



COURSE 101

Filing Representative Training

for

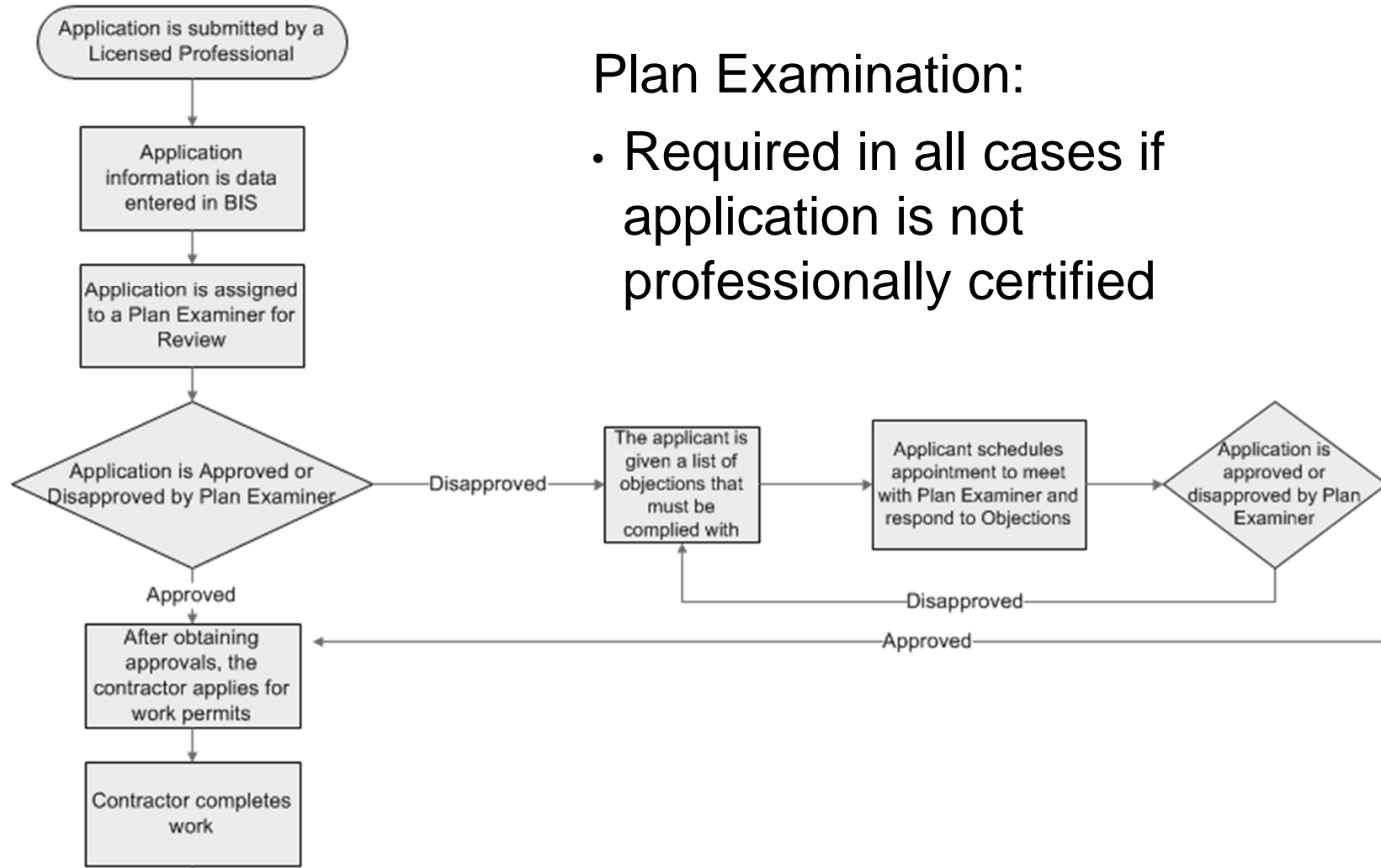
Class 1 Representatives and Class 2 Code and Zoning
Representatives

Includes:

- Process from Initial Filing
- Types – Alt 1, 2 or 3, Signs, BPP, Sprinkler
- Certificates of Occupancy Administrative Code-Article 118
- Construction Permits
- Electrical Permits
- Filing Organization and Strategy

The Process
Initial Filing to
Certificate of Occupancy or
Letter of Completion

Devaughn Morris
Service Manager

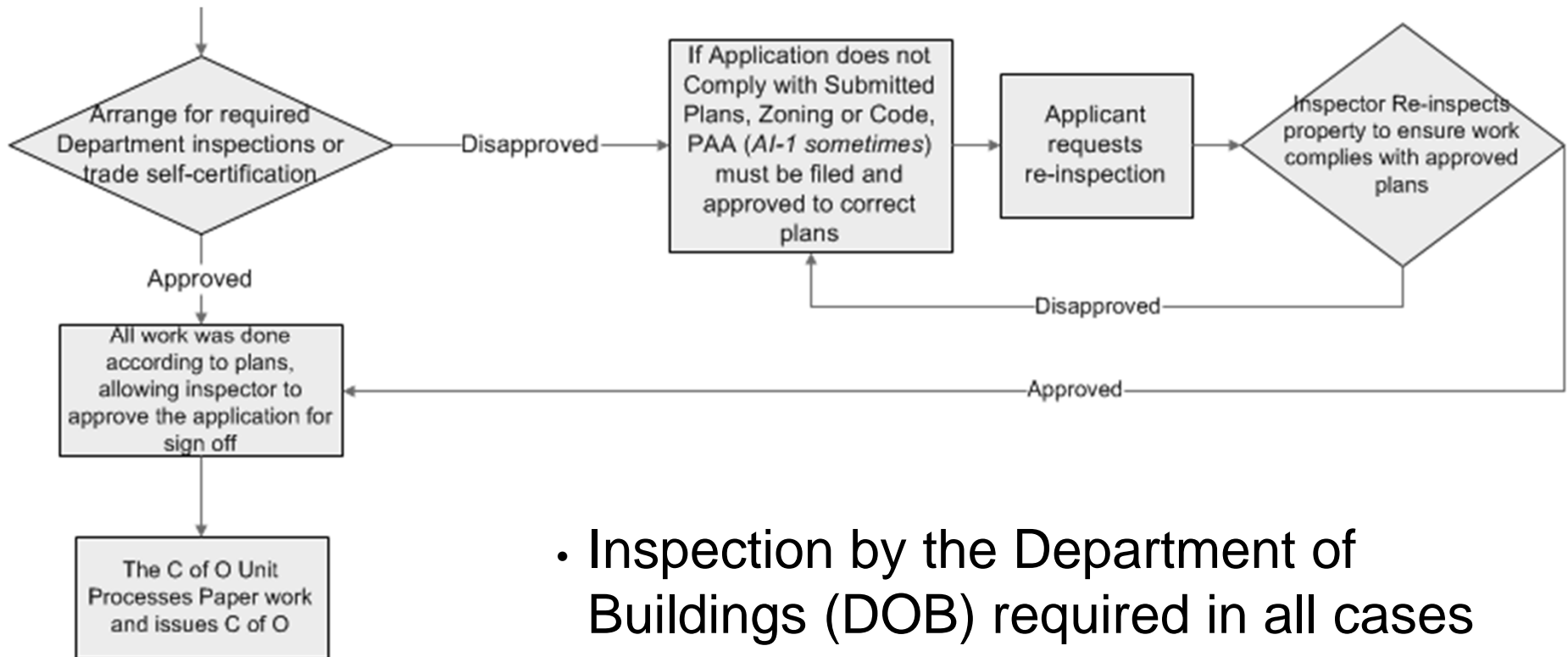


Plan Examination:

- Required in all cases if application is not professionally certified

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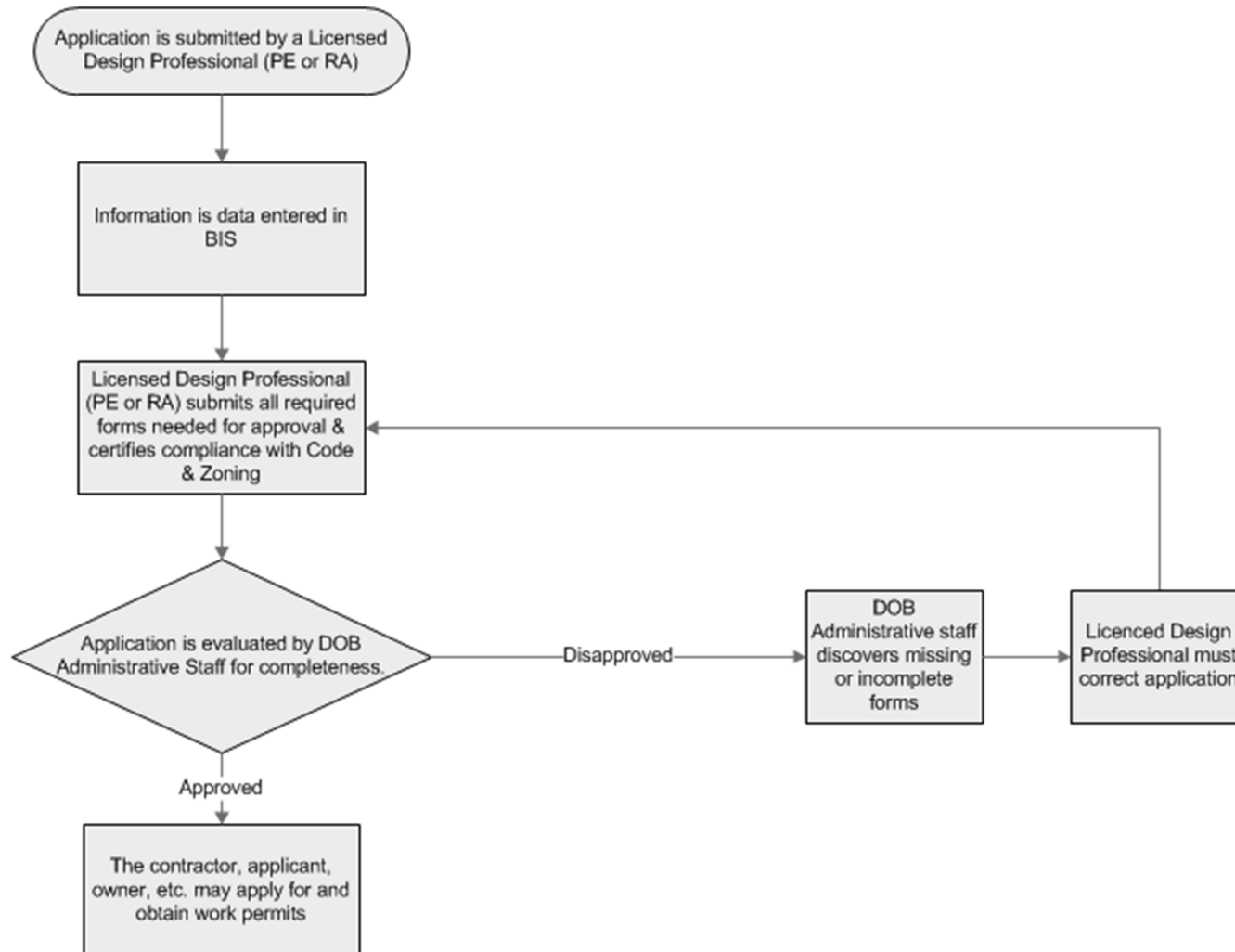
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- Inspection by the Department of Buildings (DOB) required in all cases if application is non-directive 14

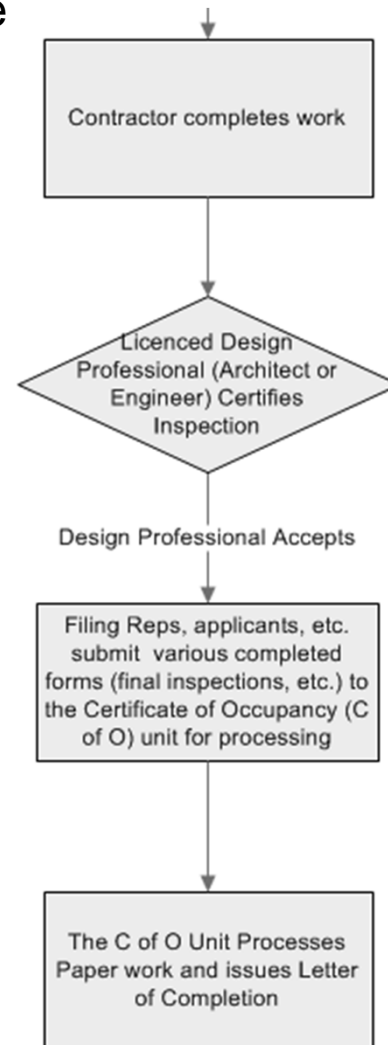
Operations Policy And Procedure Notice #1/04

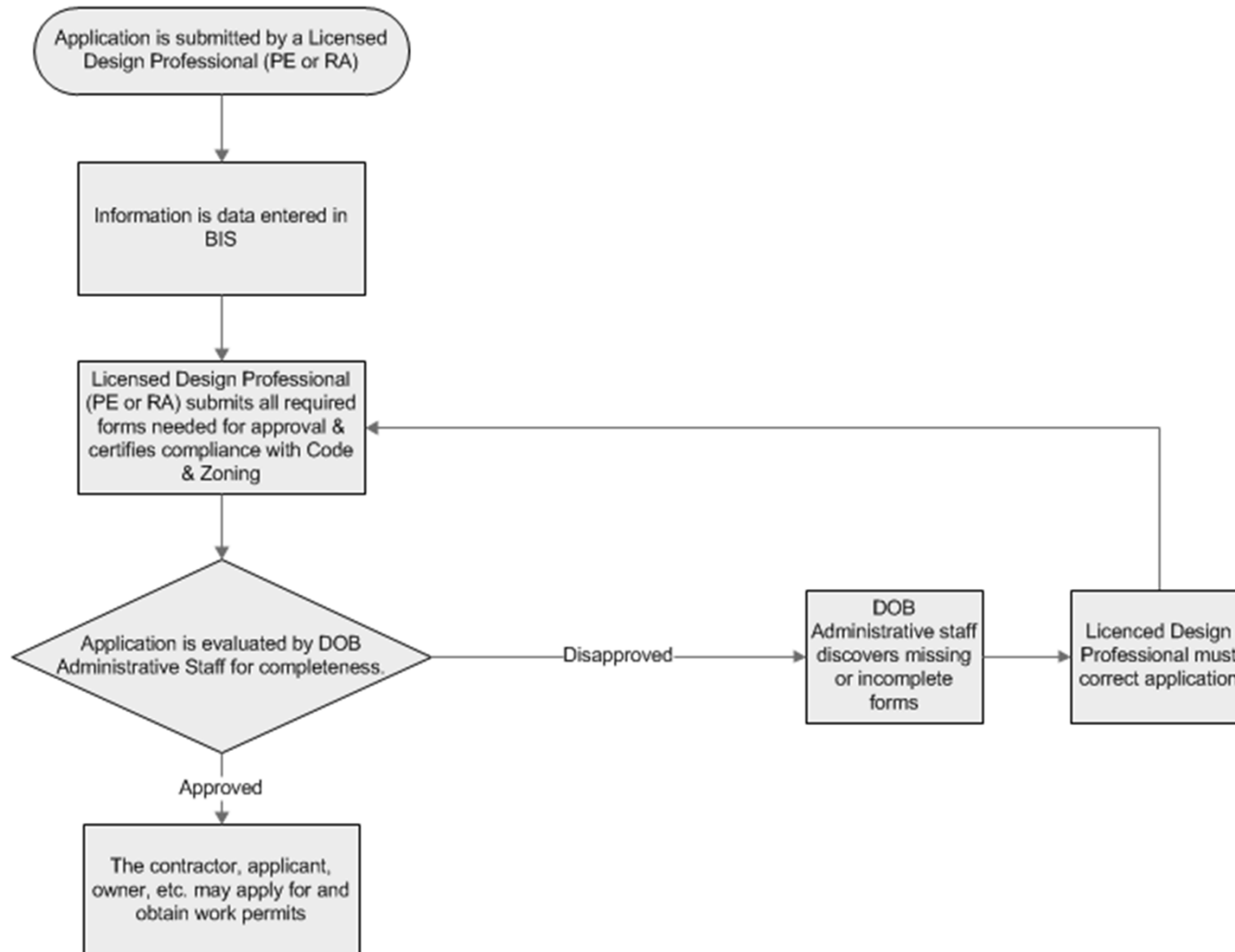
- The Department offers a Professional Certification (Pro-Cert) Program which enables Registered Architects (R.A.s) and Professional Engineers (P.E.s) to certify that the plans they file with the Department are in compliance with all applicable laws
- This reduces the amount of time a builder normally has to wait for a DOB permit by eliminating the process of Department examination and approval of the plans.



