

New York City Department of Buildings

# **DOB NOW: Safety**

# Façades Compliance Filing Owner User Manual

This user manual is a dynamic document that is continually edited and updated. Please check the New York City Department of Buildings website to download the most current user manual.

January 4<sup>th</sup>, 2017





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## Introduction

# **DOB NOW: Safety Overview**

**DOB NOW:** *Safety* has been designed to allow Qualified External Wall Inspectors (QEWI), Owners, Registered Architects, and Professional Engineers to interact with the Department of Buildings (DOB) in a more efficient manner. After registering for an account, you can use **DOB NOW:** *Safety* to submit applications, make payments, check the status of an application, amend an application, and make time extension requests.

# DOB NOW: Safety Façades Overview

To keep buildings safe, owners of properties higher than six and a half stories must have exterior walls and appurtenances, such as balconies, inspected every five years – and they must file a technical façade report with the Department. See NYC Construction Codes §28-302.1 and RCNY §103-04.

Property owners must repair unsafe conditions within 90 days of filing a technical report. Once the work is finished, owners must file an amended report within 14 days.

# **DOB NOW: Safety Manual Overview**

This user manual provides step-by-step instructions for an Owner to review, electronically sign and track compliance filing applications through **DOB NOW**: *Safety*. This manual is organized into sections that correspond to the forms that users complete when they submit an application. Screenshots have been included to guide you through completing and submitting the required forms.

This manual does not represent all the filing requirements for any given application. Every effort is made to continuously update this guide. However, this guide in no way supersedes, or otherwise substitutes for, the guidance provided by the Building Code, Zoning Resolution or any other applicable rules, regulations or policies.

# **Inspection & Report Deadlines**

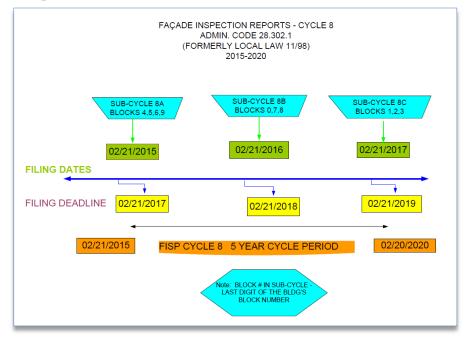
Façade report and maintenance/repair deadlines are divided into cycles. Cycle 8 began February 21, 2015, and runs through February 21, 2020. The Department has added sub-cycles to make it easier for owners to hire qualified professionals and contractors. The last digit of a building's block number determines if the property falls into sub-cycle A, B, or C.

Sub-Cycle	Last Digit of Block Number	Filing Period/Deadline
Α	4, 5, 6, or 9	February 21, 2015 – February 21, 2017
В	0, 7, or 8	February 21, 2016 – February 21, 2018
С	1, 2, or 3	February 21, 2017 – February 21, 2019





## **Sub-Cycle Diagram**



### **Façade Classifications**

The required façade inspections are called critical examinations and may only be performed by a Qualified Exterior Wall Inspector (QEWI). QEWIs are New York State licensed Professional Engineers (PE) or New York State Registered Architects (RA). After performing an inspection, the QEWI must file a technical report on the condition of the facade, and classify the building in one of three ways:

- SAFE: No observed unsafe conditions;
- SAFE With a Repair and Maintenance Program (SWARMP): Safe, but requires repair/maintenance; or
- **UNSAFE:** Observed problems/defects that threaten public safety.

With an UNSAFE classification, the owner must immediately install protection, such as a sidewalk shed, construction fence, etc.

## **SWARMP Filings**

- The condition of window air conditioner units may be classified as SWARMP.
- SWARMP filings must include a statement that states "There are no unsafe conditions."
- If the QEWI believes the condition will deteriorate and become hazardous in less than 12 months, the façade report must be filed as UNSAFE.

If all necessary repairs are not completed before the next cycle, the next report must be filed as UNSAFE.





#### **General Façade Report Reminders**

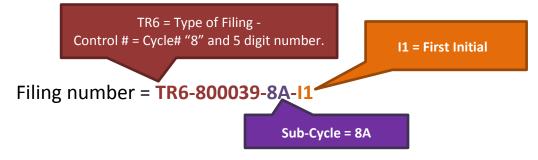
- Buildings with ongoing construction may not be designated as SAFE.
- Provide color photos and a location diagram at the time of filing.
- Include a statement that describes the degree of water retention.
- Submit a certification that repairs identified in the prior cycle have been completed.
- Cite the cause and description of the deterioration.
- Include the QEWI's projected month and year when the defects will become hazardous and cause the façade to be classified as UNSAFE.
- Cite which repairs will need a Department-issued work permit.
- Provide details about appurtenances.
- Include a copy of the Notice of Rejection when resubmitting.

# **DOB NOW: Safety Filing Numbers**

**Filing Number:** In DOB NOW: *Safety*, a filing number is a compliance filing reference: the filing type, control number, sub-cycle and filing iteration type.

- **a. Filing type**: is represented by the first set of characters followed by a dash; i.e. TR6 is for the Technical Report being filed. F1 represents a FISP1 extension request. Examples are as follows:
  - a. TR6-800039-8A-I1
  - b. F1-80039-8A-001
- **b. Control Number**: a control number is a building identifier used by the DOB Facades Unit. The number includes as the first digit the five year filing cycle number, followed by the building identifier.
- **c.** <u>Sub-Cycle</u>: the sub-cycle reference is a two year cycle represented by A, B or C. For example, sub-cycle 8A is the first sub-cycle in cycle 8.
- d. Filing Indicator: a filing indicator, such as I for Initial, S for Subsequent or A for Amended.

#### **Example:**







# **DOB NOW: Safety Terms**

The compliance process may result in additional reports and filings.

- Technical Review (TR6):
  - o **Initial:** First compliance filing for a cycle / sub-cycle.
  - Subsequent TR6: Change of TR6 filing content.
  - o Amended TR6: After repairs are made for an UNSAFE initial filing.
  - o FISP1 (initial) and FISP2 (additional): Time extension requests.
- FISP3: QEWI or DP providing an UNSAFE Notification.
- **Height Verification (HV) Inspection Request**: Request for determination of whether the building is subject to DOB compliance (over or under 6.5 stories in height).
- Partial Shed Removal (PSR) Requests: Request for removal of a shed affecting commerce, traffic flow or hazard.
- Sub-Cycle Reassignment: Request to have multiple properties/filings consolidated into one Sub-Cycle.

**DP:** A Design Professional is a Professional Engineer or Registered Architect.

**QEWI**: A Qualified Exterior Wall Inspector is a DOB registered Professional Engineer (PE) or Registered Architect (RA) that has been registered and verified with the DOB Facades Unit.

**CSR**: A Customer Service Representative is a DOB staff member who provides an Administrative Review of a filing, usually before sending the filing to a Plan Examiner. An Administrative Review for a filing in part consists of making sure the content provided is complete.

**ERT**: The Emergency Response Team provides rapid response in all emergencies requiring DOB response to ensure that NYC building codes and rules and regulations are being followed.

**Plan Examiner**: A DOB building Plan Examiner (PE) reviews a filing and determines the condition of each filing. For example, a filing can be rejected, accepted or returned incomplete.

**FISP (Façade Inspection & Safety Program) Forms**: A reference to either a filing extension or an UNSAFE Notification. In the example of a FISP1 (an initial extension request) and FISP2 (additional extension request), each represents a time extension request for a UNSAFE filing. In the example of a FISP3 (or unsafe Condition) report, the report can be filed by a QEWI or a DP.

**Initial Filing**: This option will be enabled for a new compliance filing.

**Amended Filing**: This option will be enabled after an UNSAFE Initial Report has been filed and accepted by DOB.





**Subsequent Filing**: This option will be enabled after a SAFE or SWARMP Initial (TR6) Report has already been filed and accepted. A subsequent report indicating revised conditions may be filed within the current five-year report filing cycle to change a building's filing status for that cycle.

**Inspection**: If a DOB Inspection is determined to be necessary as part of the filing process, an Inspector is assigned to inspect the façade of a building, and report on its condition.

BIN: This refers to the Building Identification Number. A BIN is assigned to each building.

**Block and Lot**: This refers to the physical mapped location of a building. The block and Lot is also known as the "tax" block and Lot.

Task Form: This form provides information on decisions of an individual filing.

**311**: NYC311 provides access to non-emergency City services and information about City government programs. NYC311 is available online and by phone.



