate if no previous reports).
2. Indicate any exterior alterations, repairs or maintenance work since Cycle 5 or the date of the last cycle report (List permit numbers as per TPPN #1/99 and Sign-Off letters/Certificates of Completion if applicable and available).

b) Building Features.

LL 11/98 and 1 RCNY §32-03 (b) (3) (ii) (G) require that the professional prepare “A report of all conditions including significant deterioration, and movement observed as well as a statement concerning the apparent water-tightness of the exterior surfaces, and the deleterious effect of exterior appurtenances, including exterior fixtures, flagpoles, signs, parapets, copings, guard rails, window frames (including hardware and lights), window guards, window air conditioners, flower boxes, etc.”

c) SWARMP and Unsafe Diagnosis

At a minimum you must provide the following:

Photos or sketches sufficient to support your findings of SWARMP and Unsafe to a reader who has not personally seen the building. Buildings with “SWARMP” and/or “Unsafe” conditions should have additional close-up photographs of the conditions leading to your conclusion. Representative photographs and sketches are to be furnished with the location of building defects keyed to a plan drawing and/or an elevation view. Photos submitted must have been taken during inspection.

For all Cycle 6 reports with SWARMP or Safe status, the Professional must state: “No Unsafe conditions were observed”.

If SWARMP conditions were reported in Cycle 5 Report, compare results with the Cycle 6 Report, as instructed below. **Note:** New SWARMP façade defects in new locations are not part of the Cycle 5 to Cycle 6 comparison and do not make this report ‘Unsafe’. However, these new locations must be identified as new SWARMP defects in the Cycle 6 report.

d) SWARMP – Comparison of Cycle 5 and Cycle 6 Reports.

Compare the results of this Cycle 6 inspection with those of Cycle 5 and determine if there are items that were identified as “SWARMP” in Cycle 5. Any items that were SWARMP in Cycle 5 must be corrected before Cycle 6 or they must be classified “Unsafe” as per 1 RCNY §32-03 (b) (3) (ii) (Q) and 1 RCNY §32-03 (b) (6) (iii) and (iv).

e) Provide a “Schedule of Repairs and Maintenance” that includes the following:

1. Work items
2. Recommended time frame to repair conditions in report and projected completion date (MM/YYYY)
3. Permits required (TPPN 1/99): identify the permits that will be required to accomplish necessary work. If no permits are required, indicate why.

VI. Professional Seal and Signature with Date [Item M of the Rules]

VII. Appendices

1. Identify any open Environmental Control Board (ECB) facade violations.
2. Other items deemed appropriate.