

# TENANT PROTECTION PLAN REQUIREMENTS FOR OCCUPIED BUILDINGS

#### PRESENTED BY

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# PRESENTATION DESCRIPTION

This presentation provides an overview of regulations in the NYC Construction Codes relating to the protection of tenants residing in dwellings that are undergoing construction.

Tenant Protection Plans (TPPs) are one element of a comprehensive, integrated approach to tenant safety. Each TPP must provide the means & methods employed to assure compliance with the law's provisions. This presentation outlines specific TPP elements to be addressed, enumerate responsibilities of various parties involved in TPP creation, and discuss TPP enforcement.



# WHY ARE TENANT PROTECTIONS NECESSARY?

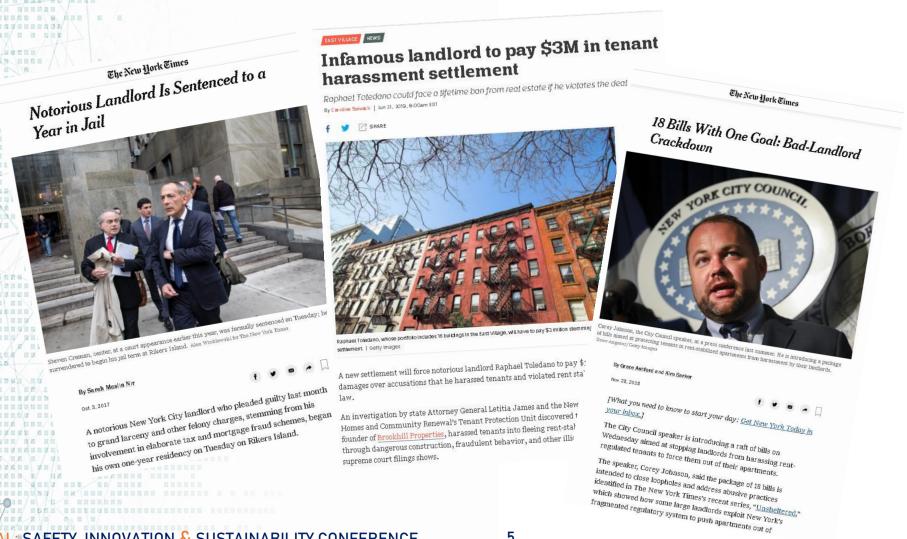
Historic methods of tenant harassment by landlords

- 1. Failure to provide services (heat, water, electricity)
- 2. Failure to rid buildings of Infestations
- 3. Failure to maintain public areas, elevators, appliances, etc.
- 4. Permitting building envelope and structure deterioration
- 5. Arson





#### WHY ARE TENANT PROTECTIONS NECESSARY?





# DEVELOPMENT OF TENANT PROTECTION

- 1. Civil & L/T Court Hearings
- 2. 1940s- Rent Control
- 3. 1970s Rent Stabilization
- 4. 1970s Warranty of Habitability
- 5. 1980s- Mayor's Arson Strike Force; NYCDOB Tenant Safety Plan
- 6. 2008 NYC Building Code: Tenant Protection Plan (TPP)
- 7. 2017/2019 Tenant Protection Legislation

#### The Seven Essential Elements of a TPP

- Egress
- Fire Safety
- Health Requirements
- Housing Standards Compliance
- Structural Safety
- Noise Restrictions
- Essential Services Maintenance



# TPP: LOCAL LAWS OF 2017

Local Law	Brief Summary
149	Limits professional certification and requires audit of 25% pro-cert jobs meeting specific criteria
150	Requires a date by which Vacate Orders must be corrected.
151	Task Force on Construction Work in Occupied Multiple Dwellings.
154	Tenant Protection Plan (TPP) reform and inspection requirements: Amends 28-104.8.4 to require specific means and methods of tenant protection; permits SWO for failure to follow TPP; requires public availability of the TPP; service of the TPP Notice on occupants; and requires that applicants notify the Department 72-hours in advance of the start of work. DOB must inspect 5% of all job issuing a 72-hour requirement (subsequently amended by LL106/2019).
155	Work Without a Permit Contractor Watch List.
156	Increased Penalties for Work Without a Permit.
157	Increased Penalties for Violating a Stop Work Order.
158	Increased scrutiny/penalties for WWOP including full plan exam and increased penalties.
159	Requires that a Safe Construction Bill of Rights be posted or distributed.
161	Creates an Office of the Tenant Advocate at DOB.
188	Creates a real time enforcement unit that responds to WWOP complaints within 12 hours.