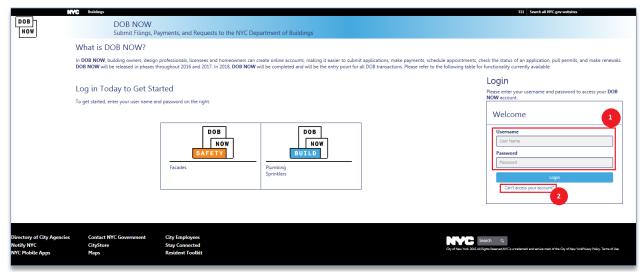


# Accessing DOB NOW: Safety and Getting Oriented

We recommend that you use Internet Explorer 9.0 and above to access DOB NOW: Safety.

This section will guide you through how to access DOB NOW: *Safety* and help to get you familiar with navigating between different screens in the system. Screenshots will direct your attention to key features and a step-by-step guide will explain how to use them.

# Access DOB NOW: Safety



Navigate to the DOB NOW login page by going to the following link: www.nyc.gov/dobnow

1. Enter your Username and Password and click **Login**. This is the same username and password that you have created for eFiling. If your account information is incorrect, you will need to update your information in the eFiling system.

Note: If you enter an invalid username and password combination, you will see an error message and will not be able to login.



If your account has been flagged or deactivated by DOB, you will also see an error message and will not be able to log in.





2. If there is an issue with your login, clicking on **Can't access your account?** will bring up a message with an email address (<u>dobnowsupport@buildings.nyc.gov</u>) to contact for assistance.



If you do not have a confirmed **eFiling** account, you will not be able to login to DOB NOW: Safety.

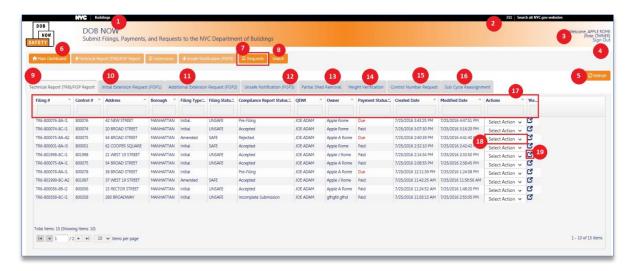
Once you have successfully logged in, navigate to DOB NOW: *Safety* by clicking on the DOB NOW: *Safety* icon.





# **DOB NOW: Safety Façades Dashboard Orientation**

After logging in, the system will display the Façades main dashboard. The numbers correspond to the list below that outlines the buttons and fields, and describes the actions that you can take.



- 1. **NYC.com Link:** Link to the NYC.gov homepage.
- 2. **311 Link:** Link to the 311 homepage.
- 3. Logged User: Identifies the User Name and System Role associated with the user account.
- 4. **Sign Out:** Sign out of the DOB NOW system.
- 5. **Refresh button:** Refreshes the data to display the most recent information.
- 6. **Main Dashboard Button**: Link to the Main Dashboard to select between DOB NOW: *Safety* and DOB NOW: *Build* systems.



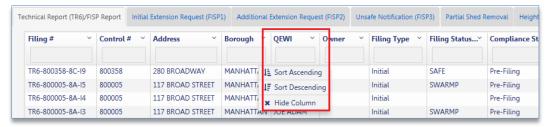
#### 7. The Requests menu has three items:

- a. **Height Verification Menu Item:** Request to validate that a building is either above or below 6.5 stories.
- b. New Control Number Menu Item: Request a new Control Number on a new building.
- c. Sub Cycle Reassignment Menu Item: Request a sub-cycle reassignment.
- 8. **Search:** Search Façade property status and information.
- 9. **Technical Report (TR6)/FISP Report Tab:** Search and view the Owner's TR6 filings with the DOB.
- 10. Initial Extension Request (FISP1) Tab: Search and view the Owner's FISP1 filings with the DOB.
- 11. **Additional Extension Request (FISP2) Tab:** Search and view the Owner's FISP2 filings with the DOB, if any.
- 12. **Unsafe Notification (FISP3) Tab:** Search and view Unsafe Notifications (FISP3 filings) with the
- 13. Partial Shed Removal Tab: Search and view PSR Notification filings with the DOB.
- 14. Height Verification Tab: Search and view the associated Height Verification filings with the DOB.
- 15. Control Number Requests tab: Search and view existing requests by Control Number.





- 16. **Sub Cycle Reassignment Requests tab:** Search and view existing requests for building sub-cycle reassignments.
- 17. **List of grid columns:** Filing #, Control #, Address, Borough, Filing Type, Filing Status, Compliance Report Status, QEWI, Owner, Payment Status, Created Date, Modified, Actions and View. Relevant data is displayed in each column for each type of filing/request. Each contain their own unique columns of information:
  - a. Sort data in ascending or descending order, and also remove the column by clicking on the little arrow next to the column name ( ).



b. You can search each column for specific information by entering that information in the blank field at the top of the column.



- 18. Filing Action: Select a filing action for the filing.
- 19. **View:** Directs you to the compliance filing.

#### Some items displayed below are disabled for the Owner:

- +Technical Report (TR6)/FISP Report Button: A new TR6 (Technical Report) filing.
- ( ) Extensions: For FISP1 and FISP2 reports filed.
- Unsafe Notification (FISP3) Button: Any Design Professional or QEWI can file a FISP3 report if there an observed unsafe façade condition.
- +Partial Shed Removal Button: Filed by a QEWI for the removal of a scaffold that is affecting commerce, traffic flow and/or other potential hazard(s), and where work is currently not occurring.

NYC Buildings



#### **Dashboard Columns**

This section guides you through the actions that you can take from each tab on the grid. For example, the default *Technical Report (TR6)/FISP Report* grid has the following columns: *Filing#, Control#, Address, Borough, Filing Status, Compliance Status, Payment Status, Action* and *View.* Within each column, you can perform a compliance filing column search.



You can search for specific filings, sort columns, and choose which columns appear in the dashboard grid.

- **Column Sort:** Click the **dropdown button** ( ~ ) next to each column to sort the results by ascending or descending order.
- Column Search: Type a value in one or more fields to search for and display only those filings
  that contain the searched for value. For example, if you type Initial in the Filing Type column,
  only jobs with an Initial filing type will be displayed.

Each compliance filing listed within the grid can be viewed by either double-clicking the record (row), or clicking the desired row under the *View* column (using the icon). When clicked (or double-clicked anywhere within the row), a pop-up message is displayed showing the Filing (*TR6 Report*) Number and the address of the report that is about to open, with the option to proceed (Yes) or Cancel (No).





# **DOB NOW: Safety Application Features**

This section of the manual describes the common features that are found in DOB NOW: *Safety*. These features will help you to navigate DOB NOW: Safety to display information related to your filings.

#### Ribbon

At the top of each form a ribbon displays the current filing status to the QEWI. When the TR6 has first been opened, the *Pre-Filing* status will be highlighted in orange on the form, until the application has been saved for the first time. Once the filing has been saved for the first time, additional statuses will be displayed as shown below.



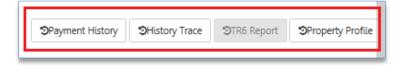
# **Required Fields**

On all forms required fields are notated by a red asterisk (\*). These fields must have data input by the QEWI in order to file with DOB. Optional non-required fields can have data input at the discretion of the QEWI.



# Form and Property Detailed Information

On all façades compliance filing forms, the following buttons are displayed:



- History Trace
- Property Profile

On forms where payments are required, the following button will display:

Payment History

On the TR6 form, once the TR6 has been filed, the following button will display:

TR6 Report

The functionality for each of these buttons is described in detail in the following sections.





## **History Trace Button**

When clicked, the following pop-up screen displays with the list of actions taken on the filing. This information is read only. Clicking the **Close** button will close the pop-up screen.



- 1. Action: The type of action taken.
- 2. **Person**: The person who performed the action.
- 3. **Person Type**: The person's user role in the process.
- 4. Comments: Comments related to the action.
- 5. **Created On**: The date the action was performed.
- 6. **Close button**: When the Owner is finished viewing the History Trace, clicking the *Close* button will close the pop-up screen.





## **Property Profile Button**

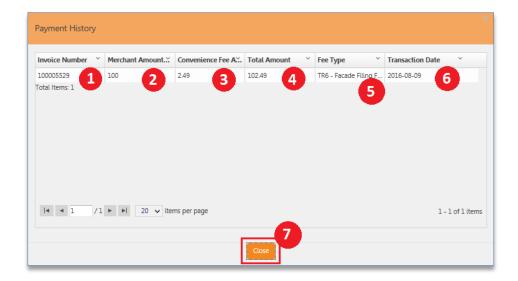
When clicked, the following pop-up screen displays the property profile detail related to the filing. This information is read only. Clicking the **Close** button will close the pop-up screen.





