NYC Development Hub Hub Self-Service

Industry Filing Guide

January 13, 2014

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About this document

The Department of Buildings (DOB) has expanded the NYC Development Hub to facilitate the automatic acceptance, and permitting of most professionally certified alteration type-2 and alteration type-3 applications.

The benefits of the program include:

- Faster Approvals Enhance customer service for qualified design professionals by expediting the end-to-end approval process for professionally certified minor construction work.
- **Fewer Office Visits** Automated acceptance of jobs through this program will eliminate the need for borough visits prior to approval.
- Reduce Paper Submissions All documents submitted to the Department through this
 program will be electronic, eliminating any paper submissions for these jobs prior to
 approval.

This guide provides information to help industry users participate in Hub *Self-Service*. This includes how to enroll as design professional, guidelines for submitting required items, forms, and plans and how to electronically submit the entire filing to the Department for acceptance.

Document Version Control Table

Version Number	Version Summary	Date
Version 1.0	First Published Release	September 24, 2012
Version 1.1	Updated Release	October 3, 2012
Version 1.2	Updated Release	October 15, 2012
Version 1.3	Updated Release	January 13, 2014

About Hub Self-Service

To participate in Hub *Self-Service*, licensed design professionals must file professionally certified single document Alteration Type-2 (Alt 2) and Alteration Type-3 (Alt 3) applications online through the Department's electronic filing system. **Election into this program will eliminate the need for in person visits through permit.**

A small subset of minor alterations will be excluded from this program:

- Enlargements
- Curb-cuts
- Legalizations
- Fire alarms
- Builders Pavement Plan
- Jobs filed on Landmarks Preservation Commission calendared properties

Additionally the following will not be supported by *Hub Self-Service*:

- Subsequent filings
- Post-Approval Amendments

If you are eligible, the option to enter this program will be made to you when you are on the *Review* page of the Plan/Work application online.

Program Requirements

To use Hub Self-Service:

- The applicant of record **must** be enrolled with DOB (see below on how to enroll)
- All documents and payments must be processed and the job must be submitted for DOB
 acceptance within sixty (60) days of entering Hub Self Service (notifications will be sent
 out to the applicant of record, owner, and initial preparer of the PW1 when there are
 30 days and 10 days remaining to submit the job for acceptance)
- Permits **must** be processed online through Hub Self Service Program
- Payment **must** be made online by credit card only
- Application must be an Professionally Certified Alteration 2 or 3 (see exceptions above)

Upon entering Hub *Self-Service*, the job **must** stay in program until submitted for acceptance to DOB and DOB staff process your permit. If an applicant wants to switch out of the program to standard filing, the job must be withdrawn and re-filed. **Once withdrawn, the job cannot be reinstated into the program.** Remember, applicants can copy a previously prepared application when re-filing any plan/work application online.

Additionally, the Applicant of record is responsible for reviewing the application in its entirety prior to submittal, including, but not limited to:

- Plans
- All required items are accurately selected and submitted
- All required forms are submitted
- All Special and Progress inspections are accurately selected
- All waivers are accurately documented
- A completed POC1 form (all four pages), with all required statements and signatures from applicant of record and owner, is submitted
- Any associated TR1 form(s) identifying the special inspection or progress inspection applicant who will conduct needed special inspections and/or progress inspections.
- Any associated Work Permit Application(s) PW2 form(s)
 Note: the PW2 form(s) can be completed by a registered general contractor or licensed tradesperson and does not need to be completed by the applicant of record. You have an option to opt-out of submitting a PW-2 form, which would be made available to you in eSubmit before you submit your application to DOB. The PW2 can be uploaded by any individual with an eFiling Preparer account.

All plans must follow the Department's Drawing Standards for Plan/Work Applications, which is available at: http://www1.nyc.gov/assets/buildings/pdf/drawing_standards_08132010.pdf

Note the following change to Title Block Standards.

OLD:

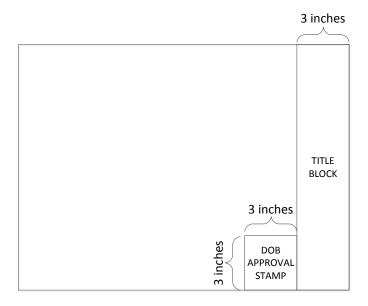
Designated space for DOB employee stamps and signatures (minimum 3" x 3");

If space is not provided within the title block, a minimum of 3" x 3" of clear space must be provided on the lower right hand portion of each sheet.

NEW:

Designated space for DOB approval stamps (minimum 3" x 3");

A minimum of 3" x 3" of clear space must be provided on the lower right hand portion of each sheet. This space must be directly to the left of the title block. All title blocks must be exactly 3" in width. See diagram below for sample:



Enrolling with the NYC Department of Buildings

To participate in the program you must first enroll with DOB and obtain an online account. To enroll, please access the Department's website at www.nyc.gov/buildings and click on 'Electronic Filing.' To enroll, you must have an active email account.

If you are a NYS registered architect or professional engineer: You must enroll as a design professional. Once you receive an email notification that enrollment is complete, follow the instructions, print the authentication form, and sign and seal it and submit to the Department for authorization and activation of your account. Submittals should be dropped off to:

NYC Development Hub Department of Buildings 80 Centre Street, 3rd floor New York, NY 10013

ATTN: NYC Development Hub Enrollment

or mailed in to:

The Hub Authentication Center Department of Buildings 280 Broadway, 5th floor New York, NY 10007

Once DOB processes your application and activates your account, you will receive a notification by email. DOB will process applications within 2 business days.