# TPP: LOCAL LAWS OF 2019

111111111111111111111111111111111111111	Local Law	Brief Summary
N N	104	Permit Denial for Excessive Violations
	105	Design Professional Discipline for pro-cert filings that result in 2 revocations in a 12-month period Require that sanctioned RDP information be publicly available.
NO DESCRIPTION OF THE PROPERTY		Obligation to file the TPP: 1) TPPs must be prepared by a design professional retained by the GC and filed with DOB prior to permit; 2) §28-104.8.4 renumbered to §28-120.1 and requires specific means/methods to limit noise disruption; 3) Requires notice to occupants of essential service disruption; 4) Modifies title sheet of construction documents to contain a statement that TPP was submitted in accordance with article 120; 5) Changes service of TPP Notice to be posted conspicuously and served upon each occupied unit; and 6) Creates §28-120.2 to allow phased TPPs and multiple layouts.
	107	Following False Statements, requires increased auditing of: 1) entire owner portfolio; 2) filings with >5 PAAs related to occupancy; and 3) 25% of HPD's speculation watch list.
	108	Design Professional Discipline II – further sanction for a sanctioned RDP who directs another to file on their behalf.
	110	Notice of Violation ("NOV") Notification: 1) posting of common area NOVs; 2) service of individual apartment NOVs.



#### TPP: LOCAL LAWS OF 2019

CHI III	Local Law	Brief Summary
	111	Stop Work Order ("SWO") if No Access.
THAT SE	114	Permit denial following false statements regarding occupancy.
11/11/2	115	Pre-Plan Approval Inspection to Determine Occupancy: DOB to audit 20% of applications for "unoccupied" multiple dwellings.
W III DO III	116	Amends LL154 of 2017 to require that TPPs be approved prior to permit, be site specific and that DOB conduct inspections of 10% of 72-hr notifications within 7 days of the start of work, and thereafter every 180 days.
N N	117	Certificate of Correction Audits: DOB to inspect 15% of certificate of correction (imminently hazardous).
	118	TPP Attestation and Penalties: 1) requires TPPs to be signed by owners and the applicant; 2) identifies specific units that will be occupied during construction; and 3) increases fines for failure to file TPP to \$10,000 (1 <sup>st</sup> offense) and \$25,000 for subsequent offenses.



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#### Office of the Tenant Advocate

The Office of the Tenant Advocate (OTA), established by Local Law 161 of 2017, serves as a resource to tenants who are affected by work in occupied multiple dwellings. Tenants may contact OTA with comments, questions and complaints concerning construction in occupied multiple dwellings. Tenants may also contact OTA if they have questions or concerns related to Tenant Protection Plans.

The Tenant Advocate acts as a liaison with the public for complaints against contractors and property owners in occupied buildings. Contact the Tenant Advocate by email at TenantAdvocate@buildings.nyc.gov or by phone at (212) 393-2949.



#### Specifically, Local Law 161 requires that OTA:

- 1. Monitor TPPs to ensure compliance with §28-120.1 of the Administrative Code;
- 2. Establish a system to receive comments, questions and complaints with respect to TPPs;
- 3. Communicate with tenants who are affected by work in occupied multiple dwellings to ensure that they have notice of such work, understand the TPP and understand their rights during construction; and
- 4. Monitor sites with tenant protection plans to ensure TPP compliance and, if appropriate, make a recommendation to the Commissioner to issue a stop work order until such site is in compliance.