## **Payment History Button**

When clicked, the *Payment History* pop-up screen displays a list of all payments related to the filing. This information is read only.

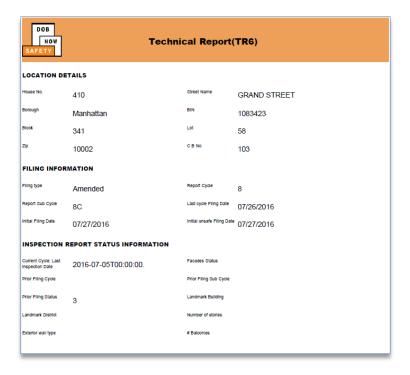


- 1. Invoice Number
- 2. Merchant Amount
- 3. Convenience Fee Applied
- 4. Total Amount
- 5. Fee Type
- 6. Transaction Date
- 7. Close button When the Owner is finished viewing the History Trace, clicking the Close button will close the pop-up screen.



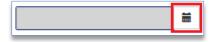
### **TR6 Report Button**

When clicked, a new window is opened, displaying a PDF version of the full TR6 Report, which can be saved.

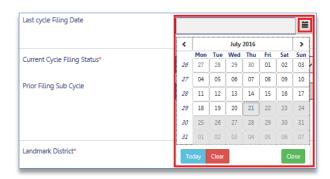


# **Calendar Dropdown**

With each date field, clicking on the calendar icon displays a calendar pop-up screen.



When the calendar icon is clicked and a date is selected, the date will populate in the date field in the proper format (*mm/dd/yyyy*). This applies to date fields throughout DOB NOW: *Safety*. Only those dates that are applicable to the field will be available for selection.

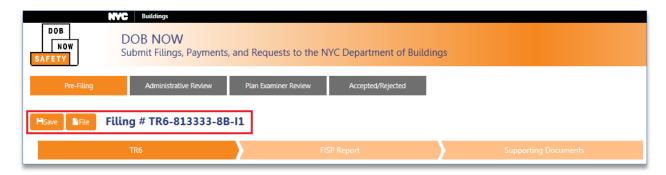






# **Saving and Filing**

With all data entry forms, the Owner can review the forms before saving the electronic signature. When the Owner saves the electronic signature, the QEWI can complete the filing. Since a QEWI is responsible for the submitting the filing, the *File* button is grayed out for the Owner.

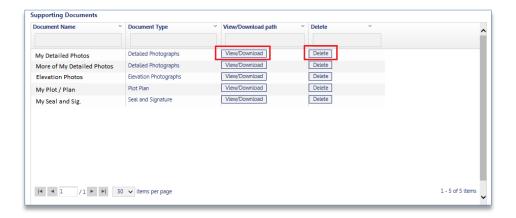


The Save and File buttons can also be found on the bottom of all forms.



## **Supporting Documents**

After the QEWI has uploaded at least one document per *Document Type*, the Owner can view the list of all uploaded documents and *View/Download* each. The *Delete* option is disabled for forms for documents that were uploaded by the QEWI.







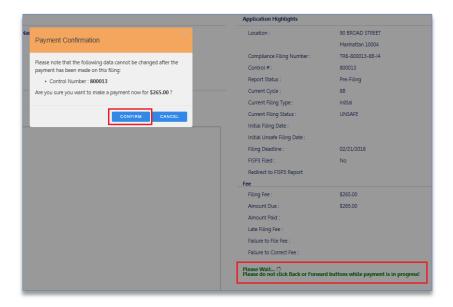
## **Making Payments**

In the *Application Highlights* there is a *Fee* section where the *Filing Fee* and *Amount Due* are displayed. When the QEWI is ready to make a payment, clicking the **Pay Now** button begins the payment transaction process.



After clicking the **Pay Now** button, the *Payment Confirmation* pop-up screen will be displayed. Clicking the **Confirm** button opens the Payment window. To close the window and return to the filing form, click the **Cancel** button.

Please note that you must remove your pop-up blocker in order to proceed with making a payment.

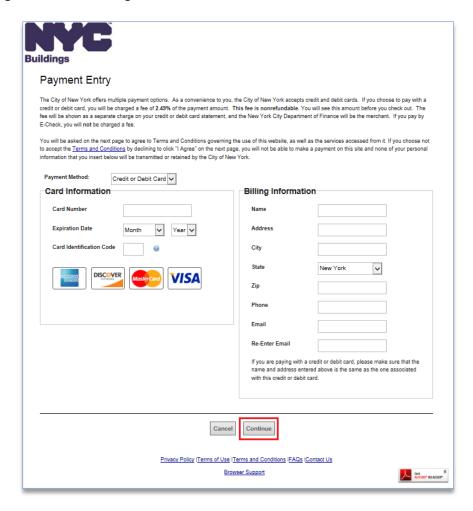






Enter the required fields to submit your payment information:

- 1. Payment Method: Select the appropriate payment method: Credit or Debit Card or E-Check.
- 2. Card /Bank Account Information: Enter your card or bank account information in this section.
- 3. Billing Information: Billing information associated with the credit card or bank account.



**Note:** If there is no activity on the payment screen for more than 10 minutes, the payment session will expire. You'll see the message shown below and you'll be required to re-start the payment process by clicking on **Pay Now** again.







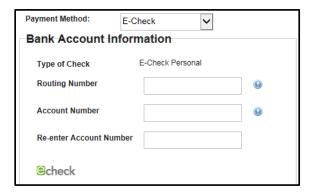
#### Paying with a Credit or Debit Card

If paying with a credit or debit card, you'll need to enter the applicable card information.



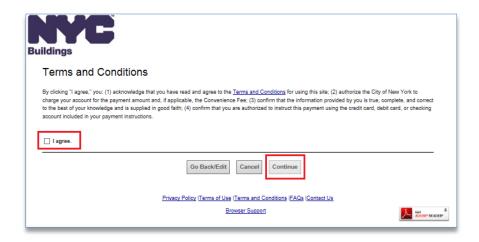
#### Paying with an E-Check

If paying with an E-Check, you'll need to enter the applicable account information.



After entering all the information, click **Continue**.

This will bring you to a Terms and Conditions page. Check the box to agree to the terms and conditions and click **Continue** to review payment details.



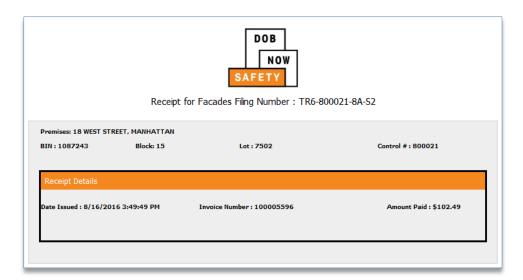




The next page will show a payment summary page. If you need to change any information, click on **Go Back/Edit**. If everything is correct, click on **Process Payment**. Your payment will not be processed until you click on **Process Payment**.



Once the payment is successfully processed, you will be redirected to a receipt page.







The transaction receipt will also be emailed to the email address you entered on the payment entry screen.

```
Dear John Doe
Thank you for your payment.
Transaction Summary:
Receipt Number:
Date and Time:
                          4005890807
                          04/12/2016 03:47 PM (Eastern Time)
DOB System ID:
DOB Record ID:
                          01bab13d-3800-e611-8104-005056ab2cd4
                          JobFiling - New Job Filing
Build Job Filing Fee Payment - M00000901- I1
Item Type:
Item Description:
Registered Email ID:
Front-End Record ID:
                          AJOETEST@GMAIL.COM
1ebab13d-3800-e611-8104-005056ab2cd4
Payment Amount:
                          $175.00
Convenience Fee:
                          $4.36
$179.36
Total Amount Paid:
Payment Method:
Account Number:
Auth/Approval Code:
                          000292
Please note that all times reflect Eastern Time (ET).
Please use this link for any questions: https://a810-efiling.nyc.gov/eRenewal/OnlineHelp.jsp
Please Keep This Page For Your Records
```

DOB NOW: *Safety* will also update, in the *Fee* section, the *Amount Due* as \$0.00, and the full paid amount in *Amount Paid*. In addition, the *Pay Now* button will be grayed out. The Owner has the option to view the *Payment History*.



# **Bounced/No Good Check**

Once a bounced check or a "no good check" was submitted the job filing will be placed on hold and \$20 fee will be added to the original fee. A \$20 fee will be added for each bounced or "no good check" that is received. Please note that once a hold is placed on a job filing the hold will not be lift until we have received notification from the bank that the subsequent payment has cleared. This can take at least five business days from the date of submitting the subsequent payment.