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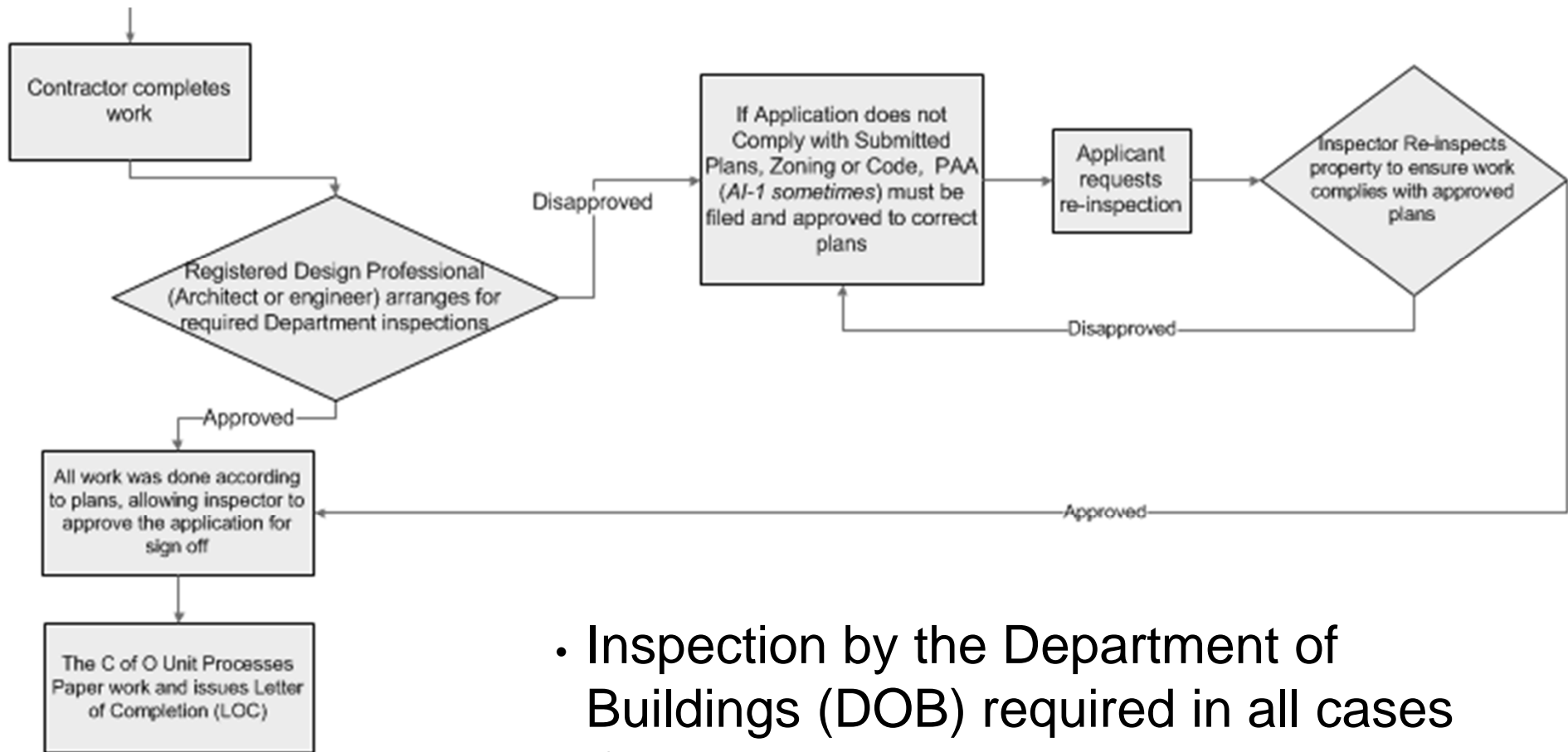
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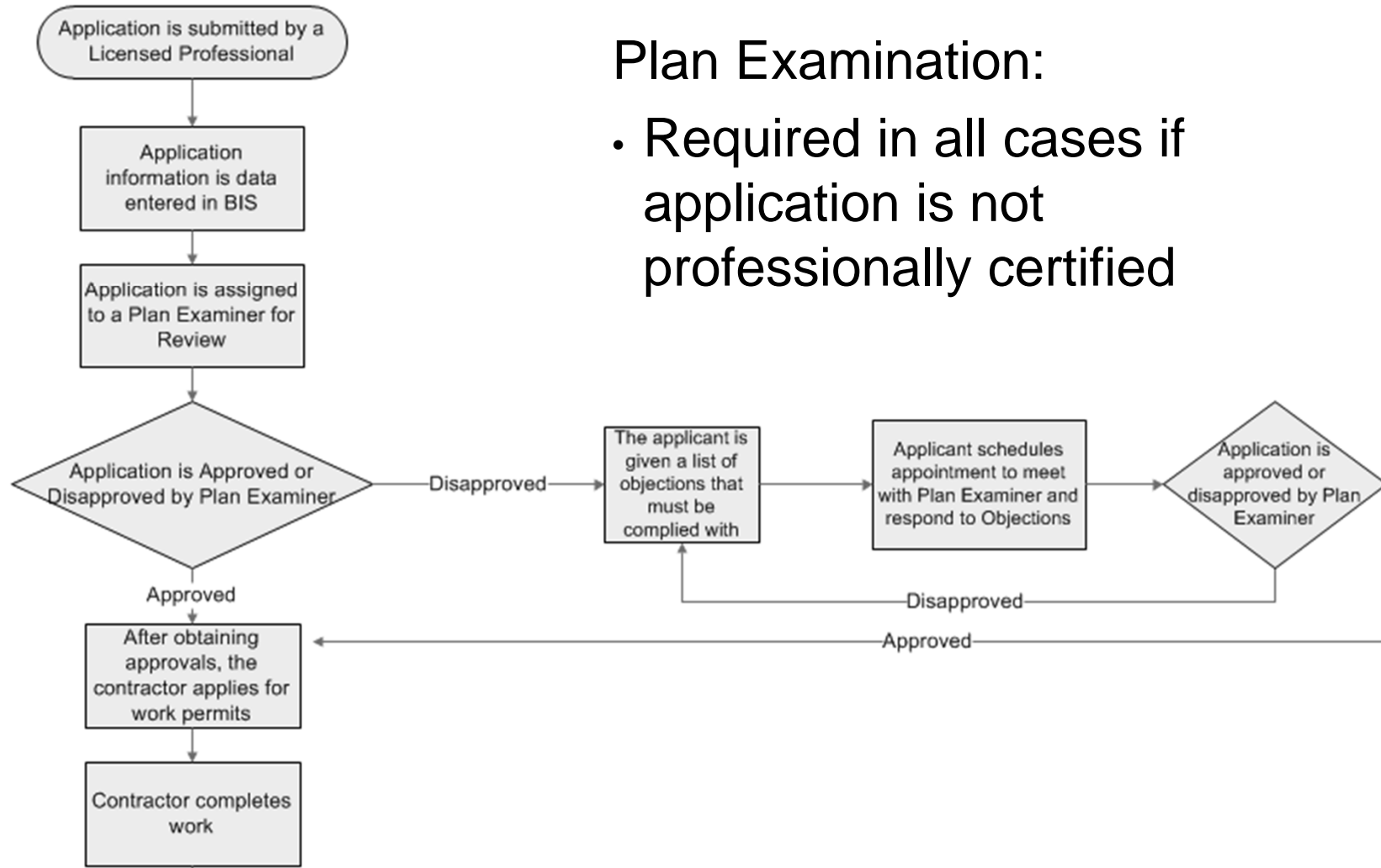


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- Inspection by the Department of Buildings (DOB) required in all cases if application is non-directive 14

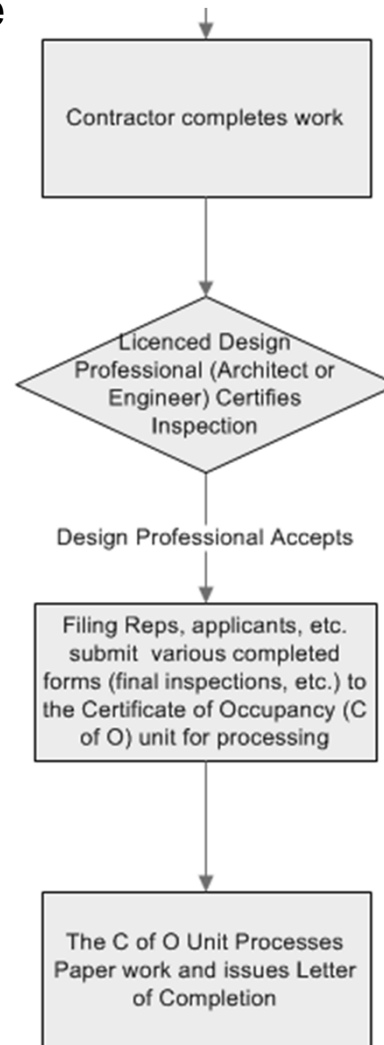


Plan Examination:

- Required in all cases if application is not professionally certified

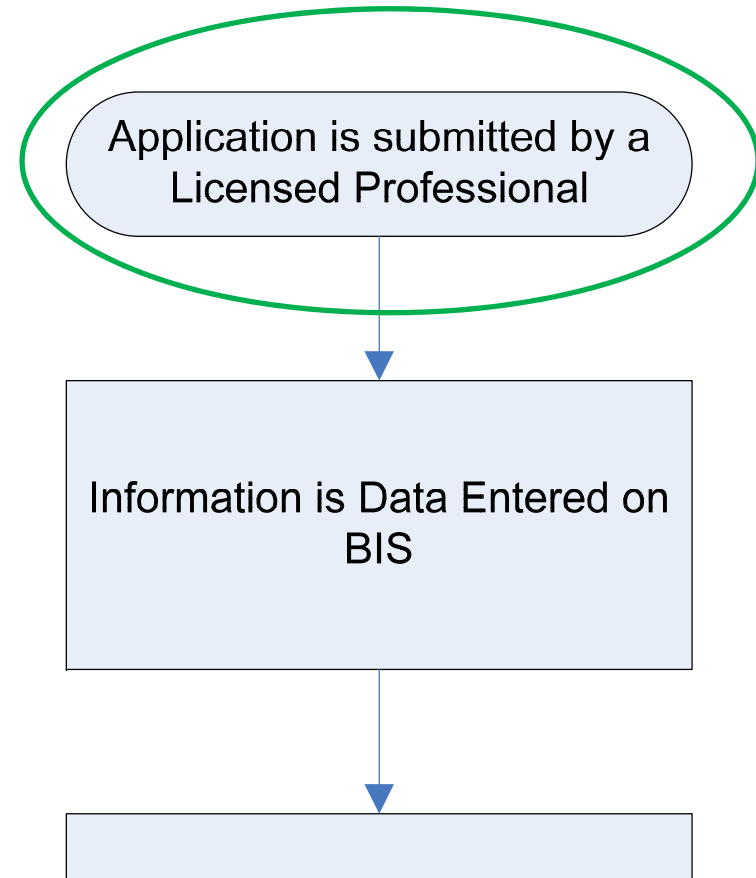
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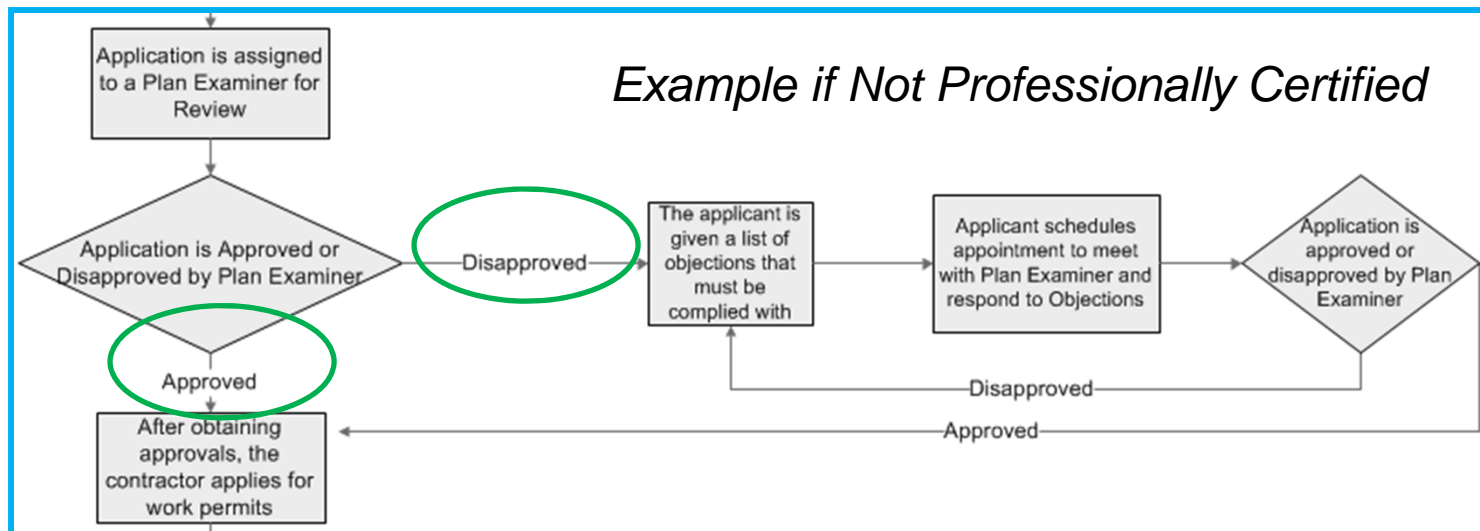


- Tickets are issued to help organize and streamline visits to the Department of Buildings by filing representatives, applicants of record, owners and others
- Tickets reserve your spot in the queue for visiting the various units in the Borough Office