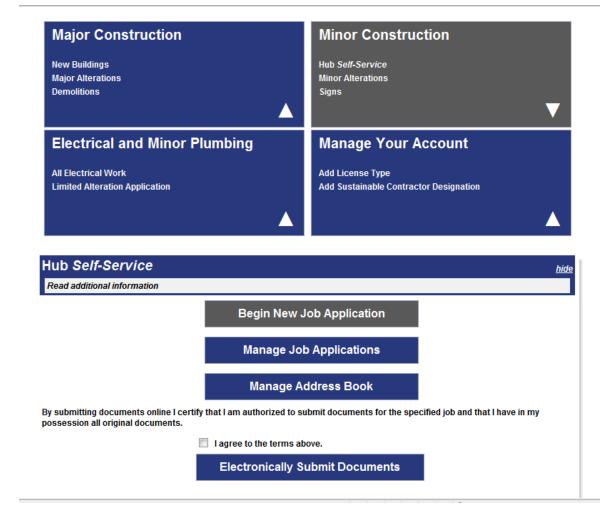
If you are a preparer: You must enroll as a preparer. An enrolled Preparer has authorization to create new applications online, but cannot submit the application. The Preparer can send the prepared application to a DOB enrolled registered design professional for review and submittal.

For more information on the Department's electronic filing system please access the user guide at: http://www1.nyc.gov/assets/buildings/pdf/efiling_user_guide.pdf

Using the Program

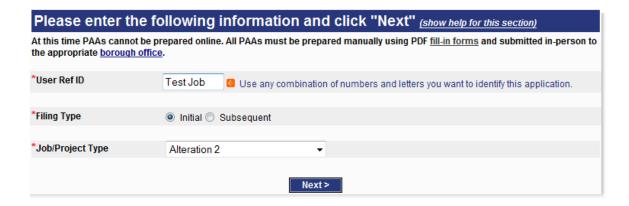
To use Hub *Self-Service*, you must prepare your job application using the Department's electronic filing system, as you would today. Preparers or Design Professionals must choose to enter Hub *Self-Service* on the current Plan/Work application *Review* page. To take advantage of this program, please follow the steps described below.

1. Log-into the NYC Development Hub using your account email address and password. Click the "Minor Construction" box and then expand the "Hub Self-Service" bar. Select "Begin New Job Application" to start preparing an application for the first time.



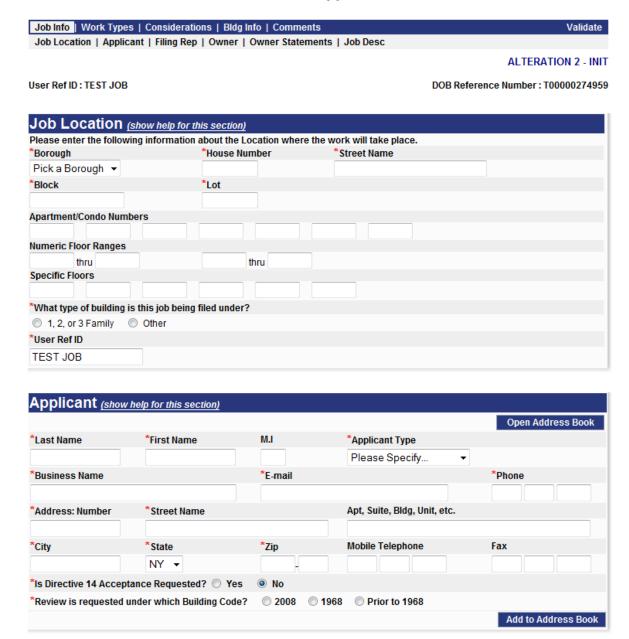
2. The "Welcome to the Plan/Work Approval Application" screen should then display. Enter a User Ref ID which is a reference ID that you can use to locate this application at a future time by using the "Manage Job Applications" function shown in the screen shot above. Select the "Initial" radio button to indicate the appropriate Filing Type and select "Alteration 2" or "Alteration 3" to indicate the "Job/Project Type", and click "Next". Please note that subsequent filings and all other job/project types are excluded from this program. For the complete list of exclusions and requirements see page 4 above.

Welcome to the Plan/Work Application



3. The "Job Info" screen should display. Follow the instructions and provide the information requested information in the fields available for all sections, Job Info, Work Types, Considerations, Bldg Info, and Comments. Fields marked with red asterisks (*) are required.

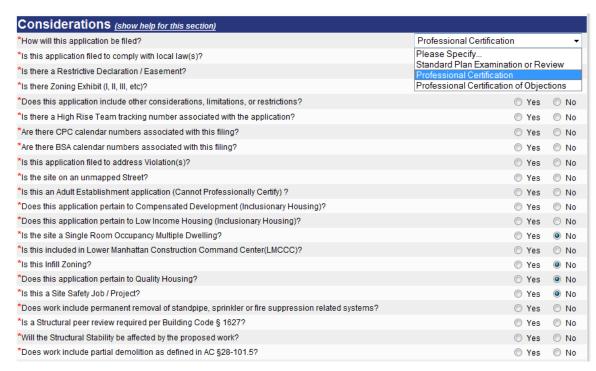
Plan/Work Application



4. In the "Considerations" section, select "Professional Certification" from the "How will this application be filed" drop down menu.