# **Locating Your Filings**

The Owner can locate all compliance filings by clicking on any tab on the grid. As shown below, the default grid is for the *Technical Report (TR6)/FISP Report*.



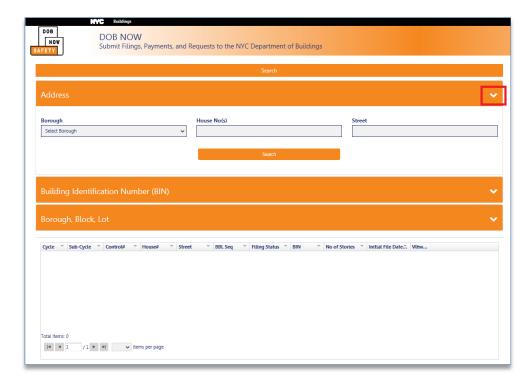


## **Address Search**

An Owner has the option to search for a property's Façade filings. On the Dashboard, the Owner shall click on the **+Search** button.



The Address Search page will load. To the right of each section is a down arrow. When clicked, it will display the search type selected.



The Owner has the option to search a property by its:

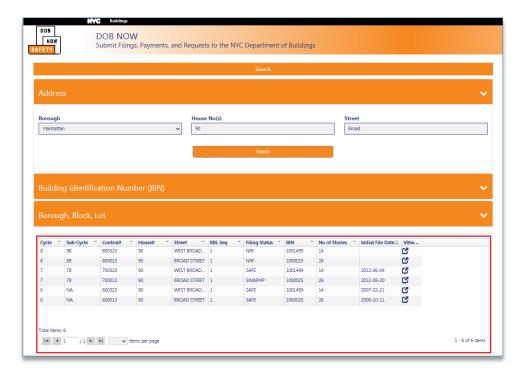
- Borough, House Number and Street
- Building Identification Number (BIN)
- Borough, Block and Lot

After the selection information is entered and Search is clicked, the grid below each search type will display the property address match results.

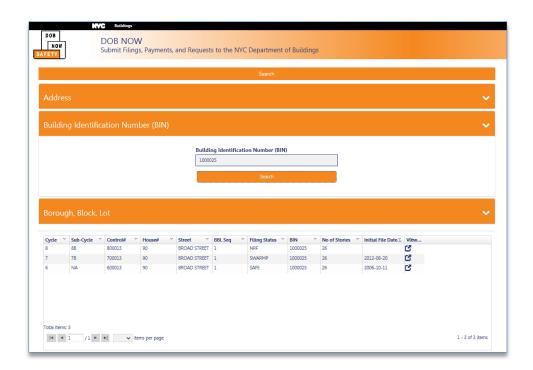




#### By Borough, House Number and Street:



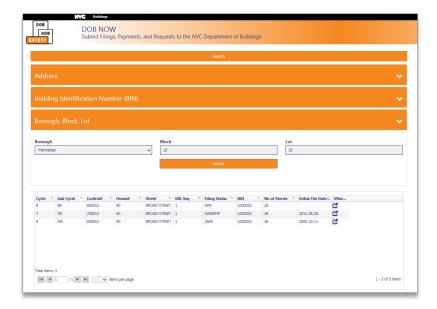
#### By BIN:





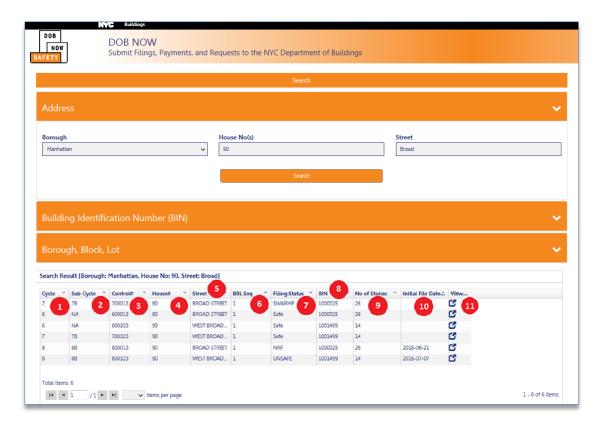


#### By Borough, Block and Lot:



The grid can be viewed by either double-clicking the record (row), or clicking the desired row under the *View* column (using the icon). When clicked (or double-clicked anywhere within the row), the selected row shall populate the subsequent results sections.

Grid columns in the search results include:

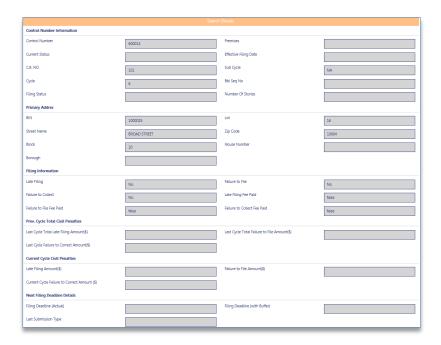






- 1. Cycle
- 2. Sub-Cycle (cycle 6 and prior do not have sub-cycle assignments)
- 3. Control#
- 4. House#
- 5. Street
- 6. BBL Seq
- 7. Filing Status
- 8. BIN
- 9. No. of Stories
- 10. Initial Filing Date
- 11. View (click on view or double-click to populate subsequent results sections)

Search Results (sample) of a cycle 8 (sub-cycle B or 8B) property:



In addition to Façade status and property information, a list of previous filings is provided.



When clicking (or double-clicking anywhere within) the desired row under the *View* column (using the icon) of the *Related Technical Reports (TR6),* the selected TR6 filing shall open for view.





# TR6 - Technical Report (TR6)/FISP Report

After the QEWI completes the necessary data entry, saves the filing, the Owner will be able to review the entire filing. All information will be populated as read-only for the Owner, except for the electronic signature and payment sections detailed below.

# **Dashboard Grid Filing Actions**

Each TR6 compliance filing listed within the grid can be viewed by either double-clicking the record (row), or clicking the desired row under the *View* column (using the icon).



## **Compliance Filing Records - View**

When a record is selected, a pop-up screen will display showing the compliance filing number for the selected record, with the option to proceed (Yes) or Cancel (No).



Click Yes to open the TR6 form.

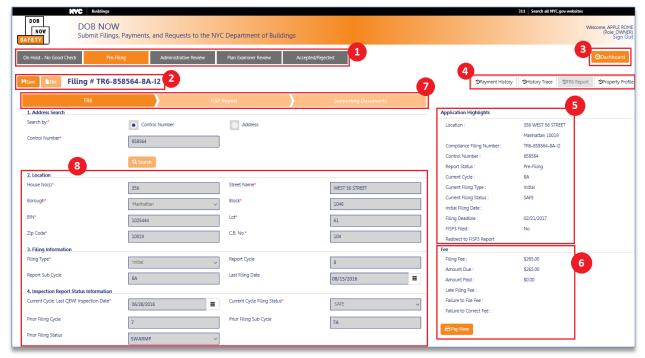
The TR6, FISP and Supporting Documents forms will display all the information entered by the QEWI for an initial façade filing.







## Report Form Orientation Technical Report (TR6)/FISP



- 1. The ribbon displaying filing progression status.
- 2. The Save and File buttons and the current Filing Number.
- 3. The Dashboard button will take the Owner back to the default Dashboard.
- 4. *Filing and Payment History*, a *History Trace* for all significant actions taken on a filing and *Property Profile* information on the compliance filing property.
- 5. Application Highlights displays key elements relating to the property and filing.
- 6. The *Fee* section represents the current fee(s) associated to the property on which the filing is intended.
- 7. Form progression; The TR6 Report is broken down into three forms which are all required to file a TR6, in order left to right; TR6 → FISP Report → Supporting Documents.
- 8. The completed compliance filing form.





#### **Section 1. Address Search**

The Owner can view the **Address** and **Control Number** by selecting the desired button. The default selection is Control Number.



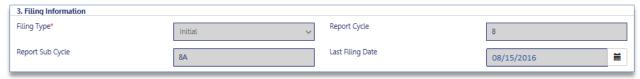
#### **Section 2. Location**

The location information provides the Owner with full details regarding the property. Details include: House No(s), Street Name, Borough, Block, BIN, Lot, Zip Code, and C.B. No.



