



DEPARTMENT OF BUILDINGS

EXECUTIVE OFFICES
60 HUDSON STREET, NEW YORK, N.Y. 10013

RU DOLPH L. RINALDI, Commissioner

MARY G. CARR
Assistant Commissioner
Administration
(212) 312-8055

Issuance #326

ADMINISTRATION
POLICY AND PROCEDURE NOTICE #15/91

TO: Distribution
FROM: Mary G. Carr
DATE: November 12, 1991
SUBJECT: Folder Retention at the Borough Offices
(Supersedes Operations PPN #22/89)

Purpose: To amend the Department's policy with respect to the removal of documents from its premise consistent with the provisions of LL #72/91.

Effective: Immediately

Specifics:

Local Law #72/91 requires the registration of all individuals with the Department who present, submit or seek approval of plans or remove documents from its premises. Such registration is not required to review files while on Department premises. This Policy and Procedure Notice therefore sets forth amended procedures for the review of documents on Department of Buildings' premises.

The Department will permit the removal of documents from its Plan Desk files for review but will not allow the removal of those documents from its premises. In order to gain access to the Department's Plan Desk files, applicants must present an acceptable form of identification along with completed requisition slip(s). Acceptable forms of identification are strictly limited to the following:

- Valid Driver's License (valid Out-of-State Driver's Licenses are acceptable);

- Written authorization from the Borough Manager. Such authorization must be date specific and may not be for more than one day at a time. Borough Managers must retain a copy of any/all written authorizations granted.

When documents are removed from the Plan Desk files or record rooms, the following procedures will apply:

1. Each file (document) must have a separate requisition slip.
2. A yellow charge card is to be inserted in the file(s) to replace removed documents. Each document must be returned at the end of the day.
3. Requisition slip(s) along with the form of identification are to be retained by the Borough. A duplicate slip(s) is to be given to the applicant. If the identification is a Non-Employee ID Card, the card number must also be noted on the requisition slip.
4. A maximum of five (5) folders may be removed by the same person at any one time.
5. Identification will not be returned until a) all documents are returned; and b) duplicate slip(s), are compared to requisition slip(s).

In the event that documents removed from the Plan Desk or record room area are not returned by 3:30 PM, the following procedures apply:

1. At 3:30 PM, all unclaimed forms of identification are to be taken by the Plan Desk Supervisor to the Borough Manager's Office.
2. Borough Managers may hold unclaimed identifications for five (5) business days. If the applicant returns the documents within the five day period in which they were removed, he/she must report to the Borough Manager to obtain their identification. The applicant will be required to sign a Statement of Accountability and Accountability and Acknowledgement of Department of Buildings Plan desk Charge Out Policy. (See attachment 1 - Form OP-7.)

3. All unclaimed identifications, must forwarded to the Investigations/Disciplinary Unit, by noon Monday. Applicants will then be required to appear at the Investigations/Disciplinary Unit, 11 Park Place, 2nd Floor, New York, N.Y. 10007 to claim identifications before folder check out privileges are restored.

A sign is to be posted, in clear view, at the Plan Desk indicating the Department's charge out policy as well as the forms of acceptable identification. (See attachment 2.)

The Department of Buildings will provide a Non-Employee Identification Card (yellow), upon the payment of a processing fee of \$10.00, to anyone with valid identification who makes such a request, (i.e., architects, engineers, etc.). These cards do not permit access to any areas in the Department not currently accessible to the general public. (Non-Employee Identification Cards issued to registrants under LL #72/91 are distinguishable from Non-Employee Identification Cards issued for research purpose by their color — green.

To obtain a Non-Employee Identification Card, applicants may schedule an appointment by contacting Ms. Ruth Thomas, of the Personnel Division, at 212-312-8024.

/cr

Attachments

STATEMENT OF ACCOUNTABILITY
AND ACKNOWLEDGEMENT OF DOB
PLAN DESK CHARGE OUT POLICY

1. A maximum of five folders may be checked out.
2. Acceptable ID must be surrendered at the time of check out.
The ID will be retained by the Plan Desk until all folders are returned.

3:30

3. All folders must be returned by (4:30) p.m. on the day they are checked out. Folders may not be retained overnight and may not leave Department of Buildings premises.

I have read and agree to observe the conditions noted above with respect to folder charge out. I acknowledge that I did not return folder/plan _____ on _____ as required.

Appl. #

Date

I am aware that failure to comply with DOB procedures may result in the suspension/withdrawal of charge out privileges at the Plan Desk.

Signed: _____

Applicant

Date

Print Applicant Name

Witness: _____

Borough Manager

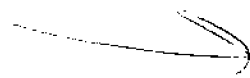
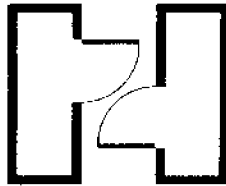
Date

Distribution

Original - I.D.U.