Plan/Work Application





Continue to complete your application and once complete, click "Validate".

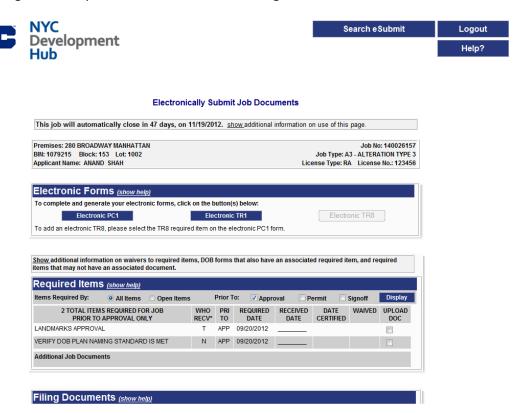
- 5. Once you have successfully validated your application and you are on the *Review* page, if your job is eligible for Hub *Self-Service*, you will be given the option to take advantage of this program. To do so, select "Yes, I would like to continue to electronically submit all required documentation and pay online" After selecting yes, click on the "Continue" button at the bottom of the page to file your job. At this time you will:
 - receive your job number, and
 - be taken to electronically submit all required documents including plans, Professional Certification Checklist (POC1), required items, and other forms

Please note this option will only appear for jobs that are qualified to participate in this program. For a list of exclusions as well as the requirements for the program see page 4 above

Plan/Work Application

NOTE: This application uses Pop-Ups. 4 View the instruction on how to remove the pop-up blocker. Job Info | Work Types | Considerations | Bldg Info | Comments | Review FILING AT: MAN - 280 BROADWAY ALTERATION 3 - INIT User Ref ID: TEST1 DOB Reference Number: T00000274875 Do you want to use efiling to submit your application, and eliminate the need for an office visit prior to approval? Yes, I would like to continue to electronically submit all required documentation and pay online. No, I would like to print my paper submittal and bring it into a borough office for filing. Electronically Submit Documents Click on the "Continue" button below and · Your filing will automatically be given a job number You will be asked to submit all required documentation (include Plans, POC1 Professional Certification; Applicant and Owner Statements, and other required items and forms) and make payment. . Your PW1 cannot be modified after you proceed below. Note: Minimal application data will be available on BISWeb until the application is submitted for DOB acceptance by the applicant of record. Once all required documentation is submitted, and payment is received, the applicant of record for the job can submit the job for DOB acceptance. NOTE: Upon entering the Hub Self-Service, you will have 60 days to fully complete and submit your application for DOB acceptance. After this time, your job will be automatically closed. Please 12 View your final completed PW1. Please Print your POC1 Form and obtain required owner and applicant singnatures and seals. Continue

Upon clicking continue, you will be taken to the following screen:



Additionally, the applicant of record, owner, and initial preparer of the PW1 will receive an email notification that the job has opted in to Hub *Self-Service*.

Submitting Required Documents

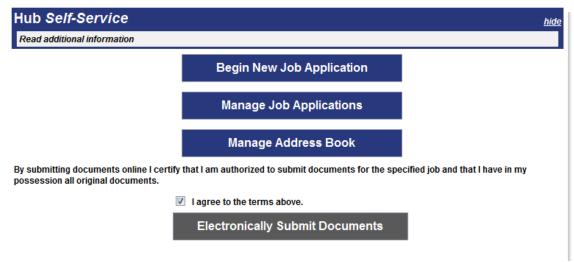
To complete your application, you must pay all applicable filing fees required prior to approval and electronically submit your full set of documents. This includes your plans, Professional Certification Checklist (POC1), required items, and other forms. You have an option to opt-out of submitting a PW-2 form, which would be made available to you in eSubmit before you submit your application to DOB. Note: You must flatten all PDF files prior to submitting. In addition, you may not submit password protected or other types of "secure" PDF files. POC1 is a special 4 page form for HUB Self Service projects that captures applicant's statements and signatures from following forms: PW1 section 25, PW1B section 7, PC1 section 3, TR1 section 5 and TR8 section 4. It also captures owner's statements and signatures from: TR1 section 6 and PW1 section 26. All other forms selected on PC1 form by the applicant whose information is not captured on the POC1 form will need to be properly completed and uploaded.

If you choose to waive an auto-populated item required prior to approval, you must submit documentation, signed and sealed as appropriate, which provides the reason why this item is being waived. If appropriate you can also provide such required item waiver justification on the AI1 form.

To submit required documents for Hub *Self-Service*; please follow the steps described below. For more information submitting documents online please access the user guide at: http://www1.nyc.gov/assets/buildings/pdf/eSubmit_guide.pdf

1. There are two ways to log-into electronically submit documents: 1) by clicking continue on the Plan/Work application *Review* screen or 2) by re-logging into the NYC Development Hub using your email address and password. Once you re-login, Click the "Minor Construction" box and then expand the "Hub Self-Service" bar. Then click the "Electronically Submit Documents" button. Note: If you are already logged in and have just clicked on "continue" from the Plan/Work application *Review* screen, please continue to step 3 below.





2. The next landing page allows you to search for your Hub *Self-Service* job by using the "Job Search" function. You may either enter the job number or click on any of the job number links in the Pending tables.

