




DEPARTMENT OF BUILDINGS
EXECUTIVE OFFICES
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TECHNICAL
POLICY AND PROCEDURE NOTICE #7/94

TO: Distribution

FROM: Satish K. Babbar, R.A. 
Assistant Commissioner

DATE: July 28, 1994

SUBJECT: Removal of Objections Issued at Plan Examination:
Optional Self-Certification of Compliance by Registered
Architects and Professional Engineers

EFFECTIVE: Immediately

PURPOSE: Pursuant to Section 27-143 of the Administrative Code, the Commissioner may designate portions of the examination for limited supervisory check when the application is submitted by an architect or an engineer.

Consistent with this provision of the code and with the objective of expediting approvals and issuance of permits for all types of applications filed for one, two and three family homes, and alteration applications for any type of building not resulting in a new or amended certificate of occupancy, the registered architect ("R.A.") or the professional engineer ("P.E.") filing the application will have the option of self-certifying the removal of objections issued after plan examination.

SPECIFICS: The following procedure will be instituted for self-certification of removal of objections issued on applications filed under Directive 2 of 1975 (limited to one, two and three family dwellings and accessory buildings) and Directive 14 of 1975:

1. The filed application and plans must be complete as per Section 27-139 of "the code" and fully address pertinent zoning resolution issues in order that all applicable objections may be issued at the time of first examination.

Applications requiring B.S.A. or C.P.C. approvals or certifications may utilize "the self-certification of objections" option only after obtaining such approval or certification from the respective agencies.

Applicants not electing self-certification of removal of objections on an application at the time of initial filing shall not be permitted to utilize this option later on.

At the time of first examination, the plan examiner will check off on the on-line checklist, "self-certification of the objections to be submitted by the applicant," as a required item. The objections will be mailed to the applicant without a scheduled appointment.

2. The R.A. or P.E. filing the application must state: "The filed application is complete as required in Item 1 above. I will self-certify the removal of all objections to be issued on this application" on the PW-1 form, in the comments section under Item #16.
3. The R.A. or P.E. will resolve the objections by "self-certifying" compliance on an AI-1 form ("Additional Information" form) by listing all outstanding objection(s) along with the issuance date and explaining how the objections have been corrected, e.g. by correcting plans, adding necessary documents, etc.

In addition:

- a) The applicant will conclude his certification on the AI-1 form noting, "I have self-certified compliance of objections. I am aware that the Commissioner will rely upon the truth and accuracy of the above statement as to compliance with the provisions of all applicable building laws and regulations. If non-compliance with such laws is disclosed at any later examination or review, I will take the necessary remedial measures to obtain objection compliance expeditiously.

I further realize that any falsification of facts will render me liable for any legal and disciplinary action by the Department of Buildings and other appropriate authorities."

- b) The owner(s) will make a statement saying, "I have read the above statement and have authorized the request for 'self-certification' of objection(s) by the applicant for work specified on the plans and the application. I agree to comply with any requirements for remedial measures, if same becomes necessary."
4. The R.A. or P.E. will then bring the application, an executed "Additional Information" form and a copy to a plan examiner designated for accepting all such applications. The examiner will stamp the application and plans "Approved/Accepted with Self-Certification of Objections" and keep the copy of the "Additional Information" form for DOB records and approve the job in the computer system.
5. Within 45 days of approval, at least 20% of all self-certified applications shall be given complete review under the supervision of the Borough Commissioner. Such examination shall also be made at any time upon receipt of complaints or other evidence of non-compliance. Sampling of selected applications must insure review of a cross section of applications that deserve most attention based on factors unique to the borough, public safety and health, degree of complexity, project size, etc. Results of the audits shall be reported monthly to the Assistant Commissioner for Technical Affairs, the Director of Investigations and Discipline and the Assistant Commissioner for Operations.

Applications with serious non-compliance and matters affecting public safety shall be revoked in compliance with Section 27-197 of "the code" by the Borough Commissioner. Copies of revocation letters citing specific reasons shall be forwarded to the Director of Investigations and Discipline for any appropriate action, which may include immediate suspension of the self-certification privileges outlined in this PPN and notification to peer review groups.

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6. In an exceptional situation where "self-certification" of compliance for issued objections would not be feasible, the Borough Commissioner or his designee may permit the applicant to relinquish this option. A revised PW-1 form for Item #16 must be filed and recorded in the computer system. The applicant then may call the original examiner to schedule an appointment to resolve pending objections.

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SUPERSEDED