# **Section 3. Filing Information**

In Section 3., the Owner can view Filing Information, which includes the following fields:



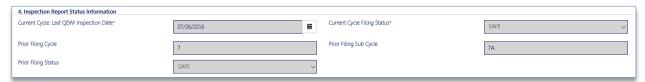
- Filing Type
- Report Cycle
- Report Sub Cycle
- Last Filing Date





## **Section 4. Inspection Report Status Information**

In Section 4., the Owner can view the Inspection Report Status Information, which includes the following fields:



- Current Cycle: Last QEWI Inspection Date
- Current Cycle Filing Status
- SWARMP Recommended Date
- Prior Filing Cycle
- Prior Filing Sub Cycle
- Prior Filing Status

# **Section 5. Building Description**

In Section 5., the Owner can view the Building Description, which includes the following fields:



- Landmark Building
- Landmark District
- Number of Stories
- Exterior Wall Type
- Number of Balconies
- Wall(s) Subject to Inspection







## Section 6. Applicant's Information - TR6 - Form

The Owner can view the QEWI details below:

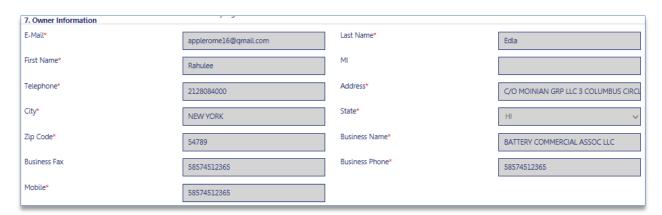


In Section 6a, the Owner can view the Applicant's Statement, electronic signature, and review the legal content.



#### **Section 7. Owner Information**

The Owner Information displayed below is prepopulated based on the Owner's eFiling profile. If there are any inconsistencies or updates that need to be made, the Owner must update their eFiling profile.







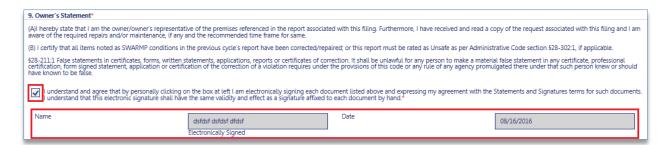
## **Section 8. Owner Representative Information**

If the Owner wants to add an Owner Representative to the filing, the QEWI and/or Owner may populate this section. The email address entered for the Owner Representative must be registered in eFiling.



#### Section 9. Owner's Statement

The Owner is responsible for reviewing the legal statements and providing their electronic signature. Click the box in the Owner's Statement to provide this electronic signature. Once checked, the Owner's name and date will populate.

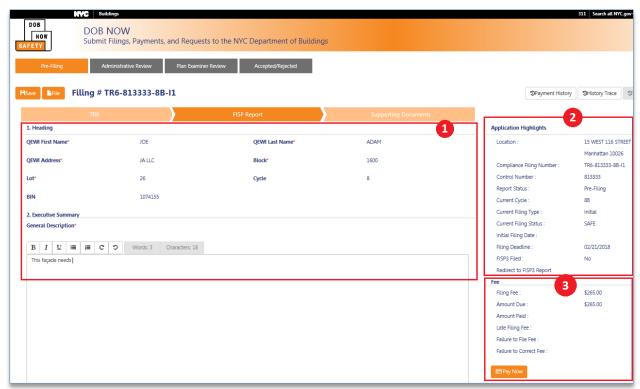






# FISP Report - TR6 Form

The FISP report provides the following information: description, scope, findings, conclusions and recommendations. The Owner can view the below detailed information.



- 1. The FISP Report
- 2. Application Highlights
- 3. Fee

# **Section 1. Heading - FISP Report**

Section 1 displays key fields provided on the TR6.



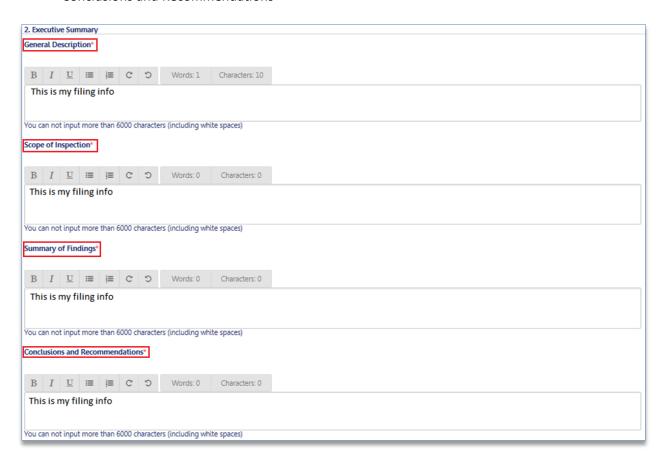




### Section 2. Executive Summary - FISP Report - TR6 - Form

Section 2 displays the detailed information of the building's exterior walls' condition that was entered by the QEWI. Fields include:

- General Description
- Scope of Inspection
- Summary of Findings
- Conclusions and Recommendations



# **Section A. Building Information**

The Owner should review and confirm the prepopulated fields from the TR6 Form.







#### **Section B. Owner Information**

The Owner should review and confirm the Owner Type entered by the QEWI on the TR6 form.



- City Owned Non-NYCHA
- NYCHA
- State
- Federal
- Diplomat



### **Section C. Building Description**

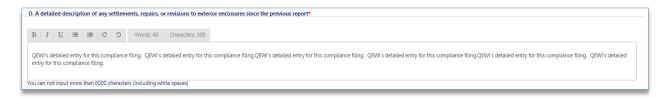
The Building Description detail provides additional details on the building. These fields include:



- Lot and Building Dimensions (ex. 121.33 x 131.75)
- Building Use (ex. Mixed, Commercial, Residential)
- Exterior Wall Type (ex. STONE, BRICK, MASONRY)
- Certificate of Occupancy
- Approximate Year Built

# Section D. A Detailed Description of any Settlements, Repairs, or Revisions to Exterior Enclosures Since the Previous Report

The Owner should review and confirm the detail entered by the QEWI for any settlements, repairs or revisions to exterior enclosures which occurred since the previously filed report.







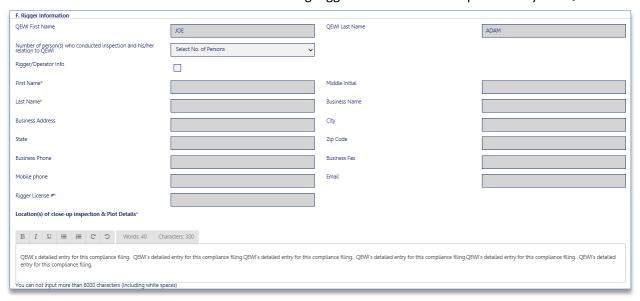
### **Section E. Procedures Used in Making the Critical Examination**

The Owner should review and confirm the procedures used in making the critical examination.



### Section F. Rigger Information - FISP Report - TR6 - Form

The Owner should review and confirm the following Rigger information detail provided by the QEWI.



The *Location(s)* of close-up inspection & Plot Details is displayed below the *Rigger Operator* section (above).





The Owner should review and confirm the selected *Dates of Inspection* and additional information the QEWI provided at the time of submission. Each Inspection date will be listed in the grid below. The Delete button is unavailable to the Owner.



For the following sections, the Owner should read and understand the required repairs and maintenance details provided by the QEWI.

# Section G. Description, Location(s) and Classification of Conditions Observed



# Section Ga. Appurtenances



# Section Gb. Balcony, Guardrail, Handrail and Parapet Statement





build safe live safe



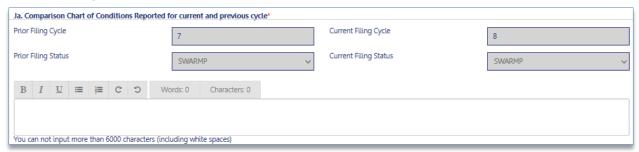
# **Section H. Causes of Conditions Observed 13. Status Report of Exterior Maintenance**



### **Section I. Status Report of Exterior Maintenance**



# Section Ja. Comparison Chart of Conditions Reported for Current and Previous Cycle



# Section Jb. Work permit numbers, status & sign off dates







# Section Jc. ECB Violation Numbers and the Status of the Repairs of the Conditions Cited in the ECB Violations



### Section K. Recommendations for Repairs or Maintenance



### **Section L. Required Work Permits**



# **Section M. Current Report Classification**

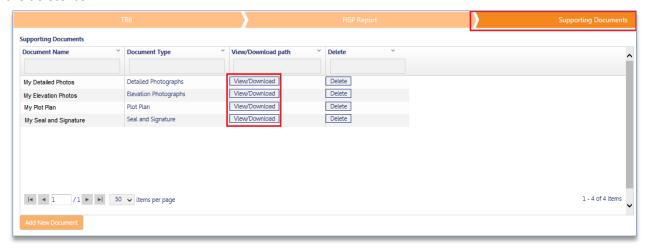




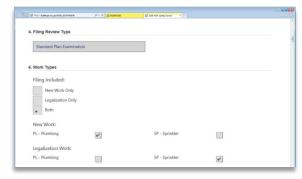


### **Supporting Documents**

The Owner should review and confirm the supporting documentation the QEWI provided by selecting the Supporting Documents form and clicking the *View/Download* button. The Owner is unable to click the delete icon.