# TPP DOCUMENTATION: LOCAL LAWS OF 2019

- Local Law 106 of 2019 (7 pages)
  - 1. Tenant Protection Plans and related requirements ('Base' Law)
  - 2. Drawing statement that a TPP will be submitted prior to permit
- Local Law 114 of 2019 (3 pages)
- 1. False statements about building occupancy status (new AC 28-105.1.4)
- 2. Work Without a Permit (new AC 28-105.1.5)
- Local Law 116 of 2019 (4 pages)
  - 1. Miscellaneous amendments (AC 28-120.1; BC 1704.33 & 3303.10.2)
- Local Law 118 of 2019 (4 pages)
  - 1. Tenant Protection Plans (Amendment to AC 28-120.1)



SHALL = MUST

§ 28-120.1 Tenant protection plan. A tenant protection plan shall be prepared and submitted for the alteration, construction, or partial demolition of buildings in which any dwelling unit will be occupied during construction, including newly constructed buildings that are partially occupied where work is ongoing. The tenant protection plan shall be prepared by a registered design professional and filed with the department. The registered design professional preparing the tenant protection plan shall be retained by the general contractor performing the alteration, construction, or partial demolition work. No permit shall be issued for work that requires a tenant protection plan unless such plan is approved by the department. Such plan shall contain a statement signed by the owner and signed by the applicant affirming that the building contains dwelling units that will be occupied during construction and shall [indicate] identify in sufficient detail the specific units that are or may be occupied during construction, the means and methods to be employed to

NOTE: This group of slides shows the actual text of the law in BLACK. Added notes & underlines are in ORANGE.



#### (continued)

safeguard the safety and health of the occupants throughout the construction, including, where applicable, details such as temporary fire-rated assemblies, opening protectives, or dust containment procedures. Such means and methods shall be described with particularity and in no case shall terms such as "code compliant," "approved," "legal," "protected in accordance with law" or similar terms be used as a substitute for such description. The tenant protection plan must be site specific. The elements of the tenant protection plan may vary depending on the nature and scope of the work but at a minimum, must comply with all applicable laws and regulations, including the New York city construction codes, the New York city housing maintenance code, the New York city noise control code and the New York city health code, and shall make detailed and specific provisions for:



#### (continued)

- 1. Egress. At all times in the course of construction provision shall be made for adequate egress as required by this code and the tenant protection plan shall identify the egress that will be provided. Required egress shall not be obstructed at any time except where approved by the commissioner.
- **2. Fire safety.** All necessary laws and controls, including those with respect to occupied dwellings, as well as additional safety measures necessitated by the construction shall be strictly observed.

How would you adequately 'identify' egress without having a floor plan diagram?



#### (continued)

- **3. Health requirements.** Specification of means and methods to be used for control of dust, disposal of construction debris, pest control and maintenance of sanitary facilities shall be included.
  - 3.1. There shall be included a statement of compliance with applicable provisions of law relating to lead and asbestos, and such statement shall describe with particularity what means and methods are being undertaken to meet such compliance..

For example, state that asbestos inspections have been performed and that no asbestos-containing material is present in the construction area (ACP5 form obtained).



#### (continued)

- **4. Compliance with housing standards.** The requirements of the New York city housing maintenance code, and, where applicable, the New York state multiple dwelling law shall be strictly observed. General habitability standards are not relaxed during construction.
- Structural safety. No structural work shall be done that may endanger the occupants.
- 6. Noise restrictions. Specification of means and methods to be used for the limitation of noise to acceptable levels in accordance with the New York city noise control code shall be included. Where hours of the day or the days of the week in which construction work may be undertaken are limited pursuant to the New York city noise control code, such limitations shall be stated.
- Exactly how is construction noise being mitigated? Exactly when will work take place?



#### (continued)

7. Maintaining essential services. Where heat, hot water, cold water, gas, electricity, or other utility services are provided in such building or in any dwelling unit located therein, the tenant protection plan shall specify the means and methods to be used for maintaining such services during such work in accordance with the requirements of the New York city housing maintenance code. If a disruption of any such service is anticipated during the work, then such plan shall specify the anticipated duration of such disruption and the means and methods to be employed to minimize such disruption, including the provision of sufficient alternatives for such service during such disruption. Notification of the disruption must be given to all affected occupants of occupied dwelling units.