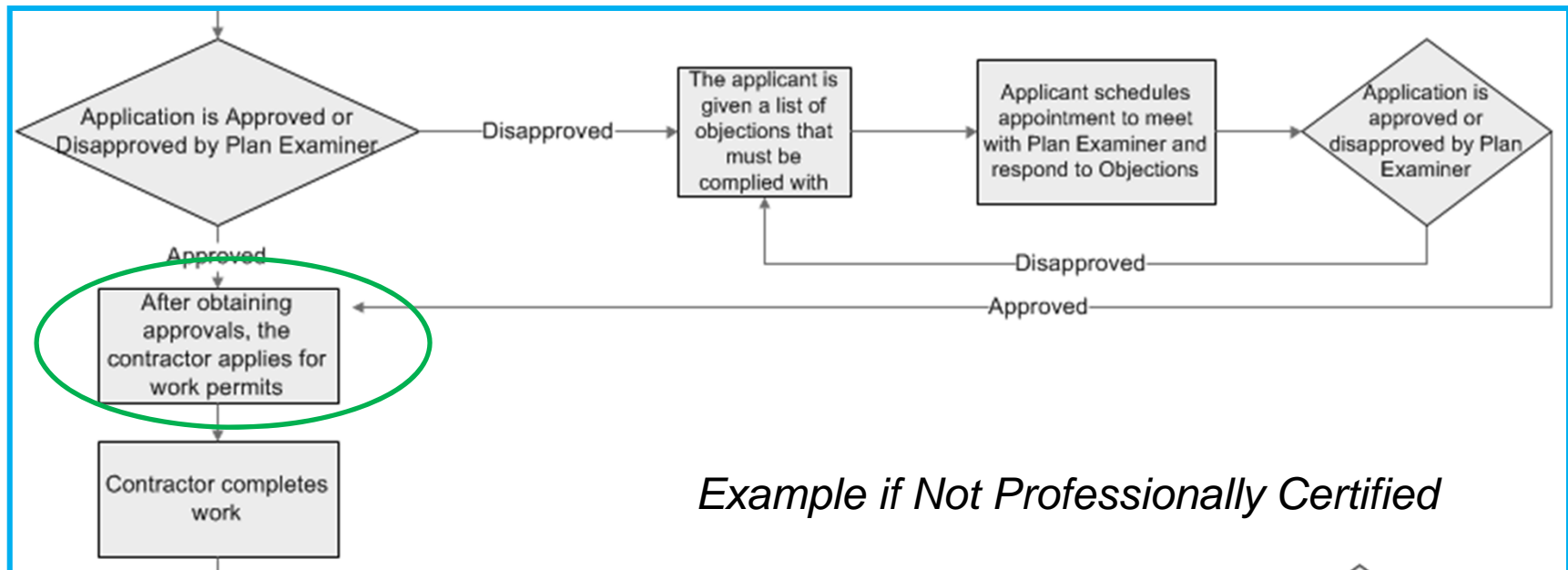
- Application is submitted by a Licensed Professional
 - Use G or H Ticket

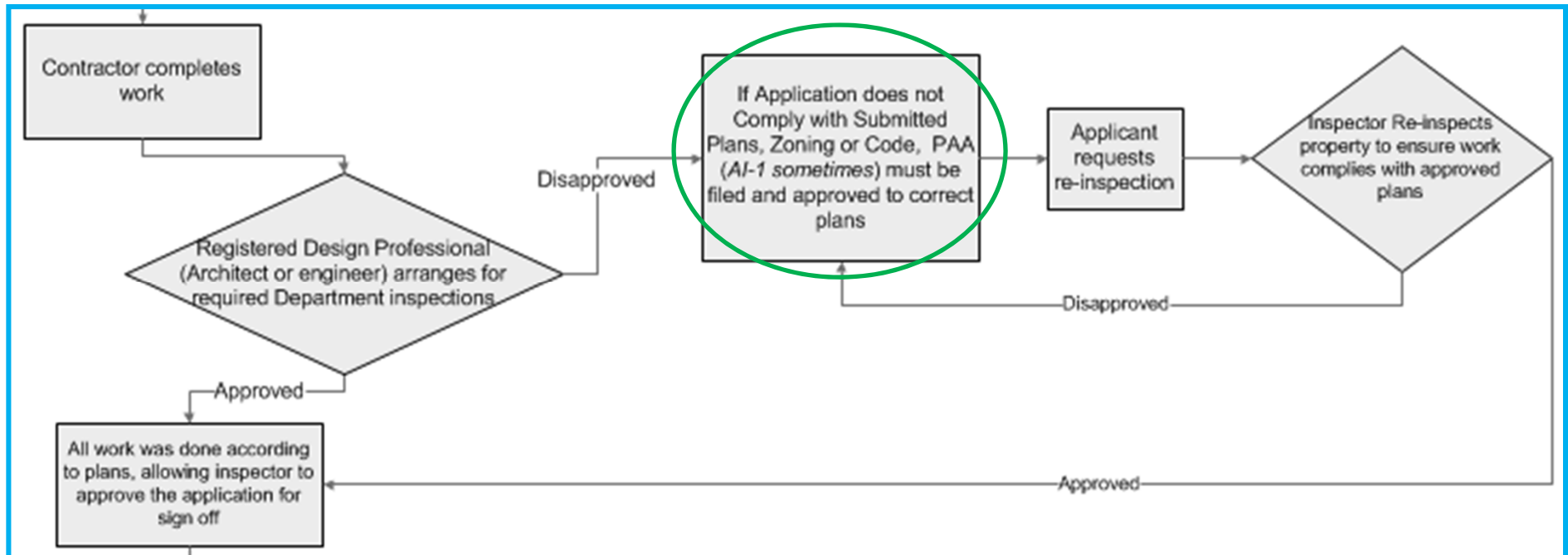


- Picking up Approved and Disapproved applications from the Record Room
 - Use J Ticket



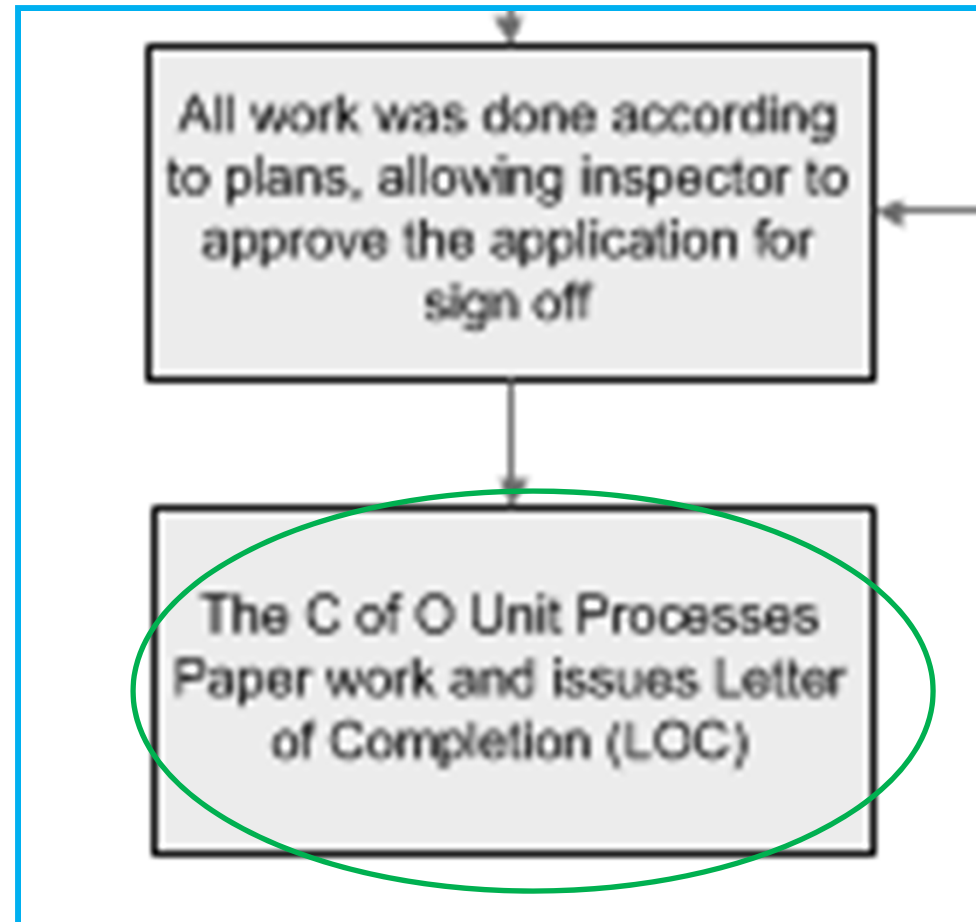
- After Plan Exam approval the Contractor applies for permits
 - Use A or B Ticket





- If work does not comply with submitted approved plans and a PAA must be filed
 - Pay fee for PAA using an E ticket

- After all work passes inspections you may apply for the Certificate of Occupancy / LOC
 - Use C Ticket



- A-Ticket: Application Processing - DEAR, Permits, Corrections
- B-Ticket: Priority Application Processing – DEAR, Permits, Corrections
- C-Ticket: Certificate of Occupancy, Letters of Completion
- D-Ticket: Electrical
- E-Ticket: Express Cashier – Payments, Variances

- F-Ticket: Plumbing
- G-Ticket: Priority Fast track – Pre-filing
- H-Ticket: Fast Track Application – Pre-filing
- I-Ticket: ECB/ Manuals/ Reinstatements
- J-Ticket: Record Room – Plan Desk, Microfilm, Folders

Thank You!

Application Types and their Requirements

NB, Alt-1,2 or 3, signs, BPP, subdivisions,
Places of Assembly, and Zoning Challenges

Anthony Pollicino
Project Advocate

Code and Zoning Representative
Training Module 2.4

We will discuss the following:

- Applications types
- Forms
- Filing process
- ZD1 -Zoning Diagram, related to Public Zoning Challenge
- Applications that do not require RA's or PE's to file



New Buildings (NB)

- Residential
- Commercial and other building types
- Accessory Buildings – eg. garages, storage bldg.

Alteration Type 1 (Alt1)

- Changes to Egress
- Changes to Building construction classification
- Changes to the zoning metes and bounds
- Changes Occupancy classification or occupancy count
- *Basically, any changes to an existing building that impact the current C of O*

Alteration Type 2 (Alt2)

- Alteration not affecting legal occupancy or egress

Alteration Type 3 (Alt3)

- Minor construction work involving one work type (no plumbing, etc.)

Sign (SG)

- Wall signs, Projecting signs

Note: sign structure is filed under separate application

Place of Assembly (PA)

- An enclosed / confined space with an occupant load of 75 people or more.
- An confined- open space with an occupant load of 200 or more people

Subdivision (SI)

- Tax lots
- Condominiums

Demolition (DM)

NB and Alt1 Applications

- OT – General construction
- PL – Plumbing
- BL – Boiler
- MH – Mechanical
- FP – Fire Suppression
- SP – Sprinkler
- SD – Standpipe
- CC – Curb Cut (only one c/c)
 - Note: Typically, curb cuts are filed separately under a BPP application.
- EQ – Fence or Sidewalk Shed or Scaffolding

Alt2 – Alteration

- OT – General Construction
- PL – Plumbing
- SD – Standpipe
- SP – Sprinkler
- BL – Boiler
- FB – Fuel Burning
- FS – Fuel Storage
- MH – Mechanical
- FP – Fire Suppression
- FA – Fire Alarm

Alt3 – Alteration 3

Note :only one work type is allowed!

- OT – GC
- CC – Curb Cut (only one c/c)
- OT – Other (specify)
- OT/ BPP – Builder Pavers Plan
- OT/ FPP – Fire Protection Plan
- OT/ MAR – Marquee
- OT/ ANT – Telecom Antenna
- EQ - Fence or Sidewalk Shed or Scaffolding

Sign (SG)

- OT – Sign

PA (Public Assembly), SI (Subdivision) & DM (Demolition)

- There are no work types, these are application types

NB and Alt 1

- PW1 – Job description and misc. information
- PW1A – Schedule “A” – Occupancy / Use
- PW1B – Plumbing work – schedule “B”
- PW1C – Boiler work – schedule “C”
- PW3 – Cost affidavit
- ACP5 – Performed by certified licensed asbestos investigator
Work involves minor non–asbestos work or all asbestos was removed.
- EN1 – Energy Cost Budget Worksheet
- TR1 – Special Inspections (when applicable other special
inspections will be required – e.g. TR2,TR3,TR4, TR5, TR8, etc.)
- PD1 – Plot diagram
House Number verification
- Zoning Lot certification
- ZD1 – Zoning diagram
- Other Outside agency approvals –
e.g., DEP Sewer Connection, FDNY, Landmarks, Public Design Commission, etc.

Alt2 – Alteration

- PW1 - Initial application
- PW3 - Cost affidavit
- ACP5 - Asbestos certifications
- TR1 - Special Inspections (when applicable other Special & Progress inspections will be required – e.g. TR2,TR3,TR4, TR5, etc.)
- ZD1 - Zoning Diagram (req'd when addition is proposed)
- Outside agency(s) approvals – (e.g. DEP, FDNY, Landmarks, Public Design Commission, etc.)

Alt3 – Alteration (only one work type allowed)

- PW1 - Initial application
- ACP5 - Asbestos certifications
- TR1 - Special Inspections (when applicable other special & Progress inspections will be required – e.g. TR2,TR3,TR4, TR5, etc.)
- Outside agency(s) approvals – (e.g. DEP, FDNY, Landmarks, Public Design Commission, etc.)