When the View/Download button is clicked, the document opens in the browser.



Columns in the Supporting Documents form include:



- 1. Document Name
- 2. Document Type
- 3. View/Download
- 4. Delete.





#### **Owner Signature**

In order for the QEWI to proceed with submitting the filing, the Owner must review the filing and electronically sign the form.

On the TR6 form, the Owner will go to Section *9. Owner's Statement* to review the legal content and check the checkbox to provide the Owner's electronic signature. When finished, the Owner will <u>Save the filing</u>.



### **TR6 Fees and Payments**

The Owner can review all fees in the Fee section under Application Highlights.



If there are any outstanding fees, the Owner can click on the *Pay Now* button and <u>make a payment</u>. The Owner may also review all payments made in the payment history. Once complete, the Amount Due will be \$0.00 and the *Pay Now* button will be disabled.







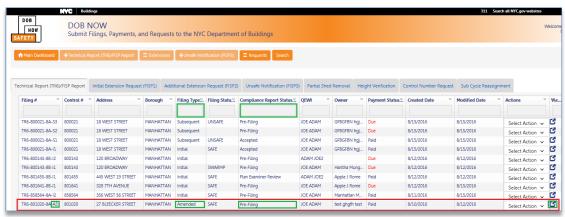
# **TR6 Amended Filing**

Once a TR6 has been accepted as UNSAFE, and the QEWI has created an Amended report, the Owner must electronically sign the Amended Report.

Below each column header, the Owner <u>can search the grid</u> for specific items. For example, under the *Filing Type* column the Owner can search for Amended, and under the *Compliance Report Status* column, the Owner can search for Pre-Filing. The results will only display those entries searched for.

On the default *Technical Report (TR6)/FISP Report* tab of the Dashboard, the Owner will find the Amended Report by viewing "Amended" in the *Filing Type* column and viewing the Compliance Report Status column for Pre-Filing, and in the Filing # column, the TR6 number will end with "-A1". The letter "A" for Amended, and the number is a sequence number starting with 1.

The Owner may double click on the Amended filing row, or click the View ( ) icon to open the form, which will then display a pop-up window with the TR6 Report Number and address.





When the Owner clicks the *Yes* button, the report will load. Clicking *No* will return the Owner to the Dashboard.

The Owner may review the Amended report, following the same process as the Initial TR6 filing.





# **Owner Signature**

In order for the QEWI to proceed with submitting the filing, the Owner must review the filing and electronically sign the form.

On the TR6 form, the Owner will go to Section *9. Owner Statement* and check the checkbox after reviewing of the legal content. This will provide the Owner's electronic signature. When finished, the Owner will Save the filing.



# **TR6 Fees and Payments**

The Owner can review all fees in the Fee section under Application Highlights.



If there are any outstanding fees, the Owner can click on the *Pay Now* button and <u>make a payment</u>. The Owner may also review all payments made in the payment history. Once complete, the Amount Due will be \$0.00 and the *Pay Now* button will be disabled.











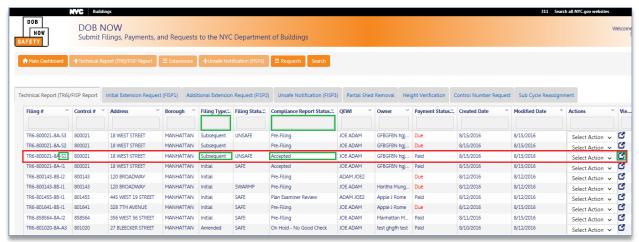
# **TR6 Subsequent Filing**

Once a TR6 has been filed as SAFE or SWARMP, and DOB has <u>accepted</u> the initial TR6 compliance filing, the QEWI can file a Subsequent report.

Below each column header, the Owner <u>can search the grid</u> for specific items. For example, under the *Filing Type* column the Owner can search for Subsequent, and under the *Compliance Report Status* column, the Owner can search for Accepted. The results will only display those entries searched for.

On the default *Technical Report (TR6)/FISP Report* tab of the Dashboard, the Owner will find the Subsequent Report by viewing "Subsequent" in the *Filing Type* column and viewing the Compliance Report Status column for Pre-Filing, and in the Filing # column, the TR6 number will end with "-S1". The letter "S" for Subsequent, and the number is a sequence number starting with 1.

The Owner can double click on the Subsequent filing row, or click the View ( ) icon to open the form which will then display a pop-up with the TR6 Report Number and address.





When the Owner clicks the *Yes* button, the report will load. Clicking *No* will return the Owner to the Dashboard.

The Owner may review the Subsequent report, following the same process as the Initial TR6 filing.





# **Owner Signature**

In order for the QEWI to proceed with submitting the filing, the Owner must review the filing and electronically sign the form.

On the TR6 form, the Owner will go to Section *9. Owner Statement* and click the checkbox after a review of the legal content. This will provide the Owner's electronic signature. When finished, the Owner or Owner's Representative will <u>Save the filing</u>.



# **TR6 Fees and Payments**

The Owner can review all fees in the Fee section under Application Highlights.



If there are any outstanding fees, the Owner can click on the *Pay Now* button and <u>make a payment</u>. The Owner may also review all payments made in the payment history. Once complete, the Amount Due will be \$0.00 and the *Pay Now* button will be disabled.







# **Height Verification (HV) - Filings**

A Height Verification Request Form is created to validate that a building is either above or below 6.5 stories in height. This form can be completed by a QEWI, Owner and/ or Owner's Representative. All the required fields must be provided for the **File** button to be enabled.

There are **no** fees associated with filing a Sub Cycle Reassignment Request form.

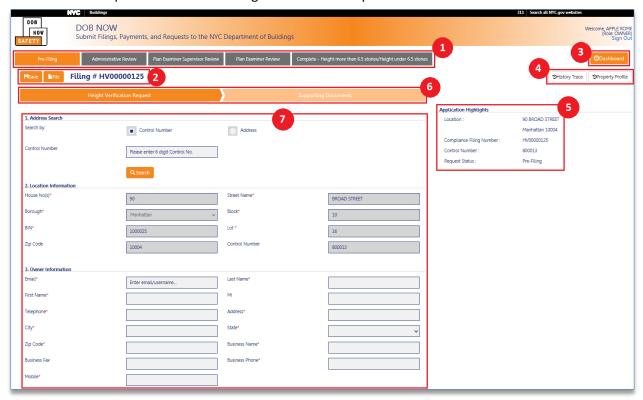
# **Height Verification - Access**

The Owner may create a new Height Verification filing form by clicking on the *+Height Verification* button on the *Dashboard*. On the Dashboard, the Owner may select the *+Height Verification* menu item, which will open the form.



# **Report Form Orientation Height Verification**

The Owner will be presented with the Height Verification Report.







- 1. The *ribbon* displaying filing progression status.
- 2. The <u>Save and File</u> buttons and the current Filing Number (once the form has been saved for the first time).
- 3. The Dashboard button will take the Owner back to the default Dashboard.
- 4. *History Trace* for all significant actions taken on a filing, and *Property Profile* information on the compliance filing property.
- 5. Application Highlights displays key elements relating to the property and filing.
- 6. Form sections; The Report is broken down into two forms which are all required to file a Height Verification Request, in order left to right; **Height Verification** → **Supporting Documents**.
- 7. The Height Verification compliance filing form details.

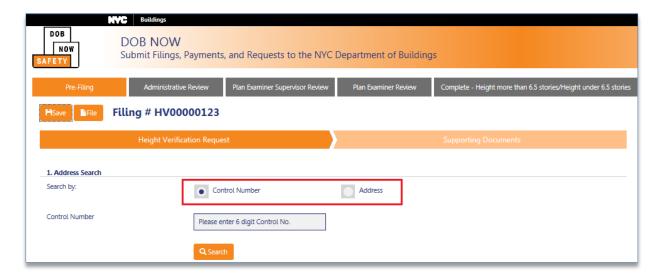
# **Height Verification Form**

Once the Height Verification filing has been saved for the first time, a Height Verification Filing Number will be generated, beginning with HV.



#### **Section 1. Address Search**

In Section 1, the Owner will be presented with the option to search by Control Number or Address.