#### (continued)

**Exception:** In the following instances, the tenant protection plan may be prepared and filed by the registered design professional of record for the alteration, construction, or partial demolition work as part of the underlying application:

- Work in occupied one- and two-family homes.
- Work limited to the interior of a single dwelling unit of an occupied multiple dwelling with no disruption to the essential services of other units, where such dwelling is owner-occupied. For a dwelling unit within a property that is owned by a condominium or held by a shareholder of a cooperative corporation under a proprietary lease, the unit must be occupied by the owners of record for such unit.



#### (continued)

- § 2. Section 28-202.1 of the administrative code of the city of New York, as amended by local law number 70 for the year 2018, is amended by adding a new exception 11 to read as follows:
- 11. For (i) a violation of section 28-211.1 or (ii) where a tenant protection plan is required pursuant to section 28-120.1, but has not been submitted to the department, the minimum civil penalty for a first offense shall be no less than \$10,000 and, for each subsequent offense, no less than \$25,000.
- § 3. Section 28-203.1 of the administrative code of the city of New York, as amended by local law number 203 for the year 2017, is amended by adding a new exception 6 to read as follows:
- 6. For (i) a violation of section 28-211.1 or (ii) where a tenant protection plan is required pursuant to section 28-120.1, but has not been submitted to the department, the minimum fine shall be no less than \$10,000 and, for each subsequent offense, no less than \$25,000.



# TPP1 FORM: MAY 2020 SERVICE NOTICE



May 2020

#### **SERVICE UPDATE**

#### Tenant Protection Plan: Revised TPP1 Form

Beginning June 22, 2020, both the applicant and the property owner will be required to sign the paper <u>TPP1 form</u> submitted in the Buildings Information System (BIS). In addition, the applicant and owner will be required to:

- identify the specific unit/apartment numbers that will remain occupied during construction (see <u>Local Law 118 of 2019</u>)
- identify specific means and methods to be used for the limitation of noise to acceptable levels in accordance with the NYC Noise Control Code (see Local Law 106 of 2019).

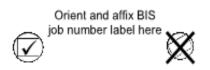
In addition, the title sheet or first sheet immediately after the title sheet of the construction documents for alteration, construction, or partial demolition work in a building containing one or more occupied dwelling(s) must contain a statement that a Tenant Protection Plan will be submitted in accordance with the requirements of Article 120 of Title 28 of the Administrative Code prior to the issuance of a permit (see Local Law 106 of 2019).





#### **TPP1: Tenant Protection Plan**

Required if dwelling units will be occupied during construction. Owner must notify the Department at least 72 hours before commencing work in connection with the Tenant Protection Plan.



1 LOCATION INFORMATION (required for all applications)

House No(s): Street Name:

Number of dwelling units to remain occupied during construction:

Specific unit/apartment numbers to remain occupied: YES, YOU MUST LIST EVERY APARTMENT NUMBER INDIVIDUALLY

Borough Block Lot BIN CB No.



#### (continued)

#### 2 TENANT PROTECTION PLAN

Required for **all** applications with occupied dwelling units (AC 28-120.1). Means and methods shall be described with particularity and in no case shall terms such as 'code compliant,' 'approved,' 'legal.' 'protected in accordance with law' or similar terms be used as a substitute for such description. The Tenant Protection Plan must be site specific. The elements of the Tenant Protection Plan may vary depending on the nature and scope of the work but at a minimum, must comply with all applicable laws and regulations, including the NYC Construction Codes, the NYC Housing Maintenance Code, the NYC Noise Control Code, and the NYC Health Code, and shall make detailed and specific provisions for:

- 1. Egress Clarify how adequate egress will be maintained during construction. 'Clarify' (TPP1) versus 'Identify' (Law)
- 2. Fire Safety Identify safety measures to maintain fire safety of occupied dwelling during construction.
- Health Requirements Specify methods to be used for control of dust, disposal of construction debris, noise control, maintenance of sanitary facilities during construction.
  - **3.1. Lead and asbestos** Statement of compliance with applicable provisions of law relating to lead and asbestos, such statement shall describe with particularity what means and methods are being undertaken to meet such compliance.
- Compliance with Housing Standards Demonstrate compliance with NYC Housing Maintenance Code and NYS multiple dwelling law during construction.
- 5. Structural Safety Identify specific measures to maintain structural stability during construction.