Sign application

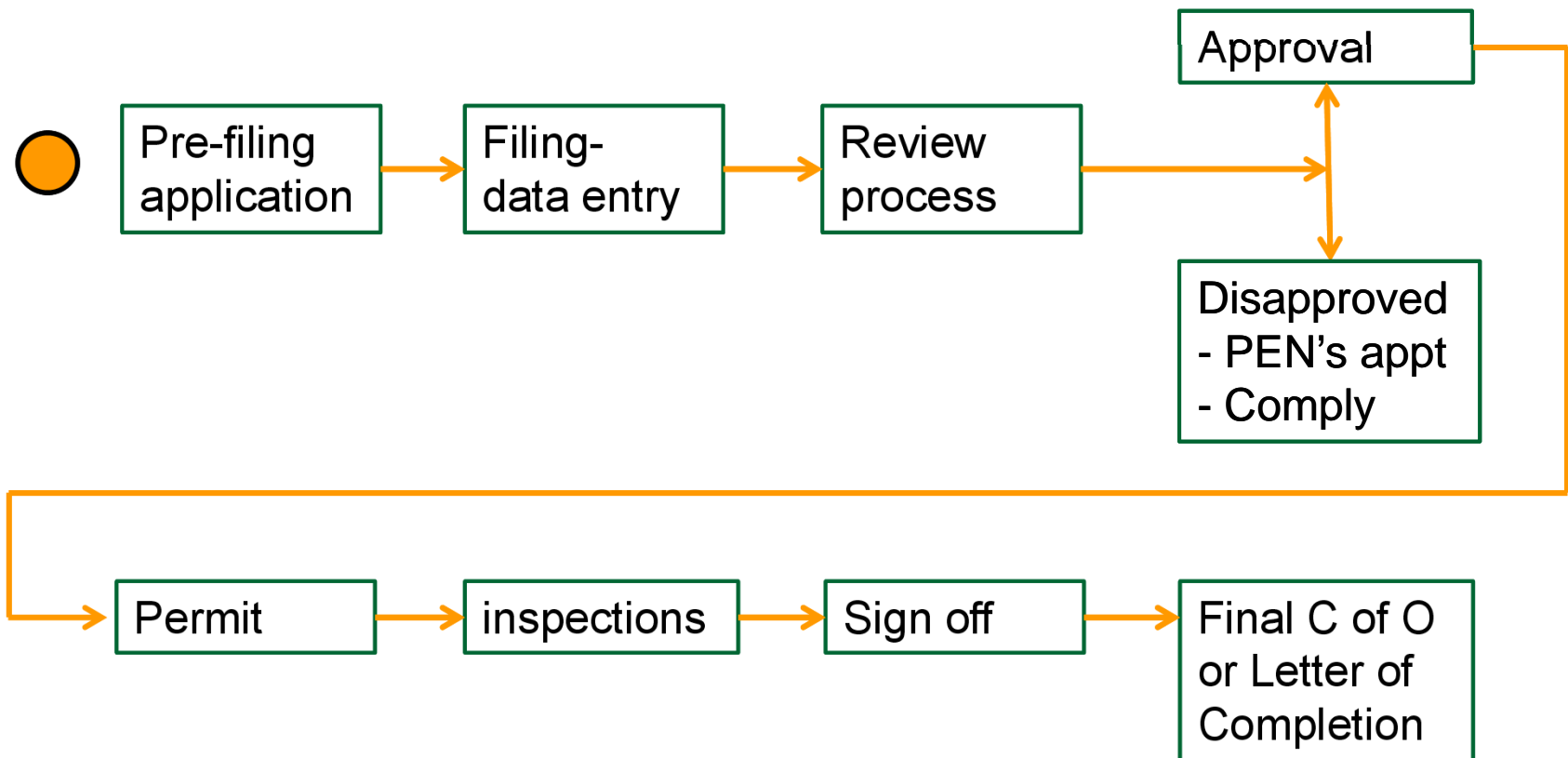
- PW1 – Initial form
- ACP 5 – Non asbestos certification
- TR1 – Special Inspections – e.g. high strength bolts

Subdivision application

- PW1 – Initial form
- RP602 – DOF – land Tax lot
- RP602c – DOF – condominium tax lot
- Other agencies – attorney General condo offering plan

PA application

- PA1 – Initial form



PW-1 5-pages Plan and work application:

- This form is required for all NB, alt 1, 2, 3, sign applications.



1 Location Information Are plans being submitted?

House # (s) _____

Borough _____

Work on Floor(s) _____

2 Applicant Information

Last Name _____

Business Name _____

Business Address _____

City _____

E-Mail _____

Choose one: P.E.

3 Filing Representative

Last Name _____

Business Name _____

Business Address _____

City _____

E-Mail _____

4 Filing Status *Required to*

Choose only one:

Initial Filing 5, 7, 11, 12A, 2

Standard Plan Examinatic

Professional Certification

Professional Certification

5 Job/Project Types *Choc*

Alteration Type 1 or Alterat

to meet New Building requi

6A-E, 8B-C, 9-10, 12, 13C-F,

PW 1A, PD 1

Alteration Type 1, OT: "No"

12, 13C-F, 14, 18-19, 22, PW

6 Work Types *Select all th*

6A BL - Boiler PW 1C

FA - Fire Alarm

FB - Fuel Burning PW 1C

6B EQ - Construction

Equipment 75

PW1

7 Plans/Consr

Are plans being sub

8 Additional In

8A W/T Cost _____

9 Additional C

9A Review is requ

Yes No

9B Alterati

require

Alterati

9C Façade

Adult E

Compe

Low Inc

Single f

Filing in

9D Landm

Little "E

Unmap

Request

without

Other (

CRFNC

CRFNC

9E BSA C

9F CPC C

9G Work in

9H Work in

Work in

9J Structu

9K Work in

9L Work in

Structu

10 NYCECC Cor

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Code Com)

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FA, FP, SD

This is a po

11 NYCECC Cor

To the best of m

Code Com)

Energy Anu

To the best of m

one of

The work is

The scope

The entire s

FA, FP, SD

This is a po

11 Tax Lot Char

Original tax lot _____

Tentative tax lot _____

PW1

11 Job Descript

12 Zoning Char

12A District(s) _____

Overlay(s) _____

Special Dist(s) _____

Map Number _____

12C Proposed: Us

Proposed To

Existing T

*Use can be om

13 Building Cha

13A Primary structur

13B Structural Occ

Seit

13C Occupanc

Construct

Multiple Dwell

13F _____

The earliest co

Not Applicable

14 Fill Choose o

Not Applicable

15 Construction

Chute

Fence

Supported Coat

17 Tax Lot Char

Original tax lot _____

Tentative tax lot _____

PW1

19 Open Spac

Plaza Area _____

Parking Area _____

Loading Berth _____

20 Site Charac

Yes No

Tidal

Coast

Fire C

21 Demolition

Yes No

21A Demc

Mech

Mech

21B Demc

The s

22 Asbestos A

The scope of t

DEP ACP-5 C

The scope of t

or is an alter

23 Sign

Purpose:

Advertising

Non-Advertisi

Location: O

Yes No

Is si

Des

Doe

W/B

W/B

if an ad

24 Comments

PW1

25 Applicant's Statements and Signatures *Required for all applications.*

26 Property Owner's Statements and Signatures

I am the sole owner of this property and I am not a partner, joint venturer, or co-owner in any other business enterprise.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

26A Condo/Co-Op Board *See note in bottom left corner of page.*

Name (please print): _____

Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

E-Mail Address: _____

Signature and Date: _____

26B Lessee Responsible for Annual Sign or Marquee Permi

Name (please print): _____

Relationship to Owner: _____

Business Name/Agency: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

E-Mail Address: _____

Signature and Date: _____

26C Applicant's Statements and Signatures *Required for all applications.*

I am the sole owner of this property and I am not a partner, joint venturer, or co-owner in any other business enterprise.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

26D Property Owner's Statements and Signatures

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I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

26E Condo/Co-Op Board *See note in bottom left corner of page.*

Name (please print): _____

Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

E-Mail Address: _____

Signature and Date: _____

26F Lessee Responsible for Annual Sign or Marquee Permi

Name (please print): _____

Relationship to Owner: _____

Business Name/Agency: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

E-Mail Address: _____

Signature and Date: _____

26G Applicant's Statements and Signatures *Required for all applications.*

I am the sole owner of this property and I am not a partner, joint venturer, or co-owner in any other business enterprise.

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I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

26H Property Owner's Statements and Signatures

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I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

I am a partner, joint venturer, or co-owner in a business enterprise and I am not the sole owner of this property.

26I Condo/Co-Op Board *See note in bottom left corner of page.*

Name (please print): _____

Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

E-Mail Address: _____

Signature and Date: _____

26J Lessee Responsible for Annual Sign or Marquee Permi

Name (please print): _____

Relationship to Owner: _____

Business Name/Agency: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

E-Mail Address: _____

Signature and Date: _____

PD1

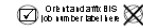
1-page

Plot Diagram:

- Must contain a drawn plot diagram, with metes and bounds and related north arrow.
- House number and topography stamp is required.



PD-1: Plot Diagram



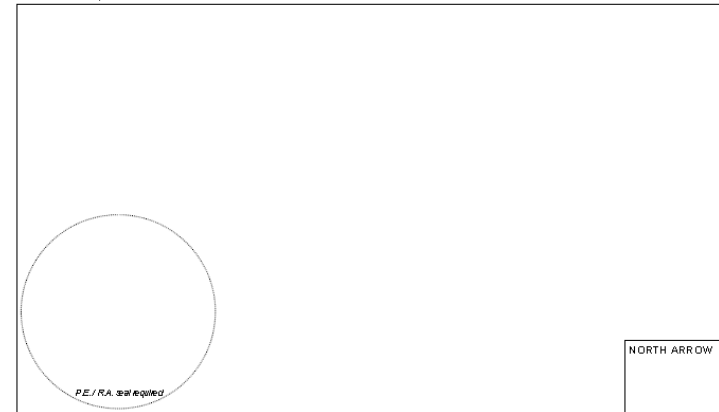
Must be typewritten.

1 Location Information

House N(x)	Street Name
Borough	Block Lot BIN C.B. No.

2 Plot Diagram of Zoning Lot

Plot Diagram must show the correct street lines from the City Plan; the plot to be built upon in relation to the street lines and the portion of the lot to be occupied by the building; the legal grades and the existing grades, properly identified, of streets at nearest point from the proposed buildings in each direction; the House, Lot, Block and Lot Numbers. Indicate dimensions of total tax lots.



3 Description of Land and Premises

The zoning lot on which the premises is located is bounded as follows:

BEGINNING at the point on the	side of	distant	feet
of the corner formed by the intersection of			
running thence	feet; thence	feet; thence	feet; thence
thence	feet; thence	feet; thence	feet; thence
thence	feet; thence	feet; thence	feet; thence
thence	feet; thence	feet; thence	feet; thence
thence	feet; thence	feet; thence	feet; to the point of beginning.

4 Applicant's Statement and Signature

Falsification of any statement is a misdemeanor under § 29-203.1, Item 1, and 29-11.1 of the NYC Administrative Code and is punishable by a fine, or imprisonment, or both. It is unlawful to give to a city employee, or for a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both.

Applicant Name _____ Signature _____ Date _____

PW-3

2-pages

Cost Affidavit:

- Itemized cost break-down.
- Submitted at time of filing.
- A final cost affidavit will be required at time of sign off.



1 Reason For Filing *Required for all applications:*

Reason for filing cost affidavit: Cost

Initial Filing 2-7 Esti

Prior to Approval Action 1A, 2-7 Esti

Post Approval Amendment (PAA) 1A, 2-7 Esti

To obtain Sign-off 2-3, 5, 7 Act

2 Location Information *Required for all applications:*

House No(s) Street Name

Borough Block

3 Cost Details *Required for all applications.*

Cost estimates shall include total value of work proposed and labor, work shall include all construction elements including indirect costs, including but not limited to general overhead reflected in the unit costs shown. If in the opinion of the Designer, you cannot show detailed estimates to meet the approval of the Department, you must specify for each "Category of Work" its "No" must be specified for each "Category of Work" its

Categories of Work *(Must match all applicable categories)*

Yes	No	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Category of Work*	Description of Work

*Use ALL Categories of Work specified "Yes" above. Use as a sample of completed Section 3 Cost Details.

PW3 PAGE 2

4 Design Applicant Information

Last Name	First Name	Middle Initial
Business Name	Business Phone	Business Fax
Business Address	Mobile Phone	
City	State	Zip
License Number	E-Mail	
Choose One: <input type="checkbox"/> P.E. <input type="checkbox"/> R.A. <input type="checkbox"/> Sign Hanger <input type="checkbox"/> Other (specify)		

5 Owner/Lease Holder Information

Last Name	First Name	Middle Initial
Business Name	Business Phone	Business Fax
Business Address	Mobile Phone	
City	State	Zip
E-Mail		

6 Design Applicant's Statements and Signatures

I hereby state the information on this form is correct and complete to the best of my knowledge. I understand the information of any statements is a misdemeanor and punishable by a fine, imprisonment or both. I also understand the violation to give a city employee, or for a city employee to accept any benefit, monetary or otherwise, either as a gratuity for properly performing the job or a bribe for special consideration. Violation is punishable by imprisonment for five or both. I understand that I am not permitted to have knowledge or register to make a false statement or to have knowledge or register to be made or allowed to be made any contract, form, signed statement, application, report or certificate of the completion of a violation required under the provisions of the code or a risk or a violation, may be taken from this form application or documents with the Department.

Name (print) _____ Signature _____ Date _____

P.E. / R.A. Seal *(Apply seal, then sign and date over seal)*

7 Owner's/Lease Holder's Statements and Signatures *Notary only required when submitting to obtain sign-off.*

I hereby state the information on this form is correct and complete to the best of my knowledge. I understand the information of any statements is a misdemeanor and punishable by a fine, imprisonment or both. I also understand the violation to give a city employee, or for a city employee to accept any benefit, monetary or otherwise, either as a gratuity for properly performing the job or a bribe for special consideration. Violation is punishable by imprisonment for five or both. I understand that I am not permitted to have knowledge or register to make a false statement or to have knowledge or register to be made or allowed to be made any contract, form, signed statement, application, report or certificate of the completion of a violation required under the provisions of the code or a risk or a violation, may be taken from this form application or documents with the Department.

Name (print)	Notarization State of New York, County of	Notary Seal
Signature	Suom to or affirmed under penalty of perjury	
Date	day of 20	Notary Public Signature

Internal Use Only			
Work Area	PW3 Cost Details Validation	Comments (May include cost guidance.)	Initials
Plan Examination:	<input type="checkbox"/> Accept Original <input type="checkbox"/> Revised Cost Needed		
C of O:	<input type="checkbox"/> Accept Original <input type="checkbox"/> Revised Cost Needed		
Plan Examination/C of O:	<input type="checkbox"/> Accept Revised Submission (Resolved)		

PW-1A

2-pages

Schedule A :

- Required for new buildings and alteration 1 applications.
- Buildings with existing cofo require existing floors/ loads and uses to be indicated on the schedule A.



PW1A: Schedule A - Occupancy / Use

Grant and affix B.C. job number label here

Must be type written.

Sheet _____ of _____

Floor	Existing Legal Use			Building Code Occupancy Group(s)	Dwelling/ Rooming Units (B.C.)	Zoning Use Group(s)	Proposed Use						
	Maximum Number of Persons	Live Load (psf)	2014 Code Designations?				Maximum Number of Persons	Live Load (psf)	2014 Code Designations only*	Building Code Occupancy Group(s)	Dwelling/ Rooming Units (B.C.)	Zoning Use Group(s)	
			<input type="checkbox"/> Yes <input type="checkbox"/> No						<input checked="" type="checkbox"/> Yes				



PW1A: Schedule A - Occupancy / Use

Grant and affix B.C. job number label here

Must be type written.

Sheet _____ of _____

Floor	Existing Legal Use			Building Code Occupancy Group(s)	Dwelling/ Rooming Units (B.C.)	Zoning Use Group(s)	Proposed Use						
	Maximum Number of Persons	Live Load (psf)	2014 Code Designations?				Maximum Number of Persons	Live Load (psf)	2014 Code Designations only*	Building Code Occupancy Group(s)	Dwelling/ Rooming Units (B.C.)	Zoning Use Group(s)	
			<input type="checkbox"/> Yes <input type="checkbox"/> No						<input checked="" type="checkbox"/> Yes				
			<input type="checkbox"/> Yes <input type="checkbox"/> No						<input checked="" type="checkbox"/> Yes				
			<input type="checkbox"/> Yes <input type="checkbox"/> No						<input checked="" type="checkbox"/> Yes				
			<input type="checkbox"/> Yes <input type="checkbox"/> No						<input checked="" type="checkbox"/> Yes				
			<input type="checkbox"/> Yes <input type="checkbox"/> No						<input checked="" type="checkbox"/> Yes				
			<input type="checkbox"/> Yes <input type="checkbox"/> No						<input checked="" type="checkbox"/> Yes				

Falsification of any statement is a misdemeanor and is punishable by a fine or imprisonment, or both. It is unlawful to give to a city employee, or for a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both. I hereby state all the above information is complete and correct to the best of my knowledge.