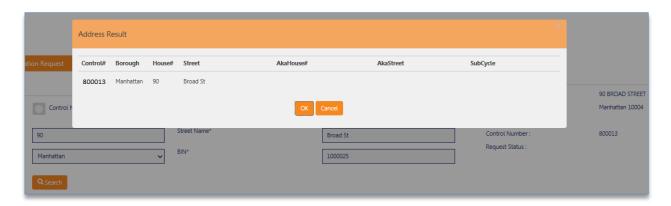
When an Owner enters a Control Number, it will not matter if it is a previous cycle (700013), the Owner will be provided a selection within the current cycle (800013), and its sub-cycle (8B).



#### Section 1. Address Search - HV

When the Owner selects the option to search by *Address*, the Owner is prompted to enter the House Number, Street Name and Borough.

When the Owner enters the desired address or Control Number, the Owner will be able to validate the address DOB has on file with pertinent information.



#### Section 2. Location Information - HV

Once the Address or Control Number has been selected, the Location information will be populated.







#### Section 3. Owner Information - HV

Enter the email address registered with in eFiling. The additional fields will populate based on the Owner's eFiling account information. If the Owner Information has errors or needs to be updated, the Owner must update their eFiling account.



# **Section 4. Applicant Information - HV**

The Applicant information is populated based on the Owner's eFiling account information. The *License Type* will default to *Preparer* for the Owner. For Owners, the license number displayed will be an eFiling registration number. If the Applicant information has errors or needs to be updated, the Owner must update their eFiling account.







### Section 5. Reason for Request - HV

In Section 5. Reason for Request, the Owner is required to select one of the following options:

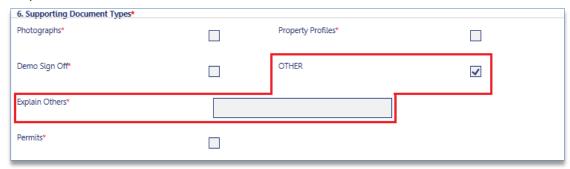


- Building is not in DOB NOW: Safety and has more than 6.5 stories
- Building is in DOB NOW: Safety and has less than 6.5 stories
- Building has been demolished
- Other (if selected, the Explain Others required field shall be displayed)

Select Reason For Request
Building is not in DOB NOW: Safety and has more than 6.5 stories
Building is in DOB NOW: Safety and has less than 6.5 stories
Building has been demolished
Other

#### **Section 6. Supporting Document Types - HV**

In Section 6. Supporting Document Types, the Owner may select any/all of the following documents to be uploaded:



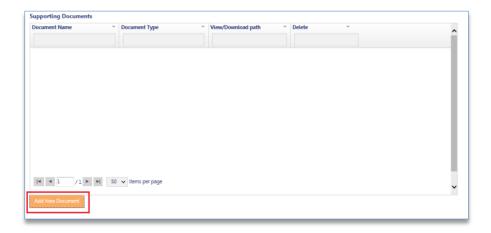
- Photographs
- Property Profiles
- Demo Sign Off
- OTHER (if selected, the Explain Others required field shall be displayed)
- Permits



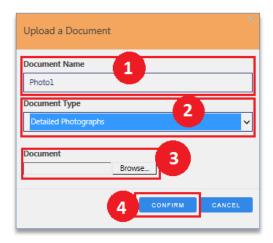


# **Supporting Documents**

On the *Supporting Documents* form, the Owner may attach supporting documents by selecting the *Add New Document* button.



The *Upload a Document* popup screen will open.



- 1. **Document Name**: The name of the document entered as a reference.
- Document Type: The Document Types required for upload will be listed as an option under the Document Type dropdown menu. There must be at least one file uploaded for each Document Type.
- 3. **Document**: The Owner must click on the Browse button to select a file to upload. File types include PDF and .JPG (or .JPEG). Individual file size is limited to 250MB. The Owner must select the Image for upload and click the *Open* button.

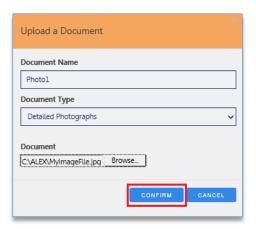




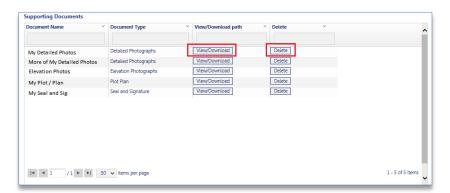


The file will be prepared for upload. Only one file can be uploaded at a time.

4. **Confirm Button**: The Owner must confirm the proper document is ready to be uploaded.



When the Owner has uploaded at least one document per *Document Type*, the Owner can view or delete the list of all uploaded documents by clicking the *View/Download* or *Delete buttons*.



# Filing the Height Verification Form

The Owner has the option to make a final review, make any necessary changes and upload additional documents before filing. The Owner must then file the complete Report by clicking the *File* button.







# **New Control Number Request**

All Buildings that require a facade compliance filing are required to have a Control Number. The *Control Number Request* form enables an Owner to create a request for a control number for a given building.

There are **no** fees associated with filing a New Control Number Request form.

# **Control Number Request - Access**

To create this request, the Owner clicks on the +New Control Number menu item to open a blank form.



# **Report Form Orientation Control Number Request**

The Owner will be presented with the Control Number Request form.



- 1. The *ribbon* displaying filing progression status.
- 2. The <u>Save and Submit</u> buttons and the current Filing Number (once the form has been saved for the first time).
- 3. The Dashboard button will take the Owner back to the default Dashboard.
- 4. *History Trace* for all significant actions taken on a filing, and *Property Profile* information on the compliance filing property.





- 5. Application Highlights displays key elements relating to the property and filing.
- 6. Form sections; The Report is broken down into two forms which are required to file a New Control Number Request, in order left to right; **New Control Number Request** → **Supporting Documents**.
- 7. The Control Number Request form details.

# **Control Number Request Form**

Once the Control Number Request filing has been saved for the first time, a Control Number Request Filing Number will be generated, beginning with CNR.



#### **Section 1. Location Information**

Enter the property address details in the following:

- 1. House Number
- 2. Street Name
- 3. Borough
- 4. BIN
- 5. Number of Stories
- 6. Exterior Wall Type

The following are read-only fields that will be populated once the address has been validated:

- 1. Lot
- 2. Control Number
- 3. Zip Code
- 4. Block
- 5. C.B. No.







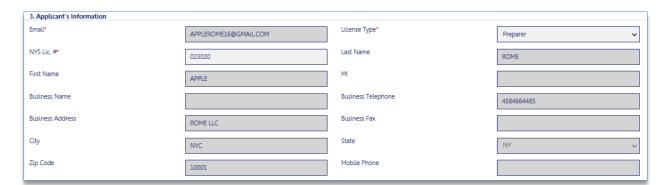
### Section 2. Reason for Request

The Owner must enter in the Reason for the Request.



### **Section 3. Applicant Information**

The Applicant information is populated based on the Owner's eFiling account information. The *License Type* will default to *Preparer* for the Owner. For Owners, the license number displayed will be the eFiling license number. If the Applicant information has errors or needs to be updated, the Owner must update their eFiling account.





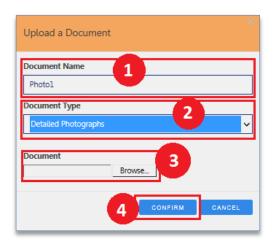


# **Supporting Documents**

On the *Supporting Documents* form, the Owner may attach supporting documents by selecting the *Add New Document* button.



The *Upload a Document* popup screen will open.



- 1. **Document Name**: The name of the document entered as a reference.
- 2. **Document Type**: The Document Types required for upload will be listed as an option under the *Document Type* dropdown menu. There must be at least one file uploaded for each Document Type.
- 3. **Document**: The Owner must click on the Browse button to select a file to upload. File types include PDF and .JPG (or .JPEG). The Owner must select the Image for upload and click the *Open* button.

E - 0

Custom Files (\*.jpeg;\*.jpg;\*.jpe; ▼

<u>Open</u> 

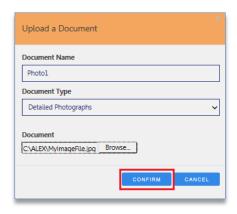
Cancel



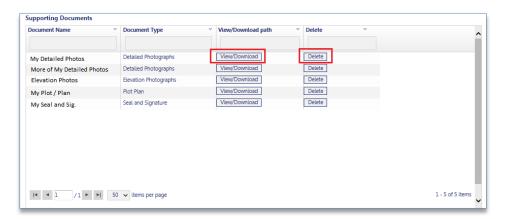


The file will be prepared for upload. Only one file can be uploaded at a time.

4. **Confirm Button**: The Owner must confirm the proper document is ready to be uploaded.