#### (continued)

- 6. Noise Restrictions Identify specific means and methods to be used for the limitation of noise to acceptable levels in accordance with the NYC Noise Control Code.
- Maintaining Essential Services Describe the means and methods to be used for maintaining heat, hot water, cold water, gas, electricity, or other utility services in accordance with the requirements of the New York City Housing Maintenance Code. Specify if a disruption of any such service is anticipated during the work, including the anticipated duration of such disruption and the means and methods to be employed to minimize such disruption, including the provision of sufficient alternatives for such service during such disruption. Notification of the disruption must be given to all affected occupants of occupied dwelling units.
- Other requirements Any additional requirements to assure tenant safety during construction.

Complete all sections that apply below.

If additional space is required, please complete and submit an Al1 form.

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(continued)



TPP1 page 2

#### 3 TENANT PROTECTION PLAN ATTACHMENTS/DRAWINGS

Required for **all** applications where separate Tenant Protection Plan attachments/drawings are included. Please append legible 11" x 17" attachments/drawings to this document.

- 1. Do attachments/drawings accompany this TPP1? YES NO
- 2. If YES, how many pages?

Can the scope of LL 114 of 2019 protections be fully described without a floor plan diagram? How?



#### (continued)

#### 4 OWNER'S STATEMENT(S) AND SIGNATURE (required for all applications)

I hereby certify that I have reviewed the information provided herein and, to the best of my knowledge and belief, attest to its accuracy. Falsification of any statement is a misdemeanor under §§28-211.1, 28-201.2.1(2), and 28-203.1(1) of the NYC Administrative Code and is punishable by a fine or imprisonment, or both. I understand that if I am found after hearing to have knowingly or negligently made a false statement or to have knowingly or negligently falsified or allowed to be falsified any certificate, form, signed statement, application, report or certification of the correction of a violation required under the provisions of the New York City Administrative Code or of a rule of any agency, I may be barred from filing further applications or documents with the Department. It is unlawful to give to a City employee, or for a City employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both.

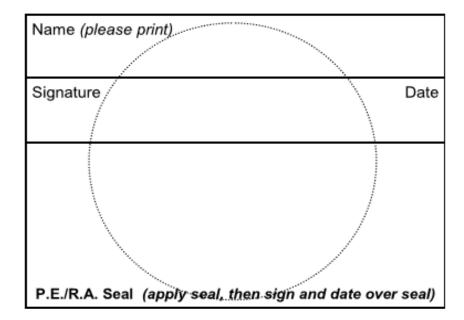
Name (print):			
Relationship to Owner:			
Business Name/Agency:			
Street Address:			
City:	State:	Zip:	
Telephone Number:	Fax:		
Email Address:			
Signature and Date			