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Applicant's Name (please print)

Signature

P.S. - P.A. seal required

Date

TR-1

3- pages

Technical report form:

- Special and Progress inspections.
- If a report is provided for an exception is at the time of completion of an inspection then it must be reviewed and received by the Plan Examiner or Chief Plan examiner .



1 Location Information *Required for*

House No(s) _____ St _____

Work on Floor(s) _____

2 Applicant Information *Required if*

Choose all that apply: Design Apply

Last Name _____

Business Name _____

Business Address _____

City _____

License Type *choose one:* _____

3 Special Inspection Categories *As*

3A -- Identification of Requirement

N Special Inspections

Structural Steel – Welding

Structural Steel – Details

Structural Steel – High Strength Bolting

Structural Cold-Formed Steel

Concrete – Cast-In-Place

Concrete – Precast

Concrete – Prestressed

Masonry

Wood – Installation of High-Load Diaphragm

Wood – Installation of Metal-Plate Connects

Wood – Installation of Prestabilized J-Joists

Subgrade Inspection

Subsurface Conditions – Fill Placement & In-Density

Subsurface Investigations (Boring/Test Pits)

Deep Foundation Elements

Helical Piles (BP # 2014-03)

Vertical Masonry Foundation Elements

Wall Panels, Curtain Walls, and Vanes

Sprayed fire-resistant material

Mason and Intumescent Fire-resistant Coats

Exterior Insulation and Finish Systems (EIFS)

Alternative Materials – OTCR Balance Rule

Smoke Control Systems

Mechanical Systems

Fuel-Oil Storage and Fuel-Oil Piping System

High-Pressure Steam Piping (Welding)

High-Temperature Hot Water Piping (Welding)

High-Pressure Fuel Gas Piping (Welding)

Structural Stability – Existing Buildings

Excavations – Shoring, Shoring, and Bracing

Underpinning

Mechanical Demolition

TR-1: Technical Report



3 Special Inspection Categories

3A -- Identification of Requirement

N Special Inspections

Hoisting and Moving of Building

Soil Percolation Test - Private On-Site Storm Drainage Disposal Systems, and Detention

Private On-Site Storm Water Drainage Disposal Systems, and Detention Facilities Hospitals

Individual On-Site Private Sewage Disposal Installation

Soil Percolation Test - Individual On-Site Private Sewage Disposal Systems

Sinker Systems

Standpipe Systems

Heating Systems

Chimneys

Fire-Resistant Penetrations and Joints

Aluminum Welding

Flood Zone Compliance (Attach Flood Hazard Mitigation Certificate where applicable)

Luminous Egress Path Markings

Emergency and Standby Power Systems (E) *See 2014-018, 201*

Post-installed Anchors (BIM 2014-018, 201)

Seismic Isolation Systems

Concrete Design Mix

Concrete Sampling and Testing

4 Progress Inspection Categories

4A -- Identification of Requirement

N Progress Inspections

Preliminary

Footing and Foundation

Lower-Rise Erection

Structural Wood Frame

Energy Code Compliance Inspections

Fire-Resistance Rated Construction

Public Assembly Emergency Lighting

Final*

5 Design Applicant's Statements

I have identified all of the special inspections required for compliance.

I certify that the Special Inspection and/or to supervise the work as specified above.

TR1

PAGES

6 Owner's Statement and Signature for Progress/Special Inspector *Required when inspection applicant identifies responsibilities.*

I have reviewed the information provided herein and, to the best of my knowledge and belief, attest to its accuracy. I approve the identification of the responsible inspector. Fabrication of any statement is a misdemeanor and is punishable by a fine or imprisonment, or both. It is unlawful to give to a city employee, or to a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by a fine or imprisonment, or both. I understand that if I am found after hearing to have knowingly or negligently made a false statement or to have knowingly or negligently fabricated or allowed to be fabricated any certificate, form, signed statement, application, report or certification of the correction of a violation required under the provisions of this code or of a rule of any agency, I may be barred from filing further applications or documents with the Department.

Name (print) _____ Title _____

Signature _____ Date _____

7 Inspection Applicant's Identification of Responsibilities

Check all that apply below:

For the special inspections indicated above in section 3, I certify that I am the principal/director of the special inspection agency accepting responsibility for conducting the inspections. I have certified that I have read the applicable sections of the New York City Construction Codes in connection with special inspections as well as 1 RCNY 101-06 Rule, which specifies the qualifications required for each inspection and that this agency meets those qualifications for each and every special inspection for which I will take responsibility. I agree that both I and the agency will comply with all provisions of the New York City Construction Codes and the Rule. I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.

For the progress inspections indicated above in section 4, except energy code inspections on the TR1EN form, and/or concrete test items indicated in section 3, I assume the responsibility and I personally, or where permitted by the New York City Construction Codes, qualified personnel under my direct supervision, will perform the required inspections and tests on such forms and in such matter as the Department requires or requests. I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.

Final Inspection:
 I will make final inspection of the construction work, including those inspections during its progress necessary to my certification upon final inspection that all work substantially conforms to approved construction documents and applicable law and rules. I will confirm that the performance of progress inspections and other inspections has been documented before I report the work complete. As prescribed by 1 RCNY 101-10, I will perform the final inspection within 1 year from the expiration of the last valid permit of the work.
 Upon completion of the work and within 30 days of my final inspection, I will file a certification attesting to the fact that all work was performed and completed in accordance with the approved construction documents, laws and rules, except as reported otherwise.

I understand that my failure to file a certification of completion or to notify the Department of my withdrawal of responsibilities within one year from expiration of the last valid permit may result in the loss of my privileges to file under Directives 2 and 14 of 1870 or issuance of a violation, or both. I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.

Change of Applicant: I am a newly designated individual responsible for the items specified herein and I hereby state that:

None of the inspections/tests indicated herein have been performed to date by the previously designated individual.

Some of the inspections/tests indicated herein have been performed by the previously designated individual, as indicated in the attached report.

I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.

Name (please print) _____

Signature _____ Date _____

8 Inspection Applicant's Certification of Partial Completion

I have completed the items specified herein and certify that the all work performed substantially conforms to approved construction documents and has been performed in accordance with applicable provisions of the New York City Construction Codes and other designated rules and regulations, except as indicated in the attached report.

Withdrawal of Applicant: I am withdrawing responsibility for the items of special/progress inspections and/or tests indicated herein and herewith submit the results or status of the work performed to date.

I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.

Name (please print) _____

Signature _____ Date _____

F.E./R.A. Seal (apply seal, then sign and date over seal)

9 Inspection Applicant's Certification of Full Completion

All work performed substantially conforms to approved construction documents and has been performed in accordance with applicable provisions of the New York City Construction Codes and other designated rules and regulations.

I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.

Name (please print) _____


Signature _____ Date _____

F.E./R.A. Seal (apply seal, then sign and date over seal)

EN1 12-pages

Energy Cost Budget form:

- Triggered by Section 10 of the PW-1
- Scanned on to plans
- EN2 required at completion of project.



Do not submit separately. Must be incorporated in the drawing set

EN1: Energy Cost Budget Worksheet

Must be typewritten

1 Location Information						
House No(s)	Street Name					
Borough	Block	Lot	BIN	CB No.		
Work on Floor(s)				Apt/Condos No(s)		

2 Applicant Information						
Last Name		First Name		Middle Initial		
Business Name			Business Telephone			
Business Address				Business Fax		
City	State	Zip	Mobile Telephone			
Email			License Number			

3 Energy Modeling Information	
Energy Modeling Protocol (check one): <input type="checkbox"/> Section 11 ECB <input type="checkbox"/> Appendix G PRM	
Modeling Software & version:	Weather File:
Total Modeled Square Feet:	Conditioned Square Feet:
Proposed Unmet Load Hours:	Baseline Unmet Load Hours:
Proposed Site EUI (kBtu/sf):	Baseline Site EUI (kBtu/sf):

4 Purchased Energy Rates							
Fuel	Utility Rate Provider/ Rate Structure (i.e ConEd)	Virtual Utility Rate (\$/unit)	Baseline Design Total Charge (\$)	Virtual Utility Rate (\$/unit)	Proposed Design Total Charge (\$)	Supporting Doc. Location	Model Output Report
Electric							
Gas							
Steam							
Other:							
TOTAL							

This project contains on-site generation.

n Combined Heat & Power Systems					
Model Input Parameters	HVAC System / Group		Units	Supporting Doc. Location	Model Output Report
	(BASELINE DESIGN)	(PROPOSED DESIGN)			
Combined Heat & Power Systems					
CHP: Type of generator	N/A				
Quantity of CHP generators	N/A				
Total capacity of CHP generators (kW) at design conditions	N/A		KW		
CHP: Thermal efficiency (%) at design conditions	N/A		%		
CHP: Electrical efficiency (%) at design conditions	N/A		%		
CHP: Controls / Schedule	N/A				
CHP: Fuel Source	N/A				
CHP: Where is the recovered heat used? (e.g. gas absorption chillers, hot water distribution loop, etc.)	N/A				
CHP: Backup heat source when waste heat from CHP is unavailable? (e.g. fossil fuel boilers)	N/A				
CHP: Parasitic losses (e.g. air handling unit to cool the intake air)	N/A				
Other (describe)					
Other (describe)					
Other (describe)					
Other (describe)					

Falsification of any statement is a misdemeanor under the NYC Administrative Building Code and is punishable by a fine or imprisonment, or both. It is unlawful to give to a city employee, or for a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both.

Name (please print) _____

Signature _____ Date _____

P.E. / R.A. Seal (apply seal, then sign and date over seal)

Last page of the EN1

EN-1c Form – Additional opaque wall forms


Model Input Parameter	Space-Conditioning Category (Res/Non-Res)	Item#	Baseline Case		Proposed Case		Supporting Doc Location	Model Output Report
			Description	Assembly U-factor/C-factor/F-factor	Description	Assembly U-factor/C-factor/F-factor		
Roof Construction		1						
			Solar Reflectance	SR =	Solar Reflectance	SR =		
		2						
			Solar Reflectance	SR =	Solar Reflectance	SR =		
Above-Grade Exterior Wall Construction		1						
		2						
		3						
		4						
		5						
		6						
		7						
		8						
Below-Grade Exterior Wall Construction		1						
		2						
Exposed Floor Construction		1						
Slab-On-Grade Floors		1						
Opaque Doors		1						
		2						

Supplemental form to the EN1

EN2 1-page


Energy Cost Budget form:

- EN2 required at completion of project.



EN2: As Built Energy Analysis

This form is not to be typewritten and submitted in person to the Certificate of Occupancy Division's Borough Office where energy analysis was reviewed.



1 Progress Inspector Information *Required for all applications.*

Last Name	First Name	Middle Initial
Business Name	Business Telephone	
Business Address		Business Fax
City	State	Zip
License Type choose one: <input type="checkbox"/> P.E. <input type="checkbox"/> R.A.:		Mobile Telephone
		License Number

2 Location Information *Required for all applications.*

House No(s)		Street Name		
Borough	Block	Lot	BIN	C.B. No.
Work on Floor(s)				Apt / Condo No(s)

3 As Built Information *P.E./R.A. responsible for progress inspections, choose one below and sign/seal.*

<input type="checkbox"/> The as-built conditions of the completed building conform to the originally approved energy analysis and do not require a revised energy analysis.	<input type="checkbox"/> The energy analysis has been revised according to one of the statements below: <ul style="list-style-type: none"> <input type="checkbox"/> Attached is a revised energy analysis, prepared, signed and sealed by the registered design professional who prepared the previously submitted and approved energy analysis. The as-built conditions of the completed building conform to this revised energy analysis. <input type="checkbox"/> The last revised energy analysis was submitted and approved as a post approval amendment on _____ (date). The as-built conditions of the completed building conform to this revised energy analysis.
---	---

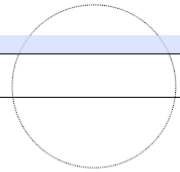
4 Progress Inspector's Statements and Signatures *P.E./R.A. responsible for progress inspections, choose both below and sign/seal.*

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

I, _____, a registered design professional who performed or supervised the progress inspections for _____ (envelope, or HVAC/service water heating, or electrical/lighting work), certify that, to the best of my knowledge and professional judgment, the above checked statement(s) are true with respect to the progress inspections I completed as indicated on my signed, sealed and submitted TRS.

Name (please print) _____

Signature _____ Date _____



P.E. / R.A. Seal (apply seal, then sign and date over seal)

01/11

TR8

2-pages

Energy code progress inspections form:

- Triggered by Section 10 of the PW-1
- TR8 required at time of approval, permit and sign off.



1 Location Information *Required for all*

House No(s) _____ Street _____
 Work on Floor(s) _____

2 Applicant Information *Required for a*

Choose all that apply: Design Applicant

Last Name _____
 Business Name _____
 Business Address _____
 City _____
 License Type choose one:

3 Energy Code Progress Inspection

2A — Identification of Requirements

Y N Progress Inspection

- Prohibition of hazardous materials
- Hazardous materials and releases
- Prohibition of mold, mildew and rot
- Prohibition of air leakage
- Prohibition of air leakage
- All seal and test items — initial
- All seal and test items — testing
- Prohibition of leaks
- Loading dock weather seals
- Ventilation
- Fireplaces
- Dampers in legal building envelope
- HVAC and service water heating equipment
- Ductwork and piping seal and seal
- Electrical metering
- Electrical metering
- Lighting is electrically
- Interior lighting power
- Exterior lighting power
- Lighting controls
- Outlets
- Tandem wiring
- Electrical meters
- Make sure information
- Make sure information

4 Design Applicant's Statements and Signatures *P.E./R.A. responsible for plans must sign and seal.*

I have identified herein all of the progress inspections and tests required for compliance.

Name (please print) _____
 Signature _____ Date _____
 P.E./R.A. Seal (apply seal, then sign and date over seal)

5 Inspection Applicant's Identification of Responsibilities

Check all that apply below:

- For the progress inspections indicated above in section 3, I certify that I am the principal/director of the progress inspection agency accepting responsibility for conducting the inspections. I further certify that I have read the applicable sections of the New York City Construction Codes and 1 RCNY 5000-01 in connection with progress inspections as well as 1 RCNY 101-07, which specifies the qualifications required for each progress inspector and that this agency meets those qualifications for each and every progress inspection for which I take responsibility. I agree that both I and the agency will comply with all provisions of the New York City Construction Codes and the Rules. I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.
- Change of Applicant: I am a newly designated individual responsible for the items specified herein and I hereby state that:
 - None of the inspections/tests indicated herein have been performed to date by the previously designated individual.
 - Some of the inspections/tests indicated herein have been performed by the previously designated individual, as indicated in the attached report.

I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.

Name (please print) _____
 Signature _____ Date _____
 P.E./R.A. Seal (apply seal, then sign and date over seal)

6 Inspection Applicant's Certification of Completion

I have completed the items specified herein and certify the following (check one only):

- All work performed substantially conforms to approved construction documents and has been performed in accordance with applicable provisions of the New York City Energy Conservation Code and other designated rules and regulations.
- All work performed substantially conforms to approved construction documents and has been performed in accordance with applicable provisions of the New York City Energy Conservation Code and other designated rules and regulations, except as indicated in the attached report.

I am aware of the additional sanctions imposed on false filings by §28-211.1.2 of the Administrative Code.

Withdrawal of Applicant: I am withdrawing responsibility for the items of progress inspections and/or tests indicated herein and hereby submit the results or status of the work performed to date.