The "Pending Job List" displays jobs for which the user is currently working on. If you are enrolled with DOB as a design professional, the "Jobs Pending Applicant Submittal" list displays all filed jobs pending the design professional's submittal to DOB for acceptance. Note: the *Submission Deadline* is the date by which, the Applicant of Record for the filing must submit the application to the Department for acceptance. This will be 60 days from filing the job and entering into the program.

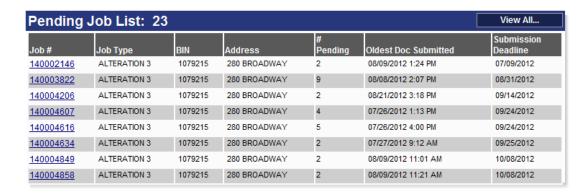
Welcome to the NYC Development Hub

Please read the B User Guide and the Frequently Asked Questions.



Document Aging Policy

- · Pending documents will be purged if not processed within 60 days
- Rejected documents will remain in the system for two weeks before being purged. This will give the applicant time to review rejected documents
- . Jobs in the Hub Self-Service have 60 days to be fully completed and submitted to DOB for acceptance.





Adding Electronic Forms

3. The "Electronically Submit Job Documents" page should then display. You must complete and generate required electronic forms such as PC1, TR8, and TR1. By completing these electronic forms, you would also populate selected required items in the Department's BIS database. To complete your electronic PC1: Required Item Checklist Certification, click "PC1" in the "Electronic Forms" section of page.



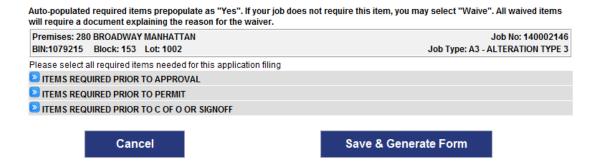
4. To add a required item, click "Yes." To remove required items click "No", or if the item has been auto-populated, click "Waive". "Yes", "No", or "Waive" must be selected for each item. As a reminder all waived required items must be associated with appropriate documentation which justifies the waiver.

Auto-populated required items prepopulate as "Yes". If your job does not require this item, you may select "Waive". All waived items will require a document explaining the reason for the waiver. Premises: 280 BROADWAY MANHATTAN Job No: 140002146 BIN:1079215 Block: 153 Lot: 1002 Job Type: A3 - ALTERATION TYPE 3 Please select all required items needed for this application filing ITEMS REQUIRED PRIOR TO APPROVAL Yes No Waive Description LANDMARKS APPROVAL LANDMARKS SIGNOFF **/** SEWER CONNECTION: DEP SD1 & SD2 **V** HPD: SRO MD CERTIFICATE OF NO HARASSMENT U.S. ARMY CORPS OF ENGINEERS APPROVAL ✓ TRANSIT AUTHORITY APPROVAL 1 FIRE ALARM/SIGNAL SYSTEM (FA) SIGNOFF J URBAN RENEWAL AREA: HPD APPROVAL 1 SEPTIC INSTALLATION: DEP APPROVAL 1 ADDRESS: NEW HOUSE NUMBER APPROVED 1 TAX LOT: TENTATIVE LOT NUMBER ISSUED 1 STREET: NEW STREET NAME APPROVED FIRE PROTECTION PLAN(FPP): FDNY APPROVAL **V** LOFT BOARD CERTIFICATE **I** BSA VARIANCE TREE REMOVAL: OUTSIDE PROP./PARKS APPR **V** TREE REMOVAL: SPEC. ZON. DIST./CPC APPR FOREIGN GOV'T PROPERTY: STATE DEPT. LTR **V** BPP-PARKS: REMOVE MATURE TREE BPP-BSA REQUIREMENTS 1 J BPP-CPC REQUIREMENTS **V** BPP-TA: RELOCATE BUS STOP

PC1: Required Items Checklist for Professional Certification

5. After you have selected all required items needed for this application filing, you must click "Save & Generate Form" to save your information, and generate your PC1 based on the information you selected. Once your electronic form has been generated, you can go back and modify the information you selected until you submit your job for DOB acceptance.

PC1: Required Items Checklist for Professional Certification



6. Note: If your job requires a TR8: Energy Code Progress Inspection Technical Report, you must first add the TR8 as a required item on the PC1 to generate a form by clicking "Yes".

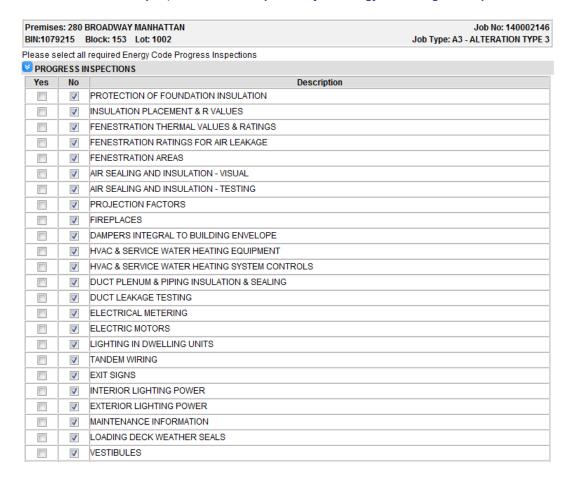


Then click "TR8" in the "Electronic Forms" section of the e-Submit page to complete all required information.