Copy - Applicant

Copy - Borough Files



Handwritten notes:
1/11
to see X
back.
to maintain
try to open
12/10

HAL A. DORFMAN
ARCHITECT

Mr. Barry Cox
Department of Buildings
60 Hudson Street, 14th Floor
New York, NY 10013

December 6, 1991

RE: DOB Policy on Administrative Procedures

Dear Mr. Cox:

I want to relate a problem my employee had at The DOB Brooklyn office this past week. Mrs. Shalini Bhandari was subjected to Nazi SS tactics and investigation procedures.

Mrs. Bhandari works with and solely for my office. On Friday November 29 her responsibility was to have a job folder micro filmed in the morning and meet with the construction inspector between 2 and 4 PM. After micro filming at DRII at 60 Hudson Street (NOTE: the DOB no longer micro films, so the folders' contents must leave the DOB), she then returned to the Brooklyn office to meet with the Inspector Salitiro.

After waiting, for sometime Mrs. Bhandari was informed the inspector would not make his normal required Friday afternoon desk duty. She left the folder for the inspector with Barbara, the construction desk secretary. Barbara gave Mrs. Bhandari a yellow card showing that the construction desk was in possession the DOB folder. She then proceeded to Window One at 2:30 PM to obtain her Registration ID card. The window was closed. (NOTE: Statement of Accountability reveals that folders must be returned by 3:30 PM ---WHY was the window closed?). She looked for posted notice of where to obtain her ID and found none.

Wednesday December 4, Mrs. Bhandari returned to the Brooklyn office, she had no DOB duties until this date, and was met with a large "club". Mrs. Ayer, Deputy Boro Manager said, "You should have gone behind the counter to find someone to return your ID or get it yourself." Well, she was then told to sign the Statement of Accountability or she could not have her ID back. At this point the girl was in tears.

145 WEST 45 STREET
SUITE 1115
NEW YORK, N.Y. 10036
212 764 4337
FAX 212 764 0595

NCARB CERTIFIED
MEMBER NYSA

With the club descending, Mrs. Bhandari signed the form. Following, many calls to the IDU office at 11 Park Place and to Ms. Fink of Mr. O'Brien's Office. All we were told was, "We are awaiting instructions, call after 4PM." After a totally non-productive day, she received an audience with the IDU at 4PM on Thursday.

The two unnamed investigators asked Mrs. Bhandari if she had a lawyer, and that she could stop the questions which were being tape recorded at any time. HOW KIND! She told the truth, and was returned the precious ID card. She responded that this was a very insulting process. The fact that she left the folder with the Brooklyn DOB office made little difference. The written proof she was given from DOB staff was not worth the paper it was printed on.

These policies, or lack there of, appear to be anti free market. They are counter to Mr. O'Brien's stated policy to make the department easier for use by practitioners.

I am pleased to offer the following professional suggestions:

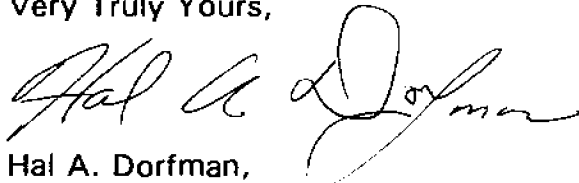
ONE: Spend some time with your own staff, at all levels in each Boro office, to understand how the administrative filing and exam process works. Analyze this information and flow process.

TWO: Meet with the Architects, Engineers, and Filing Rep's to listen, and I mean LISTEN, to what works and what should be changed.

THREE: Train your own employees to be courteous to the public which serve and who provides the fees and tax dollars for their livelihood. WE NEED mutual cooperation to have a productive building department.

One last word; no clerk, plan examiner, or commissioner shares the burden of responsibility for the built structure. This is the sole responsibility of the Registered Architect or Professional Engineer of record. I recommend that the DOB, in its efforts to harmonize the departments operations, work in concert with professional organizations such as the New York Society of Architects and the NYS Society of Professional Engineers. I am pleased to offer any help in the ongoing process to make the operations at the DOB more user friendly.

Very Truly Yours,



Hal A. Dorfman,
Principal

CC/J. Anastasi, Pres., NY Society of Architects
NYS Society of Professional Engineers
W/Encl.

STATEMENT OF ACCOUNTABILITY
AND ACKNOWLEDGEMENT OF DOB
PLAN DESK CHARGE OUT POLICY

1. A maximum of five folders may be checked out.
2. Acceptable ID must be surrendered at the time of check out. The ID will be retained by the Plan Desk until all folders are returned.
3. All folders must be returned by 3:30 p.m. on the day they are checked out. Folders may not be retained overnight and may not leave Department of Buildings premises.

I have read and agree to observe the conditions noted above with respect to folder charge out. I acknowledge that I did not return folder/plan 300094369 on 29th NOV '91 as required.
Appl. # Date

I am aware that failure to comply with DOB procedures may result in the suspension/withdrawal of charge out privileges at the Plan Desk.

Signed: Shalini Bhandari Dec 4 '91
Applicant Date

SHALINI BHANDARI
Print Applicant Name

Witness: [Signature] 12/4/91
DUP. Borough Manager Date

Distribution
Original - I.D.U.
Copy - Applicant
Copy - Borough Files

Folder returned prior to
12/4/91.

[Signature] DUP. Borough Manager
12/4/91.