Name (please print) _____
 Signature _____ Date _____
 P.E./R.A. Seal (apply seal, then sign and date over seal)

PA-1

1- page

Place of assembly form:

- New place of assembly lay-out (filed by RA or PE)
- Amended place of assembly lay-out (filed by RA or PE)
- Change of ownership (filed by Business owner)
- Renewals of PA certificate of operation are done by FDNY



Place of Assembly Application (PA1) Instructions

The PA1 form must be filed for all Place of Assembly applications and Post Approval Amendments (PAA) for existing Place of Assembly job filings.

Filing Type

Indicate whether this Place of Assembly application is a new filing or a change to an existing filing. "New Filing" must be selected for all spaces that will be newly established as a PA and for existing PA spaces where changes are the result of a new NB or Alt-1 filing. For "Change to Owner/Lessee/Name of Estab. ONLY" applicant does not need to be a Professional Engineer or Registered Architect.

Section 1: Location Information

Provide the requested information about the building where the Place of Assembly space exists in this section.

Section 2: Applicant Information

Provide the requested personal information in 1

Section 3: Filing Representative

If the application is being filed by an individual, information about the filing representative must

Section 4: Place of Assembly Space Inform

For both new filings and changes to existing fill

- Provide the job number of the related NB
- Provide the proposed number of persons f
- Provide the prior Place of Assembly job n.
- Provide the legal name of the establishme
- If desired, provide comments using an AI1
- Indicate the proposed occupancy designat
- Below is a table containing a list of standa code with the closest matching accurate d that description is appropriate for the occu

Code	Description	AI1
01	Amusement attractions/devices	
02	Amusement park activities	
03	Arcade	
04	Auditorium	
05	Ballroom	
06	Bandstand	
07	Banquet room	
08	Billiard parlor	
09	Bleachers	
10	Bowling alley	
11	Cafeteria	
12	Camp (day)	
13	Camp (overnight)	
14	Carnival/Fair	
15	Circus	
16	Community center	
17	Concert hall	*
18	Convention hall	
19	Court room	
49	Custodial care facility	
50	Dance hall (food/drink)	
51	Dance studio (no food/drink)	
22	Eating or drinking establishment	
23	Funeral establishment	

If an appropriate description is not listed ab the need for that description to the Borough Cc approved alternate description using an AI1 for

E-Mail Address:

AFFIDAVIT FOR PLACE OF ASSEMBLY

State of New York)
County of) ss

I, _____, state that I am the
(please print name)

owner/lessee of the premises located at _____
_____ (the "premises")

and I am operating in or at the premises under Place of Assembly permit number _____

My Mailing Address is: _____

Signed _____

Sworn to before me this _____ day of _____, 20 ____.

Commissioner of Deeds/Notary Public

This form is for pre-BIS jobs only. For BIS jobs, complete a PA-1 form. Submit this form to the Borough Office where the Place of Assembly space is located.

For more information, please contact your local borough office:
Brooklyn: (718) 802-3635 Bronx: (718) 579-6920
Queens: (718) 286-0600 Manhattan: (212) 566-0042
Staten Island: (718) 816-2300

OP45 (Rev. 5/07)

- The ZD1 is required for an application that proposed a new building or an enlargement to existing building on a zoning lot.
- The ZD1 must be submitted to the plan examiner for review.
- When in compliance the examiner will approve & receive the ZD1 required item on BIS.
- Examiner will forward ZD1 to B-scan to Post on BIS

The purpose of the ZD1 form is to facilitate the Zoning Challenge Process

**ZD1 – Go to DOB web site click on:
 “Development” → “forms” → “Plan/work & permits” → ZD1 form**

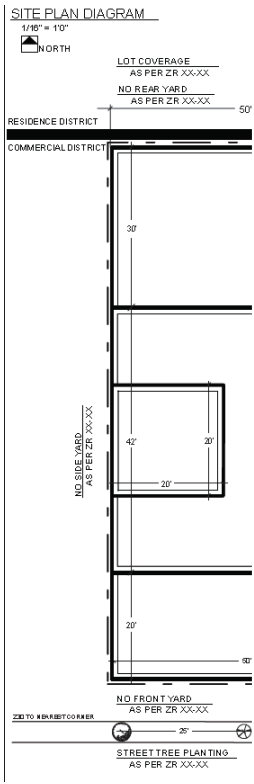
NYC Buildings

ZD1 Zoning Diagram
Must be open on Sheet ___ of ___

SITE PLAN DIAGRAM
1/8" = 11'

LOT COVERAGE
AS PER ZR XX-XX
NO REAR YARD
AS PER ZR XX-XX 50'

RESIDENCE DISTRICT
COMMERCIAL DISTRICT



NO SIDE YARD
AS PER ZR XX-XX
42' 20' 20'

NO FRONT YARD
AS PER ZR XX-XX
20'

STREET TREE PLANTING
AS PER ZR XX-XX

1 Applicant Information Required for all applications:

Last Name: _____ First Name: _____ Middle Initial: _____
 Business Name: _____ Business Telephone: _____
 Business Address: _____ Business Fax: _____
 City: _____ State: _____ Zip: _____ Mobile Telephone: _____
 E-Mail: _____ License Number: _____

2 Additional Zoning Characteristics Required as applicable:

Dwelling Units: _____ Parking area: _____ sq. ft. Parking Spaces: Total: _____ Enclosed: _____

3 BSA and/or CPC Approval for Subject Application Required as applicable:

Board of Standards & Appeals (BSA)
 Variance Cal. No. _____ Authorizing Zoning Section: TZ21
 Special Permit Cal. No. _____ Authorizing Zoning Section: _____
 General City Law Waiver Cal. No. _____ General City Law Section: _____
 Other Cal. No. _____

City Planning Commission (CPC)
 Special Permit ULRP No. _____ Authorizing Zoning Section: _____
 Authorization App. No. _____ Authorizing Zoning Section: _____
 Certification App. No. _____ Authorizing Zoning Section: _____
 Other App. No. _____

4 Proposed Floor Area Required for all applications. One Use Group per line.

Floor Number	Building Code Gross Floor Area (sq. ft.)	Use Group	Zoning Floor Area (sq. ft.)				FAR
			Residential	Community Facility	Commercial	Manufacturing	
Totals							

Total Zoning Floor Area: _____

PLAN EXAMINER SIGN AND DATE
07/06

Filing that can be performed by a contractor:

- Boiler room enclosure (one to two family dwellings)
- Curb cuts accessory, driveway and accessory parking to one to two family dwellings.
- Grading of land.
- Awning
- Non- structural sign
- Sidewalk shed

Is a permit Required?

Refer to RCNY section 101-14 chapter 100

- Includes categories of work that may or may not require a permit.
- This is discussed more fully in another presentation

Thank You!

Certificate of Occupancy

Raymond Plumey, FAIA
Bronx Deputy Borough Commissioner

A Certificate of Occupancy documents

- the legal use and
- occupancy of a building.

A **new** Certificate of Occupancy (CO) is required if

- planned construction creates a new building

In general, an **amended** or a **new** CO is required if

- planned construction changes an existing building's
 - Use,
 - Egress, or
 - Occupancy
-

Certificate of Occupancy issued prior to 1938 Overview

CERTIFICATE OF OCCUPANCY OWNER

No. 845 Issued JUL 20 1922

To _____ of _____

Premises attn Ave

COPIES

DATE	NAME	ADDRESS
JUL 21 1922	Delvd to Robt Mc	Lern on Dean

STORIES	CLASSIFICATION	CONSTRUCTION
1	Store	Brick

FLOORS	OCCUPANCY	Live Load Per Sq. Feet in Pounds	No. of Persons
Sub-Cellar - -			
Cellar - - -			
Basement - -			
First Floor - -		100	

N. B. Application No. 637 1922



Partial Superseded Temporary Certificate of Occupancy 1938 -1968 Overview

Form 54-O (Rev. 7/64)-116-701970(6) 114

DEPARTMENT OF BUILDINGS

BOROUGH OF _____, THE CITY OF NEW YORK

Date FEB 3 1966 TEMPORARY No. _____

CERTIFICATE OF OCCUPANCY

NO CHANGES OF USE OR OCCUPANCY NOT CONSISTENT WITH THIS CERTIFICATE SHALL BE MADE UNLESS FIRST APPROVED BY THE BOROUGH SUPERINTENDENT

This certificate supersedes C. O. No. _____
 THIS CERTIFIES that the ~~new~~ altered ~~existing~~ building—premises located at _____ Block _____ Lot _____

That the zoning lot and premises above referred to are situated, bounded and described as follows:
 BEGINNING at a point on the _____ side of _____
 distant _____ feet north from the corner formed by the intersection of _____ and _____
 running thence _____ north 170.08 _____ feet; thence _____ west 200.00 _____ feet;
 thence _____ south 175.40 _____ feet; thence _____ east 200.00 _____ feet;
 running thence _____ _____ feet; _____

to the point or place of beginning, conforms substantially to the approved plans and specifications, and to the requirements of the Building Code, the Zoning Resolution and all other laws and ordinances, and of the rules of the Board of Standards and Appeals, applicable to a building of its class and kind at the time the permit was issued; and
 CERTIFIES FURTHER that, any provisions of Section 646F of the New York Charter have been complied with as certified by a report of the Fire Commissioner to the Borough Superintendent.

Alter. No.— 67-65 Construction classification— Fireproof
 Occupancy classification— Public Height— Basement & 3 stories, 55'-0" ~~55'-0"~~
 Date of completion— _____ Located in R-6 Zoning District.

at time of issuance of permit.

This certificate is issued subject to the limitations hereinafter specified and to the following resolutions of the Board of Standards and Appeals: and The City Planning Commission:

PERMISSIBLE USE AND OCCUPANCY

Off-Street Parking Spaces _____
 Off-Street Loading Berths _____

STORY	LIVE LOADS Lbs. per Sq. Ft.	PERSONS ACCOMMODATED	USE
Basement	On Grade	0	Boiler Room.
First	100	600	Auditorium, Gymnasium, Rest Rooms, Toilets, Teacher's Room.
Mezzanine	75	15	Library, Principal's Office, Toilet, Book Storage.
Second	75,100	120	Three (3) Classrooms, Toilets. Five (5) Classrooms Vacant.
Third	75,100	0	Vacant (under construction). ←

THIS CERTIFICATE OF OCCUPANCY EXPIRES MAY 3, 1968.

SUPERSEDED
 BY C. O. 42161-66

Sewage Disposal: _____ Discharge Into Either _____
 Sanitary Drainage (DOES) (DOES NOT) Sanitary or Combined Sewer

Storm Drainage: _____ Discharge Into Either _____
 (DOES) (DOES NOT) Storm or Combined Sewer

OFFICE COPY—DEPARTMENT OF BUILDINGS Borough Superintendent _____

DEPARTMENT OF BUILDINGS

BOROUGH OF _____, THE CITY OF NEW YORK

Date _____ No. _____

CERTIFICATE OF OCCUPANCY

NO CHANGES OF USE OR OCCUPANCY NOT CONSISTENT WITH THIS CERTIFICATE SHALL BE MADE UNLESS FIRST APPROVED BY THE BOROUGH SUPERINTENDENT

This certificate supersedes C. O. No. _____ 39-00, Temporary.

THIS CERTIFIES that the ~~new~~ altered ~~existing~~ building—premises located at _____ Block _____ Lot _____

That the zoning lot and premises above referred to are situated, bounded and described as follows:
 BEGINNING at a point on the _____ side of _____
 distant _____ feet north from the corner formed by the intersection of _____ and _____
 running thence _____ north 170.08 _____ feet; thence _____ east 200.00 _____ feet;
 thence _____ south 175.40 _____ feet; thence _____ east 200.00 _____ feet;
 running thence _____ _____ feet; thence _____ _____ feet;
 to the point or place of beginning, conforms substantially to the approved plans and specifications, and to the requirements of the Building Code, the Zoning Resolution and all other laws and ordinances, and of the rules of the Board of Standards and Appeals, applicable to a building of its class and kind at the time the permit was issued; and
 CERTIFIES FURTHER that, any provisions of Section 646F of the New York Charter have been complied with as certified by a report of the Fire Commissioner to the Borough Superintendent.

Alter. No.— 67-65 Construction classification— Fireproof
 Occupancy classification— Public Height— Basement & 3 stories, 55'-0" ~~55'-0"~~
 Date of completion— 11-29-66 Located in R-6 Zoning District.

at time of issuance of permit.

This certificate is issued subject to the limitations hereinafter specified and to the following resolutions of the Board of Standards and Appeals: and The City Planning Commission:

PERMISSIBLE USE AND OCCUPANCY

Off-Street Parking Spaces _____
 Off-Street Loading Berths _____

STORY	LIVE LOADS Lbs. per Sq. Ft.	PERSONS ACCOMMODATED	USE
Basement	On Grade	354	Shower and Toilets, Lunch Room Kitchen, Boiler Room.
First	100	624	Auditorium-Gymnasium, Rest rooms, Toilets, Teachers' Room.
Mezzanine	75	15	Library, Principal Office, Toilet, Book Storage.
Second	75/100	120	Classrooms, Toilet.
Third	75/100	320	Classrooms, Toilet. ←

OFFICE COPY—DEPARTMENT OF BUILDINGS Borough Superintendent _____

Temporary Certificate of Occupancy 1968 – Present Overview

NYC Buildings *Certificate of Occupancy* Page

CO Number: **TCO**

This certifies that the premises described herein conforms substantially to the approved plans and specifications and to the requirements of all applicable laws, rules and regulations for the uses and occupancies specified. No change of use or occupancy shall be made unless a new Certificate of Occupancy is issued. This document or a copy shall be available for inspection at the building at all reasonable times.

A. Borough: _____ **Block Number:** _____ **Certificate Type:** _____
Address: _____ **Lot Number(s):** _____ **Effective Date:** _____
Building Identification Number (BIN): _____ **Expiration Date:** _____
Building Type: New

This building is subject to this Building Code: 2008 Code
 For zoning lot metes & bounds, please see BISWeb.

B. Construction classification: 1-C (1968 Code designation)
Building Occupancy Group classification: R-2 (2008 Code)
Multiple Dwelling Law Classification: HAEA
No. of stories: 13 **Height in feet:** 120 **No. of dwelling units:** 117

C. Fire Protection Equipment:
 Fire Suppression system

D. Type and number of open spaces:
 Parking spaces (66), Parking (13200 square feet)

E. This Certificate is issued with the following legal limitations
 Easement(s) - Recording Info: EGRESS EASTMENT

Outstanding requirements for obtaining Final Certificate of Occupancy:
 There are 23 outstanding requirements. Please refer to BISWeb for further detail.

Borough Comments:
 OK TO ISSUE TCO FOR 90 DAYS

 Borough Commissioner Commissioner

B Form 54 (Revised 03/05) DOCUMENT CONTINUES ON NEXT PAGE

NYC Buildings *Certificate of Occupancy* Page 4 of 4

CO Number: _____

Permissible Use and Occupancy

All Building Code occupancy group designations below are 2008 designations.