7. Once in the electronic TR8, to add an Energy Code Progress Inspection, click "Yes." To remove an Energy Code Progress Inspection click "No." "Yes" or "No" must be selected for each item.

TR8: Technical Report, Statement of Responsibility for Energy Code Progress Inspections

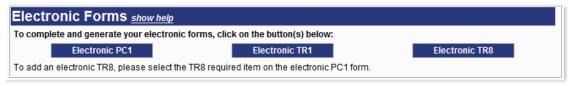


8. After you have selected all Energy Code Progress Inspections needed for this application filing, you must click "Save & Generate Form" to save your information, and generate your TR8 based on the information you selected. Once your electronic form has been generated, you can go back and modify the information you selected until you submit your job for DOB acceptance.

TR8: Technical Report, Statement of Responsibility for Energy Code Progress Inspections

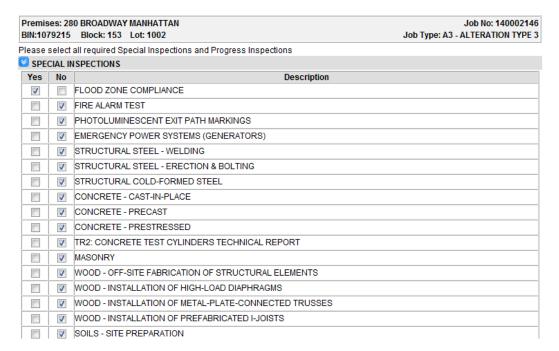


9. Similarly to the PC1 and TR8, to complete your electronic TR1 Technical Report: Statement of Responsibility, click "TR1" in the "Electronic Forms" section of the e-Submit page.



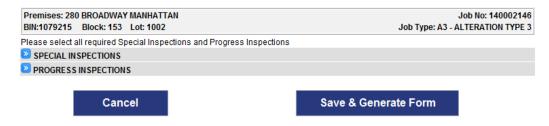
10. Once in the electronic TR1, to add a Special Inspection or Progress Inspection, click "Yes." To remove an Special Inspection or Progress Inspection click "No." "Yes" or "No" must be selected for each item.

TR1: Technical Report, Statement of Responsibility



11. After you have selected all Special Inspections and Progress Inspections needed for this application filing, you must click "Save & Generate Form" to save your information, and generate your TR1 based on the information you selected. Once your electronic form has been generated, you can go back and modify the information you selected until you submit your job for DOB acceptance.

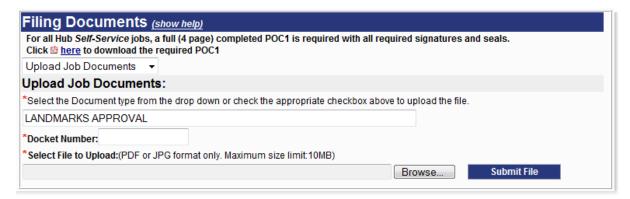
TR1: Technical Report, Statement of Responsibility



Uploading Required Items/Forms/Plans

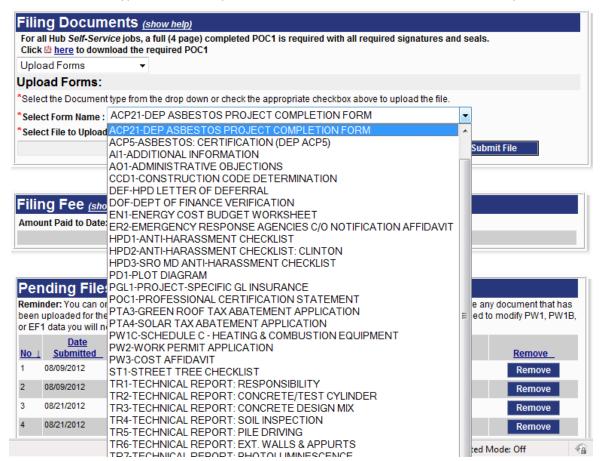
12. To Upload Required Items, select the "Upload Doc" checkbox in the *Required Items* table shown below to prepopulate the document you are uploading in the Filing Documents section. Some required items will require you to provide additional information such as the "docket number" for the "Landmarks Approval".



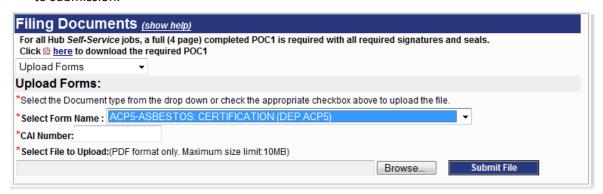


Additionally, note that items that have a '?' where the "Upload Doc" checkbox normally is, are either electronically generated forms (e.g. TR8 in the example shown above) or required items that are also DOB forms (e.g. PW3 in the example shown above). To upload these documents, upload as a DOB form by following the process explained below in step 13.

13. To Upload Forms, select "Upload Forms" in the Select Upload Type section of the e-Submit page. Select a form type from the dropdown list, browse file, and select submit to complete.

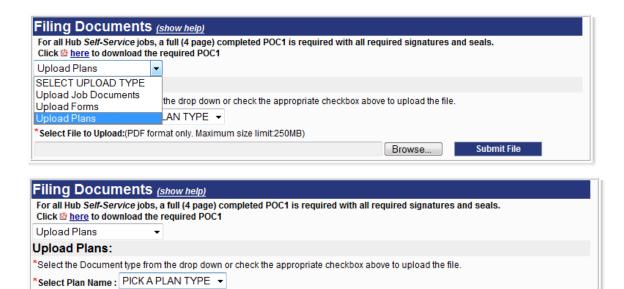


14. Some forms will prompt you to provide additional data including, but not limited to, your license number (TR4, TR5, TR7), CAI number (ACP5), and concrete lab license number (TR2, TR3) prior to submission.