#### 5 APPLICANT'S STATEMENT(S) AND SIGNATURE (required for all applications)

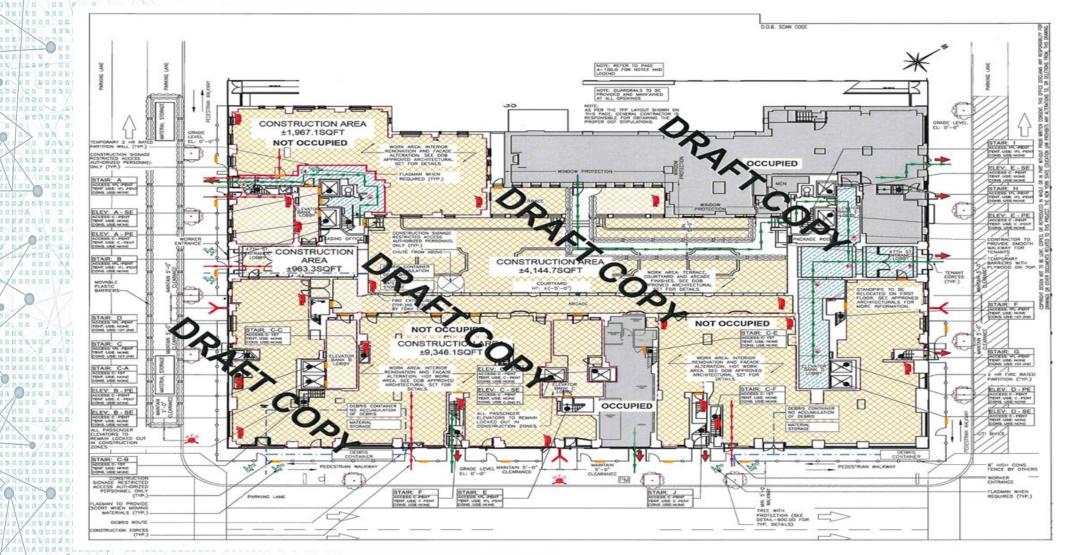
I hereby certify that I have reviewed the information provided herein and, to the best of my knowledge and belief, attest to its accuracy. Falsification of any statement is a misdemeanor under §§28-211.1, 28-201.2.1(2), and 28-203.1(1) of the NYC Administrative Code and is punishable by a fine or imprisonment, or both. I understand that if I am found after hearing to have knowingly or negligently made a false statement or to have knowingly or negligently falsified or allowed to be falsified any certificate, form, signed statement, application, report or certification of the correction of a violation required under the provisions of the New York City Administrative Code or of a rule of any agency, I may be barred from filing further applications or documents with the Department. It is unlawful to give to a City employee, or for a City employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both.



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# SAMPLE TENANT PROTECTION PLAN





#### TENANT PROTECTION/ OCCUPANT PROTECTION

- 3303.10.1: A Tenant Protection Plan (TPP) is required for work on a fully or partially occupied RESIDENTIAL building.
- 3303.10: An Occupant Protection Plan (OPP) is required when work is ongoing inside a COMMERCIAL building
- A TPP is filed with DOB. An OPP is NOT filed with DOB.





LL154 mandates that Owners of occupied buildings are responsible for distributing and posting TPP notices in the lobby on each floor.

There have been updates since the original issuance of LL154:

- A TPP can no longer contain generalized terms about being 'code compliant', 'legal', or 'approved'. All terms must be specific.
- A TPP must specify the means and methods for maintaining essential services, a timeframe for disruption, and means/methods to be employed to minimize the disruption.
- The DOB is responsible for making the TPP available on the DOB website.



#### Updates for Building Owners

- Owners must distribute and post a notice in the lobby and on each floor stating that a copy of the TPP is available to each tenant upon request, including the name and contact information for the licensed safety official for the project (SSM/SSC/CS), and a statement to call 311 to report any complaints about the work.
- Owners must notify the DOB at least 72 hours prior to the commencement of any work requiring a TPP. The form required to provide notice is available on the DOB website.
- The DOB will randomly audit these work sites for compliance within 7 days of receiving the notice.



# LOCAL LAW 154 of 2017: TPP REFORM

SUMMARY: Adds additional required information on a TPP and requires DOB to perform proactive inspections to ensure that owners and contractors are in compliance with TPPs. Also requires owners to inform their tenants that they may request a copy of the TPP for work in their building.

#### Implementation Update

- DOB has updated the TPP form and has performed outreach to the industry.
- DOB has created a notification form which will allow owners of sites that are required to have a TPP to notify DOB 72 hours before work commences.
- DOB is auditing 10% of sites with TPPs within seven days after the commencement of work to verify compliance.
- DOB has created a TPP Notice template, which is available on our website, that owners must use to comply with this law.



# LOCAL LAW 154 of 2017: TPP REFORM

# NOTICE

#### **RE: TENANT PROTECTION PLAN FOR OCCUPANTS**

The New York City Department of Buildings (DOB) has issued a permit for work in this building that requires a **Tenant Protection Plan (TPP)**. Building occupants may obtain a paper copy of the TPP from the owner and may access the plan on DOB's website at <a href="https://www.nyc.gov/buildings">www.nyc.gov/buildings</a>.