Floor From To	Maximum persons permitted	Live load lbs per sq. ft.	Building Code occupancy group	Dwelling or Rooming Units	Zoning use group	Description of use
011		40	R-2		2	REFUSE ROOM
012		40	R-2		2	REFUSE ROOM
012		40	R-2	8	2	EIGHT CLASS "A" APARTMENTS
013		40	R-2	8	2	EIGHT CLASS "A" APARTMENTS
013		40	R-2		2	REFUSE ROOM
RO F		40	R-2		2	ELEVATOR MECHANICAL ROOM

TOTAL: 117 CLASS "A" APARTMENTS QUALITY HOUSING NOTES_ THIS PROJECT FALLS UNDER THE GUIDELINES OF QUALITY HOUSING AS OUTLINED BY ARTICLE 2, CHAPTER 8 OF THE ZONING RESOLUTION RESTRICTIVE DECLARATION FOR SEVERAL TAX LOTS ON ONE ZONING LOT RECORDED UNDER CRFN #2008000210078 EGRESS EASEMENT RECORDED UNDER CRFN #2009000045110 PARKING EASEMENT RECORDED UNDER CRFN #2009000045111 RECIPROCAL EASEMENT RECORDED UNDER CRFN #2009000051411 EXHIBITS I & III RECORDED UNDER CRFN #S 201000193702 & 2010000193712 RESPECTIVELY CONDO DECLARATION RECORDED UNDER CRFN #2009000186268

END OF SECTION

 Borough Commissioner Commissioner

B Form 54 (Revised 03/05) END OF DOCUMENT 210075890/010 7/18/2013 2:55:04 PM



Page 1 of 2

Certificate of Occupancy

CO Number: 22911F

This certifies that the premises described herein conforms substantially to the approved plans and specifications and to the requirements of all applicable laws, rules and regulations for the uses and occupancies specified. No change of use or occupancy shall be made unless a new Certificate of Occupancy is issued. *This document or a copy shall be available for inspection at the building at all reasonable times.*

A. Borough:	Block Number:	Certificate Type: Final
Address:	Lot Number(s):	Effective Date: 07/24/2013
Building Identification Number (BIN):	Building Type: New	

For zoning lot metes & bounds, please see BISWeb.


B. Construction classification:	2-B	(1968 Code)
Building Occupancy Group classification:	J2	(1968 Code)
Multiple Dwelling Law Classification:	HAEA	
No. of stories: 3	Height in feet: 30	No. of dwelling units: 3

C. Fire Protection Equipment:
None associated with this filing.

D. Type and number of open spaces:
None associated with this filing.

E. This Certificate is issued with the following legal limitations:
None

Borough Comments: None



Page 2 of 2

Certificate of Occupancy

CO Number: F

Permissible Use and Occupancy						
All Building Code occupancy group designations are 1968 designations, except RES, COM, or PUB which are 1938 Building Code occupancy group designations.						
Floor From To	Maximum persons permitted	Live load lbs per sq. ft.	Building Code occupancy group	Dwelling or Rooming Units	Zoning use group	Description of use
ME Z		40	J-2	0.5	2A	PART OF CLASS "A" APARTMENT
001		40	J-2	1	2A	ONE CLASS "A" APARTMENT
002		40	J-2	1	2A	1 CLASS "A" APT DWELLING NOTE: THIS BUILDING IS DESIGNED PURSUANT TO QUALITY HOUSING PER SEC 28-00.
003		40	J-2	0.5	2A	PART OF ONE CLASS A APT.
RO F			D-2	2		BOILER ROOM-NOTE:3 APTS. CLASS A BUILDING.THE PREMISES IS SUBJ. TO THE PROVISIONS OF SECT.12 10ZR AS TO ZONING LOT OWNERSHIP & IS UNDER RESTRICTION OF ONE ZONING LOT 5 TAX LOTS(48,149,150,151&152) RECORDED IN NYC REGISTER OFFCAS FOLLOWS: EXHIBIT I UNDER CRFN#2007000194331 AND EXHIBIT III UNDER CRFN# 2007000194330.
END OF SECTION						

Ref: Administrative Code (AC) § 28-118.3.1

No building hereafter altered so as to change

- from one **occupancy group** to another or
- from one **Zoning use group** to another,

shall be occupied until a Certificate of Occupancy has been issued.

- **Zoning Use Groups (Zoning Resolution):**

1 & 2 (Residential), 3 & 4 (Community Facility), 5-15 (Retail & Commercial), 16 (General Service), 17 & 18 (Manufacturing)

- **Occupancy Groups (Building Code):**

A (Assembly), B (Business), E (Educational), F (Factory & Industrial), H (High Hazard), I (Institutional), M (Mercantile), R (Residential), S (Storage), U (Utility)

Changes Inconsistent with Existing Certificate of Occupancy

AC § 28-118.3.2

No change shall be made to a building, open lot or portion thereof inconsistent with the last issued certificate of occupancy or, where applicable, inconsistent with the last issued certificate of completion for such building or open lot or which would bring it under some special provision of this code or other applicable laws or rules, unless and until the commissioner has issued a new or amended certificate of occupancy.

AC § 28-118.3.2.1 Changes in the address, block, lot, or zoning lot. When changes are made in the address of the structure, block and/or lot numbers or metes and bounds of the zoning lot that are inconsistent with the certificate of occupancy, the owner shall obtain a new or amended certificate of occupancy within one year.

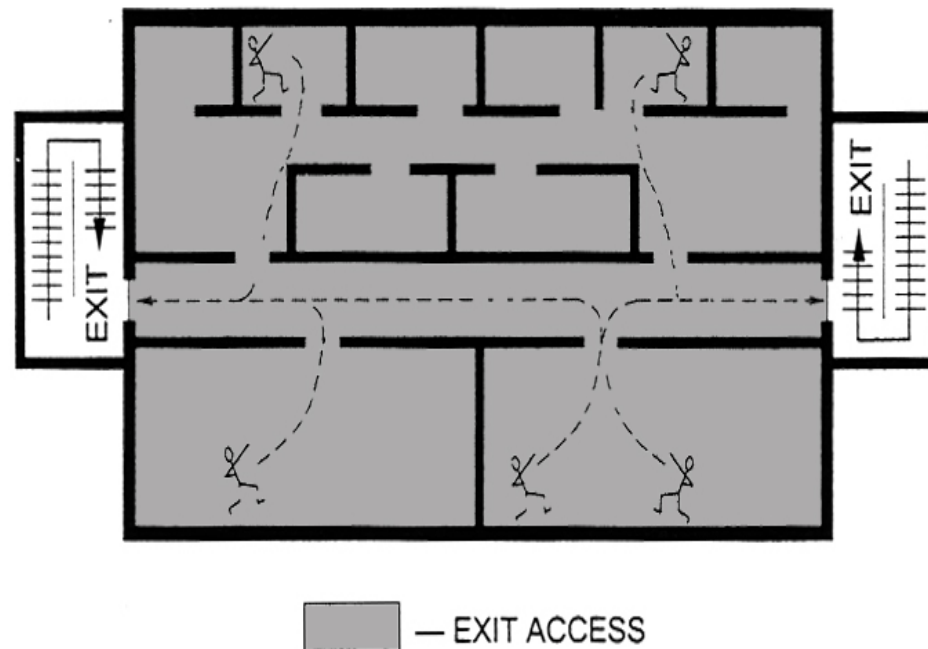
New CO required if

- changes made are inconsistent with the last issued CO
- changes were made which bring the building, etc. under some special provision of this code

Changes to Exits

AC § 28-118.3.3

No building hereafter altered so as to cause a **major alteration to existing exits** shall be occupied or used unless and until the commissioner has issued a certificate of occupancy certifying that the alteration work for which the permit was issued has been completed substantially in accordance with the approved construction documents and the provisions of this code and other applicable laws and rules.



Existing Buildings without a Certificate of Occupancy

AC § 28-118.3.4

A building or open lot **in existence prior to January 1, 1938 and heretofore legally used or occupied without a certificate of occupancy** or, if applicable, a certificate of completion, and **subject to the provisions of section 28-102.4 (continuation of lawful existing use)**, may continue to be used or occupied without a certificate of occupancy or, if applicable, a certificate of completion, pursuant to the requirements of section six hundred forty five of the New York city charter, this code and other applicable laws and rules **provided there is no change in the existing use or occupancy classification** of the building, open lot or portion thereof.

AC § 28-102.4 Existing buildings.

“The lawful use or occupancy of any existing building or structure, including the use of any service equipment therein, **may be continued** unless a retroactive change is specifically required by the provisions of this code or other applicable laws or rules...”

AC § 28-118.16 Amended certificate of occupancy. *The provisions of sections 28-118.16.1 through 28-118.16.2 shall apply to an amended certificate of occupancy*

AC § 28-118.16.1 Buildings exceeding three stories in height and change does not exceed 20 percent of total floor area. *Where a building exceeds three stories in height and the change does not exceed 20 percent of the total floor area, an amendment to the existing certificate of occupancy for such new use shall be issued by the commissioner certifying that the proposed new occupancy and use conforms to the provisions of the laws governing building construction and that the proposed use will not be in conflict with any provisions of the labor law, multiple dwelling law or the zoning resolution.*

AC § 28-118.16.2 Change in address of the structure, block and lot numbers or metes and bounds of a zoning lot subsequent to the issuance of a certificate of occupancy. *Where no change is made to a building, open lot or portion thereof inconsistent with the last issued certificate of occupancy, an amended certificate of occupancy may be issued to reflect a change in the address of the structure, block and lot numbers or the metes and bounds of the zoning lot. Notwithstanding any other provisions of law, removal of violations and payments of outstanding*

AC § 28-118.20

A partial certificate of occupancy (PCO) may be issued to a specific floor or floors of **an existing building erected prior to January 1, 1938** subject to the following conditions:

1. The building does not have and is not otherwise required to have a certificate of occupancy (CO) or certificate of completion, if applicable.
2. The floor or floors for which a *certificate of occupancy* is issued shall not constitute more than 50 percent of the gross floor area of the building.
3. The building is of noncombustible construction and protected with an automatic sprinkler system.
4. Adequate means of egress are provided from all floors.
5. Upon inspection, the building is deemed safe for occupancy.

AC § 28-118.15

Upon application, the commissioner is authorized to issue a temporary certificate of occupancy before the completion of the entire work covered by the permit, provided that the subject portion or **portions of the building may be occupied and maintained in a manner that will not endanger public safety, health, or welfare.** The commissioner shall set a time period during which the temporary certificate of occupancy is valid.

A Temporary Certificate of Occupancy has an expiration date, usually **90 days** after its date of issuance

Generally, a final Certificate of Occupancy will be issued when:

- All work is completed and complies with submitted plans and applicable laws as stipulated in Article 118 of the Building Code, including but not limited to:
 - All required documents being complete
 - All necessary approvals being obtained
 - All fees being paid
 - All relevant violations being resolved

A new building cannot be legally occupied until either a final or a temporary Certificate of Occupancy has been issued.

Use Building Information System (BIS) to look up and view/print a copy of a property's Certificate of Occupancy

NYC Department of Buildings
Property Profile Overview

1932 ARTHUR AVENUE BRONX 10457 BIN# 2009911

ARTHUR AVENUE	1918 - 1932	Health Area	: 1900	Tax Block	: 2947
EAST TREMONT AVENUE	NO NUMBER	Census Tract	: 389.01	Tax Lot	: 18
BELMONT AVENUE	NO NUMBER	Community Board	: 206	Condo	: NO
		Buildings on Lot	: 1	Vacant	: NO

[View DCP Addresses...](#) [Browse Block](#)

[View Zoning Documents](#) [View Challenge Results](#) [Pre - BIS PA](#) [View Certificates of Occupancy](#)

Cross Street(s): EAST 176 STREET, EAST TREMONT AVENUE

DOB Special Place Name:

DOB Building Remarks:

Landmark Status: Special Status: N/A

Local Law: NO Loft Law: NO

SRO Restricted: NO TA Restricted: NO

UB Restricted: NO DOT Protected Street: N/A

Little 'E' Restricted: N/A Grandfathered Sign: NO

Legal Adult Use: NO City Owned: YES

RRP Work: NO

Additional BINs for Building: NONE

ZONING Summary

Effective Date: 11/01/2005

District	Commercial Overlay	Special District
R7-1 - GENERAL RESIDENCE DISTRICT	C1-4 - LOCAL RETAIL DISTRICT	

This property is not located in an area that may be affected by Tidal Wetlands, Freshwater Wetlands, or Coastal Erosion Hazard Area. [Click here for more information](#)

Department of Finance Building Classification: O1-OFFICE BUILDINGS

Please Note: The Department of Finance's building classification information shows a building's tax status, which may not be the same as the legal use of the structure. To determine the legal use of a structure, research the records of the Department of Buildings.

DOF OWNER INFORMATION:

Name: D C A S

Owner Corporation Name:

Address: 1 CENTRE ST NEW YORK NY 10007-1604

DOF BUILDING INFORMATION:

Bldg Size:	189.00 x 128.00	Trans Land Value:	10,500,000
Lot Size:	200.14 x 189.05	Tax Exempt Flag:	NO
Stories:	7.00	Tax Exempt Class:	X1

DOB Update Date: 07/27/2013

	Total	Open
Complaints	51	0
Violations-DOB	93	17
Violations-ECB (DOB)	39	8
Jobs/Filings	43	
ARA / LAA Jobs	0	
Total Jobs	43	
Actions	64	

[Elevator Records](#)
[Electrical Applications](#)
[Permits In-Process / Issued](#)
[Illuminated Signs Annual Permits](#)
[Plumbing Inspections](#)
[Open Plumbing Jobs / Work Types](#)
[Facades](#)
[Marquee Annual Permits](#)
[Boiler Records](#)
[DEP Boiler Information](#)
[Local Law 16/84 Compliance](#)
[Crane Information](#)
[After Hours Variance Permits](#)

OR Enter Action Type:
OR Select from List:
Select...
AND

NYC Department of Buildings
DOB Violations

Premises: 1918 ARTHUR AVENUE BRONX BIN: 2009911 Block: 2947 Lot: 18

NUMBER	TYPE	FILE DATE
CO EX 239-34 (PDF)	CERTIFICATE OF OCCUPANCY	00/00/0000
CO ALT 292-27 (PDF)	CERTIFICATE OF OCCUPANCY	00/00/0000
CO 28985-60 (PDF)	CERTIFICATE OF OCCUPANCY	00/00/1960
CORR SR 3057-35		00/00/0000
CORR 249-35		00/00/0000
CORR 188-35		00/00/0000
CORR 3590-34		00/00/0000
CORR 2649-36		00/00/0000
CORR 4081-34		00/00/0000
CORR 3157-35		00/00/0000
EA 635/04SO/061107#1473	ELEVATOR APPLICATION	06/01/2004
EBN 447/97SO/5YR/070903#1979	ELEVATOR BUILDING NOTICE	04/30/1997
ELEV 876-30	ELEVATOR	00/00/0000
ELEV 1228-25	ELEVATOR	00/00/0000
ELV 93-80(1932)	ELEVATOR	00/00/1980
FP 980-49	FIRE PROTECTION PLANS	00/00/1949
MISC 1-86(1932)	MISCELLANEOUS	01/02/1986
MISC 272-86(1932)	MISCELLANEOUS	05/06/1986
MISC 90-86(1932)	MISCELLANEOUS	02/06/1986
NB 393-1915	NEW BUILDING	00/00/0000
NB 605-1911	NEW BUILDING	00/00/0000
NB 562-1900	NEW BUILDING	00/00/0000
NB 345-A-98	NEW BUILDING	00/00/0000
NB 68-A-1896	NEW BUILDING	00/00/0000
P&D 96-42	PLUMBING & DRAINAGE	00/00/1942

NYC Department of Buildings
C of O PDF Listing : 28985-60

Premises: 1918 ARTHUR AVENUE BRONX Job No: 28985-60
BIN: 2009911 Block: 2947 Lot: 18 Job Type:

Download the [Adobe Acrobat Reader](#) if you are unable to open the PDF files

To report a problem with any of these images, please use the [CO Image Problem Form](#)

X000028985.PDF

Example of Certificate of Occupancy

NYC Department of Buildings

C of O PDF Listing for Property

Premises: 1918 ARTHUR AVENUE BRONX

BN: 2009911 Block: 2947 Lot: 18

Download the [Adobe Acrobat Reader](#) if you are unable to open the PDF files

To report a problem with any of these images, please use the [CO Image Problem Form](#)

- CO NB 156-1916: [X00000156-30.PDF](#)
[X00000156-21.PDF](#)
[X00000156-34.PDF](#)
[X00000156.PDF](#)
[X00000156-38.PDF](#)
- CO EX 239-34: [X00000239.PDF](#)
[X00000239-21.PDF](#)
[X00000239-16.PDF](#)
- CO ALT 292-27: [X00000292.PDF](#)
- CO 28985-60: [X000028985.PDF](#)

[Back](#)

Form 54--FORM 201811(50) 114

DEPARTMENT OF BUILDINGS
 BOROUGH OF BRONX, THE CITY OF NEW YORK

No. 28985
 Date APR 20 1980

CERTIFICATE OF OCCUPANCY
 (Standard form adopted by the Board of Standards and Appeals and issued pursuant to Section 646 of the New York Charter, and Sections C.26-181.0 to C.26-187.0 inclusive Administrative Code 2.1.3.1. to 2.1.3.7. Building Code.)