Select File to Uploa PICK A PLAN TYPE

15. To Upload Plans, select "Upload Plans" in the Select Upload Type section of the e-Submit page. Select a "CompletePlanSet" from the Select Plan Name dropdown list, browse file, and click "Submit File" to complete.



ım size limit:250MB)

Submit File

Browse...

All plans must follow the Department's Drawing Standards for Plan/Work Applications, which is available at: http://www1.nyc.gov/assets/buildings/pdf/drawing_standards_08132010.pdf

Please note: The following change to Title Block Standards.

OLD:

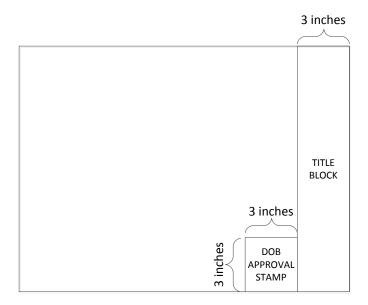
Designated space for DOB employee stamps and signatures (minimum 3" x 3");

If space is not provided within the title block, a minimum of 3" x 3" of clear space must be provided on the lower right hand portion of each sheet.

NEW:

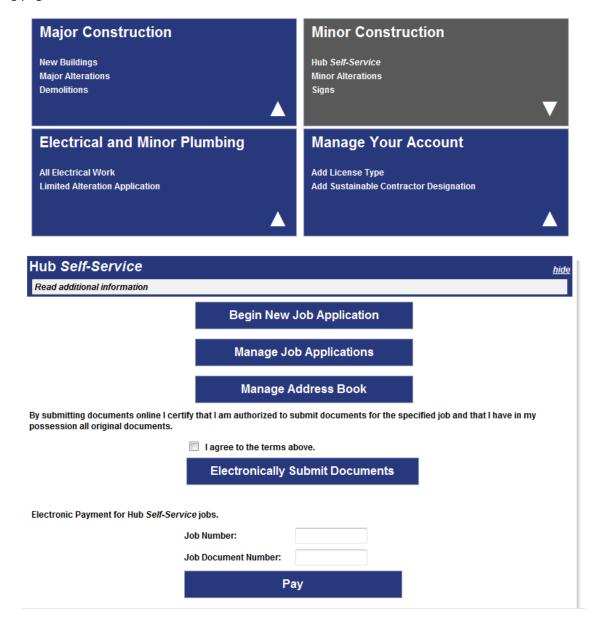
Designated space for DOB approval stamps (minimum 3" x 3");

A minimum of 3" x 3" of clear space must be provided on the lower right hand portion of each sheet. This space must be directly to the left of the title block. All title blocks must be exactly 3" in width. See diagram below for sample:



Making Payments

There are two ways to make an online payment for Hub *Self-Service*: 1) by entering your Job Application Number and Job Document Number and clicking "Pay" under the Hub Self-Service section on the initial landing page:

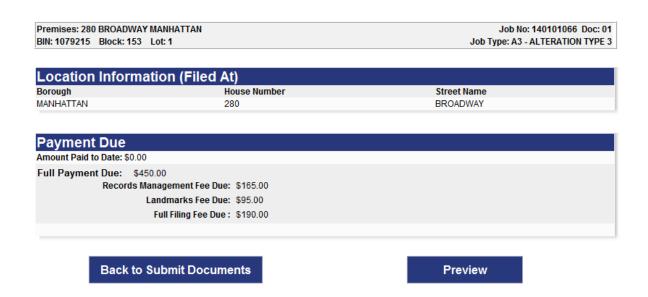


Or 2) click 'Pay Now' in the "Filing Fee" section of the "Electronically Submit Job Documents" page:



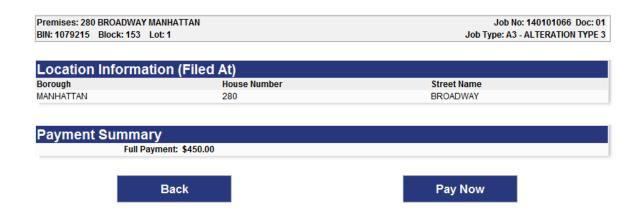
1. The "Job Payment" window should then display. Review your filing fees and click "Preview" to proceed with your payment.

Job Payment



2. The "Job Payment Preview" window should then display. After reviewing your payment, click "Pay Now" to proceed with payment or "Back" to modify your payment.