Permit Number(s):			
Address:			
Below is the contact in	formation for the (check	one):	
Site Safety Manager	Site Safety Coordinator	Superintendent of Construction	Owner/Owner's Designee
Name:		Phone Numb	er:
Building occupants r	may call 311 to make co	omplaints.	

- NYC Administrative Code § 28-120.1.3 requires the Owner to:
- . Distribute this notice to each occupied dwelling unit; and
- Post this notice in a conspicuous manner in the lobby and
  - on each floor within ten feet of the elevator
  - if the building does not have an elevator, within ten feet of or in the main stairwell of each floor.



#### Safe Construction Bill of Rights

This notice must include:

- A description of the work being conducted and the locations in the multiple dwellings where the work will take place.
- The hours of construction work.
- A projected timeline for the completion of work.
- A description of the amenities or essential services anticipated to be unavailable or interrupted during the work and how the Owner will minimize the interruption.



#### Safe Construction Bill of Rights (continued)

- Contact information (phone number) for an agent or employee of the
   Owner who can be reached for non-emergency matters pertaining to
   the work being performed and also contact information for emergency
   matters pertaining to the work being performed, 24 hours a day/7 days
   a week during the duration of the construction.
- Owners must distribute the Safe Construction Bill of Rights notice to each occupied unit and post it in the building lobby, as well as within 10 feet of every elevator bank or main stairwell in the building. The notice must be posted in English, Spanish, or any other language(s) the Department of Housing Preservation and Development (HPD) provides by rule.



#### Safe Construction Bill of Rights (continued)

- The notice must remain posted until the completion of the described, permitted work.
- The notice must also provide contact information for the relevant City and State Agencies where occupants may submit complaints or ask questions regarding the work being performed.
  - SUMMARY: Requires owners to post or distribute a Safe Construction Bill of Rights for occupants of a multiple dwelling when the owner seeks to conduct any construction work that requires a permit from DOB.

#### Implementation Update

- DOB has performed outreach to building owners and the industry to inform them of this requirement and, along with HPD, is enforcing the requirement.
- HPD has created a template, which is available on their website, that owners can use to comply with this law.



#### Safe Construction Bill of Rights

s Notice and a Tenant Protection Plan are required to be distributed to each occupied dwelling unit or posted
conspicuous manner in the building lobby and on every floor within 10 feet of every elevator bank, or, in a
lding with no elevator, within 10 feet of or inside every main stairwell and shall remain posted until the
repletion of the described permitted work because :
The property owner has filed an application for a permit for work not constituting minor alterations or
ordinary repairs with the Department of Buildings (DOB).
The property owner has notified the DOB that an emergency work permit is being sought.
<ul> <li>The property owner has notified the DOB that an emergency work permit is being sought.</li> <li>The property owner has filed for a temporary certificate of occupancy,</li> </ul>
scription of the type of work being conducted and the locations in the multiple dwelling where the
scription of the type of work being conducted and the locations in the multiple dwelling where the



DIRECTOR AND DESIGNATION OF THE OWNER.

#### **LOCAL LAW 188 of 2017**

#### Real Time Enforcement Unit

LL188 established the Real Time Enforcement Unit and detailed the unit's responsibilities:

- Requiring DOB to monitor certain occupied multiple dwellings
- Inspect immediately hazardous complaints related to work without a permit in occupied dwellings within 12 hours
- All other complaints related to work without a permit in occupied dwellings must be inspected within ten days of receipt of the complaint.



#### **LOCAL LAW 188 of 2017**

#### Real Time Enforcement Unit (continued)

Implementation Update

- DOB is responding to immediately hazardous complaints expeditiously.
- DOB has updated its permit application to enable it to identify permits for the alteration of 10% or more of the existing floor surface area.
- DOB has created a notification form, which will allow owners of occupied multiple dwellings to submit the notification when conducting certain work. DOB is monitoring such buildings as required by the law.



# THANK YOU