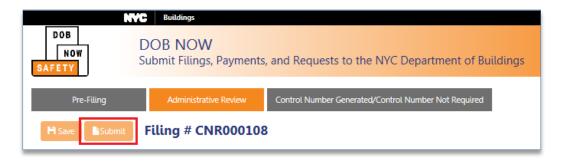


When the Owner has uploaded at least one document per *Document Type*, s/he can view the list of all uploaded documents and *View/Download* and/or *Delete* each.



## **Form Submission**

Once the Owner selects the *Submit* button, the request is submitted to DOB.



There are **no** fees associated with filing a New Control Number Request form.





# **Sub Cycle Reassignment**

An Owner has the option to change the sub-cycle currently assigned to one or more contiguous zoning lots that are under a single ownership.

There are **no** fees associated with filing a Sub Cycle Reassignment Request form.

# **Sub Cycle Reassignment Request - Form**

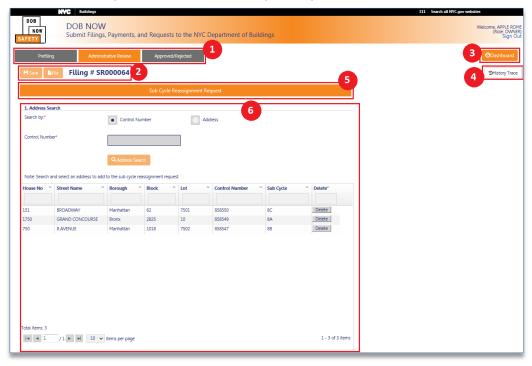
On the Dashboard, the Owner selects the Sub Cycle Reassignment menu item, which will open the form.





# **Report Form Orientation Sub Cycle Request**

The Owner will be presented with the Sub Cycle Request form.



- 1. The *ribbon* displaying filing progression status.
- 2. The <u>Save</u> and <u>File</u> buttons and the current Filing Number (once the form has been saved for the first time).
- 3. The Dashboard button will take the Owner back to the default Dashboard.
- 4. History Trace for all significant actions taken on a filing.
- 5. Form Name.
- 6. The Sub Cycle Request form details.

# **Sub Cycle Reassignment Form**

Once the Sub Cycle Reassignment filing has been saved for the first time, a Sub Cycle Reassignment Filing Number will be generated, beginning with SR.



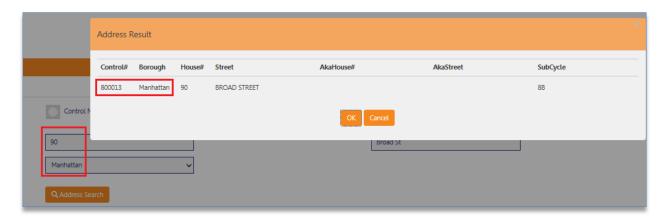
The Sub Cycle Reassignment Request form provides the Owner with the option to search for multiple property addresses for sub-cycle reassignment.





# Section 1. Address Search - Address and Control Number

When performing an address search, the Owner can enter *House Number(s)*, *Street Name* and *Borough*. The system will prompt the Owner with the addresses and Control Number.

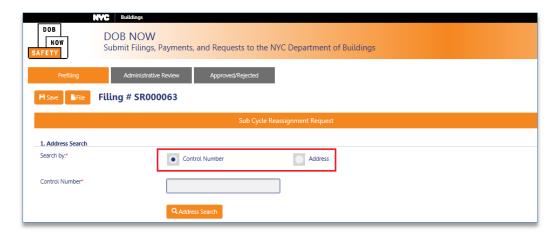


Once the Owner clicks the *OK* button, the address will be listed in the grid below. The Owner can enter as many addresses as required.





In Section 1, The Owner will be presented with the option to search by Control Number or Address.



When an Owner enters a Control Number, display a pop-up with the property information.



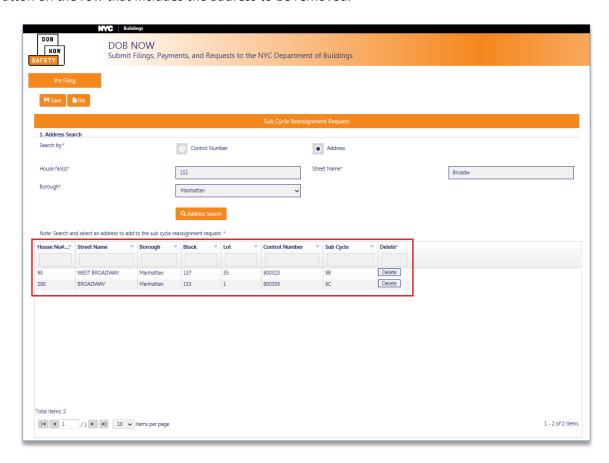




#### **Section 1. Form**

The Owner can enter as many addresses per Owner as required.

If the Owner wishes to remove an address before filing the request, the Owner can click on the *Delete* button on the row that includes the address to be removed.



# **Section 2. Reassignment Request Details**

In Section 2. Reassignment Request Details, the Owner enters the Reason for Reassignment and selects the requested new sub cycle for the listed buildings.







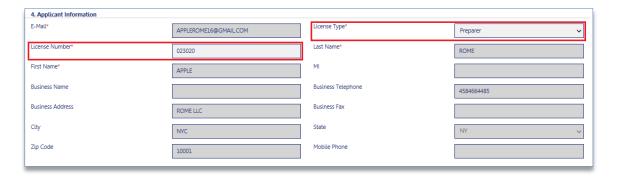
#### **Section 3. Owner Information**

The Owner must enter their email address associated with their eFiling account to populate the required details. If the Owner's email is not registered in eFiling, the Owner will not be able to file.



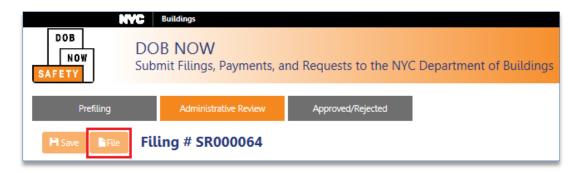
### **Section 4. Applicant Information**

The Applicant information is populated based on the Owner's eFiling account information. The *License Type* will default to *Preparer* for the Owner. For Owners, the license number displayed will be the eFiling license number. If the Applicant information has errors or needs to be updated, the Owner must update their eFiling profile.



# Filing the Sub Cycle Reassignment Request Form

The Owner has the option to make a final review, make any necessary changes and upload additional documents before filing. The Owner must then file the complete Report by clicking the *File* button.







# **Appendix**

# **Work Type Acronyms**

- BL: Boiler
- CC: Curb Cut
- CH: Chute
- DM: Demolition and Removal
- EQ: Construction Equipment
- EW: Equipment Work
- FA: Fire Alarm
- FB: Fuel Burning
- FN: Fence
- FP: Fire Suppression
- FS: Fuel Storage
- MH: Mechanical/HVAC
- OT: Other
- PL: Plumbing
- SD: Standpipe
- SF: Scaffold
- SG: Sign
- SP: Sprinkler
- EL: Elevator

# **Legal Acronyms**

- AC: Administrative Code
- APPN: Administrative Policy and Procedure Notice
- BC: Building Code
- HPD: Housing Preservation and Development
- LL: Local Law
- LPPN: Legal Policy and Procedures Notice
- MDL: Multiple Dwelling Law
- NYC DEP: New York City Department of Environmental Protection
- NYC RR: New York City Report Recommendations
- NYS DOH: New York State Department of Health
- NYS ECL: New York State Environmental Conservation Law
- OPPN: Operations Policy and Procedure Notice
- PPN: Policy and Procedure Notice
- RCNY: Rules of the City of New York
- RS: Reference Standard
- TPPN: Technical Policy and Procedure Notice





ZR: Zoning Regulations

# **Permit Type Acronyms**

• AR: Architectural

EA: Earthwork

• FO: Foundation

ME: Mechanical

NP: No Plans

• PL: Plumbing

• SH: Sidewalk Shed

ST: Structural

ZO: Zoning

# **Building Type Acronyms**

NB: New Building

• Alt 1: Alteration

Alt 2: Alteration

• Alt 3: Alteration

# **Professional Acronyms**

- PE: Professional Engineer
- RA: Registered Architect
- GC: General Contractor
- DP: Design Professional
- FR: Filing Representative
- QEWI: Qualified Exterior Wall Inspector (PE/RA)
- QRWI: Qualified Retaining Wall Inspector (PE/RA)
- Agency Director or Director (PE/RA)

• MP: Master Plumber

OBI: Oil Burner Installer

• LP: Licensed Professional

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