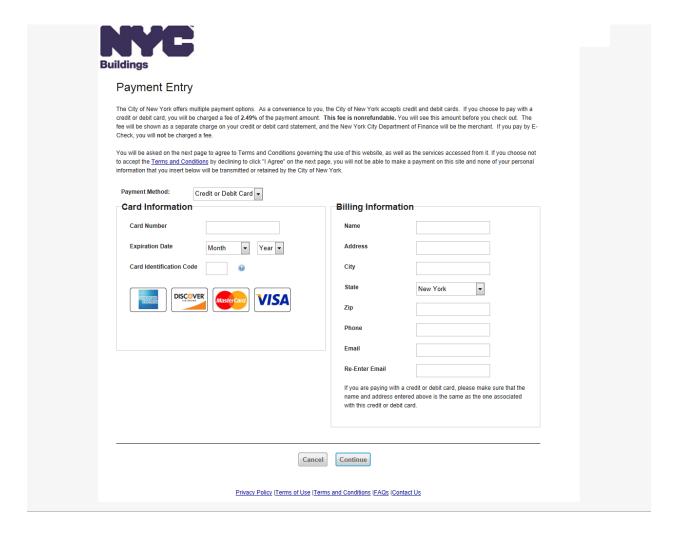
Job Payment Preview



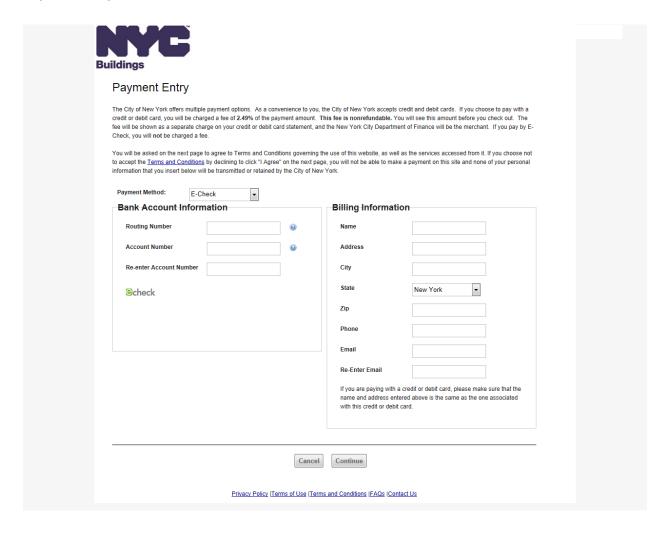
3. To enter your payment information you must first **select** a Payment Method – Credit or Debit Card or E-Check.

Please note: Beginning January 13, 2014, a convenience fee of 2.49% will be added to all payments made by Credit or Debit Card. Payment made by E-Check are not subject to additional fees.

Payment Entry - Credit or Debit Card:

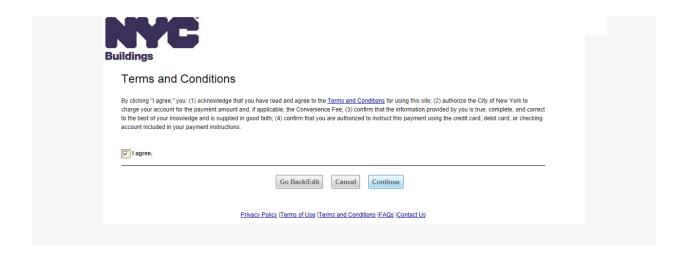


Payment Entry - E-Check:

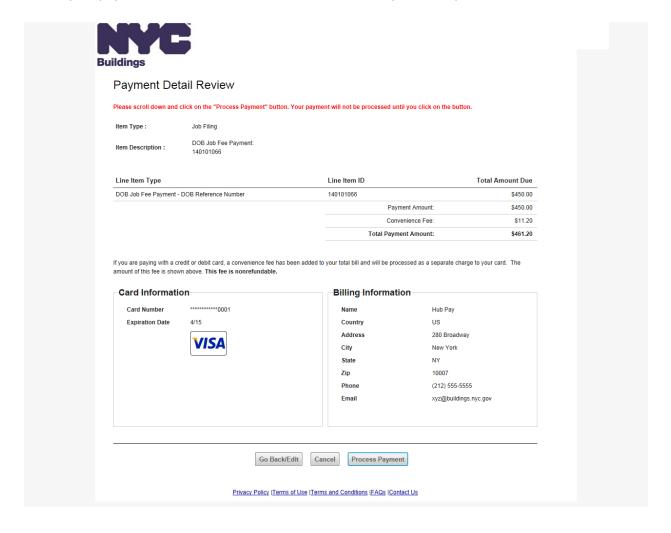


4. Once all required information is filled in, continue to the next step by pressing "Continue."

- 5. Review the Terms and Conditions for electronic payments made to the City of New York. **Select** the "I agree." checkbox to agree to the Terms and Conditions
- 6. **Continue** to the next step by pressing "Continue."

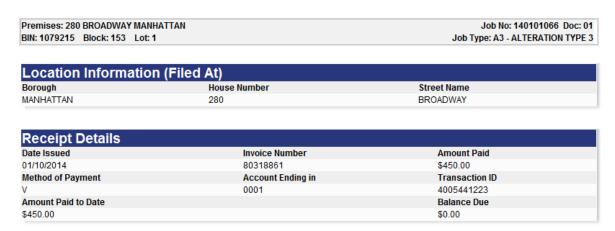


- 7. Review your payment information on the Payment Detail Review page
- 8. If all of your payment information is correct, click "Process Payment" to proceed.



9. When your payment is successfully received, your "Payment Receipt" will display. **Please save** this information for your records.

Job Payment Receipt



Back to eSubmit Documents

Submitting Jobs for DOB Acceptance

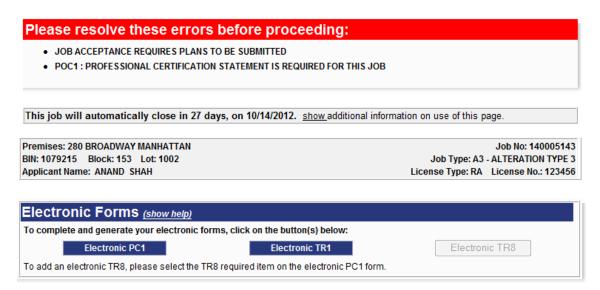
After submitting all required documentation, the user must validate the application and determine if the job is ready to be submitted to DOB. To submit the job for acceptance, please follow the steps described below.

1. Once you have submitted all required documents, you must validate your job to determine if it is ready for submittal. This can be performed by a preparer or the applicant of record.



2. If there are any errors on the application, they will be listed at the top of the page. You must resolve all errors in order to proceed.

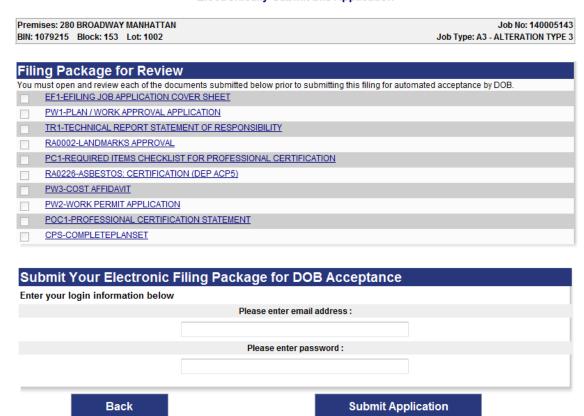
Electronically Submit Job Documents



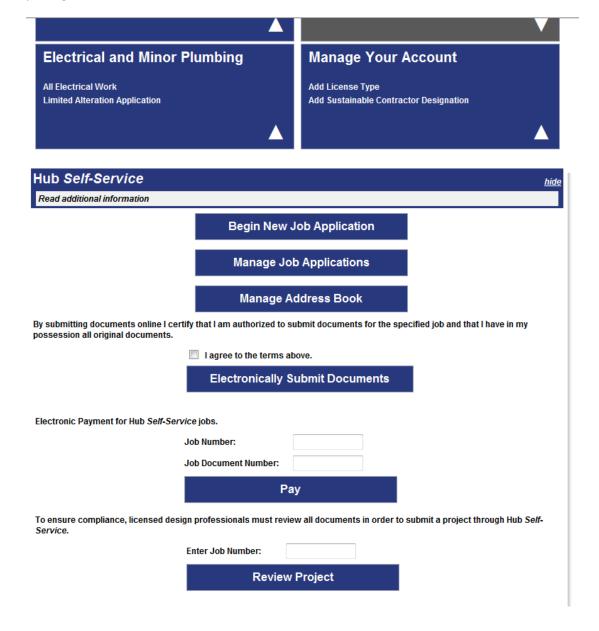
If you are a preparer, once all errors are resolved, you cannot proceed beyond this point and must contact the applicant to record to review all documents in order to submit the application.

3. If all required documents were submitted correctly, and you are logged in as the applicant of record for the job, you will proceed to the "Electronically Submit this Application" page. The Applicant of record must open and review the electronically generated forms required for this job application prior to submitting for automatic acceptance by the Department.

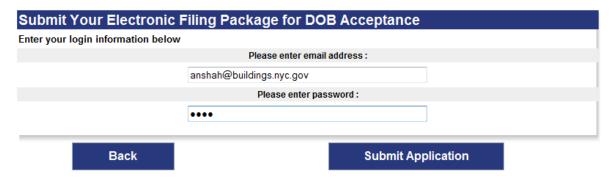
Electronically Submit this Application



As the applicant of record, you can also access your project for review directly from the landing page after logging in. To do so, click the "Minor Construction" box and then expand the "Hub Self-Service" bar. Enter your job number and select "Review Project" to review your final package for review.



4. After reviewing each of the forms, the applicant of record may submit the application using the email address and password with which they enrolled with the Department, and clicking "Submit this Application."



After your application has been processed, and automatically approved, you will return to the eSubmit homepage with the message that your job number has been accepted. Additionally, the applicant of record, owner, and initial preparer of the PW1 will receive an email notification informing them that the job has been accepted, and how the applicant of record can download the accepted set of plans. Be sure to download the DOB accepted set of plans, as they will only be available for 30 days after the job is submitted for acceptance.



07/26/2012 1:13 PM

09/24/2012

140004607 ALTERATION 3 1079215 280 BROADWAY

5. After submittal for acceptance, DOB staff will process your permit, and you will see the permit online within 1 business day.

Note: You have an option to opt-out of submitting a PW-2 form, which would be made available to you in eSubmit before you submit your application to DOB.

Post-Approval Amendment Process

If you need to change any information on your initial filing, such as scope of work, after your job has been accepted though Hub *Self-Service*, you must file a Post-Approval Amendment (PAA) at the DOB borough offices.

For the first PAA filed, applicants must submit a full set of plans to the borough office where your job resides. Any subsequent PAA can be filed under the current process in which applicants must replace only relevant plan sheets as needed.

Contact Information and Troubleshooting

For issues related to registering with DOB or with uploading required documents, contact the DOB Customer Service Call center 212-393 2550

For additional information or to ask questions regarding Hub *Self-Service* please contact <u>HubSelfService@Buildings.nyc.gov</u>.