This certificate supersedes C. O. No. NB 156-16 & Alt. 292-27

To the owner or owners of the building or premises:
 THIS CERTIFIES that the ~~new~~ altered ~~existing~~ building—premises located at
 1932 Arthur Ave., S.E. Corner of E. Tremont & Arthur Avenues
 Block 2947 Lot 18-21

conforms substantially to the approved plans and specifications, and to the requirements of the building code and all other laws and ordinances, and of the rules and regulations of the Board of Standards and Appeals, applicable to a building of its class and kind at the time the permit was issued; and CERTIFIES FURTHER that, any provisions of Section 646F of the New York Charter have been complied with as certified by a report of the Fire Commissioner to the Borough Superintendent.

~~Alt. No. 432-38~~ Construction classification—Nonfireproof
 Occupancy classification—PUBLIC Height 7 stories, 95 feet.
 Date of completion—8-14-58 Located in Business and Residence Use District.
 B Area, Class 1B Height Zone at time of issuance of permit

This certificate is issued subject to the limitations hereinafter specified and to the following resolutions of the Board of Standards and Appeals: (Calendar numbers to be inserted here)

PERMISSIBLE USE AND OCCUPANCY

STORY	LIVE LOADS Lbs. per Sq. Ft.	PERSONS ACCOMMODATED			USE
		MALE	FEMALE	TOTAL	
Cellar	on ground			30	Boiler Room and Storage
First	150			150	Offices
Second	120			150	Offices
Third	120			150	Offices
Fourth	120			150	Offices
Fifth	120			150	Offices
Sixth	120			150	Offices
Seventh	120			150	Offices

NOTE: Fire Department approval of fuel oil installation received.

Borough Superintendent

(Page 1)

Issuance of Final Certificate of Occupancy

NYC Buildings *Certificate of Occupancy* Page 1 of 2

CO Number: **1.**

This certifies that the premises described herein conforms substantially to the approved plans and specifications and to the requirements of all applicable laws, rules and regulations for the uses and occupancies specified. No change of use or occupancy shall be made unless a new Certificate of Occupancy is issued. *This document or a copy shall be available for inspection at the building at all reasonable times.*

A. Borough: **2** Block Number: **3** Certificate Type: _____
 Address: _____ Lot Number(s): **4** Effective Date: _____
 Building Identification Number (BIN): _____ Building Type: _____ Expiration Date: _____

This building is subject to this Building Code: Prior to 1968 Code **7**
For zoning lot metes & bounds, please see BISWeb.

B. Construction classification: _____
 Building Occupancy Group classification: **9**
 Multiple Dwelling Law Classification: _____
 No. of stories: _____ Height in feet: _____ No. of dwelling units: _____

C. Fire Protection Equipment: **11**

D. Type and number of open spaces: **14**

E. This Certificate is issued with the following legal limitations **12**

Outstanding requirements for obtaining Final Certificate of Occupancy: _____

Borough Comments: _____

6 Borough Commissioner **6** Commissioner

B Form 54 (Revised 03/05) *DOCUMENT CONTINUES ON NEXT PAGE*

NYC Buildings *Certificate of Occupancy* Page _____

CO Number: _____

Permissible Use and Occupancy

All Building Code occupancy group designations below are 2008 designations. **8**

Floor From To	Maximum persons permitted	Live load lbs per sq. ft.	Building Code occupancy group	Dwelling or Rooming Units	Zoning use group	Description of use
CEL	10	13				
BAS						
001						
001						
END OF SECTION						

6 Borough Commissioner **6** Commissioner

B Form 54 (Revised 03/05) *END OF DOCUMENT*

Issuance of Final Certificate of Occupancy

§ 28-118.6

After the commissioner inspects the building or open lot and determines that the building or open lot conforms substantially to the approved construction documents and to the provisions of this code and other applicable laws and rules, the commissioner shall issue a certificate of occupancy that shall contain information including, but not limited to:

1. The building permit number.
2. The address of the structure.
3. Block and lot numbers pertaining to the zoning lot as of the date of issuance, as defined in section 12-10 of the New York city zoning resolution.
4. The description of the structure for which the certificate is issued.
5. A statement that the described portion of the structure has been inspected for compliance with the requirements of this code.
6. The name and signature of the commissioner.
7. The code under which the permit was issued.
8. The use and occupancy, in accordance with this code and the zoning resolution.
9. The type of construction as defined in this code.
10. The design occupant load of floors and spaces.
11. Types of major fire suppression or alarm systems.
12. Any special stipulations and conditions of the building permit.
13. The maximum permissible live loads on the several floors of the building.
14. The number of parking spaces.

Thank You!

Construction Permits

Raymond Plumey, FAIA
Bronx Deputy Borough Commissioner

*Administrative Code **§28-105.1 General.** It shall be unlawful to construct, enlarge, alter, repair, move, demolish, remove or change the use or occupancy of any building or structure in the city, to change the use or occupancy of an open lot or portion thereof, or to erect, install, alter, repair, or use or operate any sign or service equipment in or in connection therewith, or to erect, install, alter, repair, remove, convert or replace any gas, mechanical, plumbing, fire suppression or fire protection system in or in connection therewith or to cause any such work to be done unless and until a written permit therefore shall have been issued by the commissioner in accordance with the requirements of this code, subject to such exceptions and exemptions as may be provided in section 28-105.4.*

Administrative Code §28-105.2. Classification of Work Permits:

1. New Building
2. Alteration Work
3. Foundation and Earthwork
4. *Earthwork*
5. Full Demolition
6. Plumbing
7. Signs
8. Service Equipment
9. Temporary Construction Equipment
10. *Fire Protection and Suppression Systems*
11. Cranes and Derricks

§28-105.3 *Separate permits required.* *Separate work permits shall be required, as provided above, except that separate permits for foundations and earthwork, or for the installation or alteration of air conditioning systems, ventilation systems, and heating systems shall not be required whenever such work is included in and forms a part of the construction documents filed for the construction of a new building or the alteration of a building or structure.*

§28-105.4.2

Minor alterations and ordinary repairs

A permit shall **not** be required for minor alterations and ordinary repairs.

Minor Alterations:

- Minor changes or modifications in a building, excluding additions, that do not affect health, fire or structural safety of the building or safe use and operation of the service equipment

Ordinary Repairs:

- Replacements or renewals of existing work in a building, or parts of the service equipment, with the same or equivalent materials or equipment parts, that are made in the ordinary course of maintenance and do not affect health, fire or structural safety of the building or safe use and operation of the service equipment.

§28-105.4 Work exempt from permit

Exemptions from permit requirements of this code shall not be deemed to grant authorization for any work to be done in any manner in violation of the provisions of this code, the Zoning Resolution or any other law or rules enforced by the Department. Such exemptions shall not relieve any owner of the obligation to comply with the requirements of or file with other city agencies. Unless otherwise indicated, permits shall not be required for the following:

1. *Emergency work, as set forth in section 28-105.4.1.*
2. *Minor alterations and ordinary repairs, as described in section 28-105.4.2*
3. *Certain work performed by a public utility corporation, as set forth in section 28-105.4.3.*
4. *Ordinary plumbing work, as set forth in section 28-105.4.4.*
5. *Permits for the installation of certain signs, as set forth in section 28-105.4.5.*
6. *Geotechnical investigations, as set forth in section 28-105.4.6.*
7. *Other categories of works as described in departmental rules, consistent with public safety,*

1 RCNY 101-14

- Previous 1 RCNY 44-01 is repealed.
- On October 2, 2011, DOB adopted the addition of section 101-14 to Chapter 100 of Title 1 of the Official Compilation of the Rules of the City of New York (RCNY).

1 RCNY 101-14 establishes categories of work that may be classified as minor alterations or ordinary repair and therefore, may be exempt from the permit requirements of the NYC Construction Codes.

Minor Alterations or Ordinary Repairs

In addition to the categories exempt from permit requirements of section 28-105.1, pursuant to 28-105.4, items 1 through 7, the following categories may be considered minor alterations or ordinary repairs that may be exempt from permit requirements.

- **Table 1:** Work Exempt from Permits in 1 & 2-Family Dwellings
- **Table 2:** Work that may be Exempt from Permit in all Buildings
- **Table 3:** Façade Work that may be Exempt from Permit in all Buildings

The categories in Tables 1-3 are not an exclusive list of all types of minor alterations or ordinary repairs that may be exempt from permit requirements

Work Exempt from Permits in One and Two-family Dwellings

<u>1 RCNY 101-14: Table 1</u> <u>One and Two-Family Dwellings</u>	
Building component or system	Permit Required?
<p>1. Sheds. Temporary portable freestanding sheds erected on the same zoning lot as, and accessory to, a one- or two-family dwelling, provided that all of the following requirements are met:</p> <ul style="list-style-type: none"> (1) The shed shall not exceed 120 square feet in area and shall not be more than 7'6" in height; and (2) The shed shall not obstruct any required window; and (3) The shed shall not be located within 3 feet (915 mm) of any lot line; and (4) The shed shall be used for storage of normal household goods, tools, or similar items; and (5) There shall not be more than one such shed on any tax lot. 	No
<p>2. Fences. Fences 6 feet (1829 mm) or less in height, as measured from the higher of the two adjoining grades, in connection with one- and two-family dwellings.</p>	No

Work Exempt from Permit in One- and Two-family Dwellings

1 RCNY 101-14: Table 1
One and Two-Family Dwellings

Building component or system	Permit Required?
<p>3. Small swimming pools. Outdoor in-ground or above-ground pools accessory to a one- or two-family dwelling limited to 400 square feet in area, provided that the distance from the edge of an in-ground pool to any building or lot line is greater than the depth of the deepest portion of the pool, and:</p> <ul style="list-style-type: none"> (1) there is an existing slop sink for indirect waste; or (2) a plumbing permit is obtained for the installation of such sink. 	No
<p>4. Playground equipment. Playground equipment accessory to a one- or two-family dwelling.</p>	No
<p>5. Packaged air-conditioning unit in existing buildings. Packaged air conditioning unit not exceeding 5 tons rated capacity, installed in an existing building, including installations in existing windows or in existing sleeves under windows, and that is not part of an alteration that otherwise requires a permit.</p>	No



Work Exempt from Permits in all Buildings

	<u>1 RCNY 101-14: Table 2</u> <u>Building component or system (all buildings)</u>	<u>Permit required?</u>
<u>I. Exterior structures</u>	<p><u>1. Retaining walls.</u> Retaining walls less than 4 feet (1219 mm) in height, measured from the top of the footing to the top of the wall, and the wall:</p> <ul style="list-style-type: none"> (1) does not support a surcharge; or (2) does not impound Class I, II or III-A liquids, as defined by section 307.2 of the New York City Building Code. 	NO
	<p><u>2. Nursery or agricultural shade cloth structures.</u> Shade cloth structures constructed solely for nursery or agricultural purposes, and not covering mechanical equipment, plumbing fixtures or automobiles.</p>	NO
<u>II. Service equipment</u>	<p><u>1. Air conditioning and ventilating systems.</u> Air conditioning and ventilating system installed as a voluntary system, serving only one floor of a building, and that:</p> <ul style="list-style-type: none"> (1) does not use lot line openings for the intake or exhaust of air or the mounting of equipment; and (2) is not installed in any public hallway, passageway, or stairway; and (3) does not in any way reduce the ventilation of any room or space below that required by code provisions; and (4) does not penetrate any fire division, roof, floor, or wall. 	NO

Work that may be Exempt from Permits in all Buildings

	<u>1 RCNY 101-14: Table 2</u> <u>Building component or system (all buildings)</u>	<u>Permit required?</u>
<u>II. Service equipment</u>	<p>2. Packaged air-conditioning unit. Packaged air-conditioning unit not exceeding 3 tons rated capacity, installed in an existing building, including installations in existing windows or in existing sleeves under windows, and that is not part of an alteration that otherwise requires a permit.</p>	NO
	<p>3. Fuel-burning and fuel-oil storage. Portable fuel-burning equipment that does not require a chimney or vent connection.</p>	NO
	<p>4. Fuel-burning and fuel-oil storage during construction. Portable heaters, having a fuel-storage capacity of 6 gallons or less, used in construction work.</p>	NO
	<p>5. Fuel-burning and fuel-oil storage. Oil-fired heaters, other than internal combustion engines, having a fuel-storage capacity of 6 gallons or less.</p>	NO
	<p>6. Refrigerating systems. Refrigerating systems twenty-five tons or less in capacity and using a Group A1 refrigerant.</p>	NO

Work that may be Exempt from Permit in all Buildings

	<u>1 RCNY 101-14: Table 2</u> <u>Building component or system (all buildings)</u>	<u>Permit required?</u>
<u>II. Service equipment</u>	7. Refrigerating systems. Refrigerating systems installed in a vehicle, railroad car, or vessel.	NO
	8. Refrigerating systems. Refrigerating systems that use water or air as the refrigerant.	NO
	9. Temporary boilers. Temporary boilers, whether placed on private property or on the street (related electrical and plumbing connections also require separate permits).	YES

Work that may be Exempt from Permits in all Buildings

	<u>1 RCNY 101-14: Table 2</u> <u>Building component or system (all buildings)</u>	<u>Permit required?</u>
<u>III. Interior partitions</u>	<p>1. Non-fire-rated and non-load-bearing wall, temporary removal. Where the cutting away and temporary removal of any portion of a nonload-bearing, non-fire rated partition is limited to the lesser of 50% of a given wall or 45 square feet in area, and where at the completion of work the partition is restored to its original condition.</p>	<u>NO</u>
	<p>2. Non-fire-rated and non-load-bearing wall, permanent removal in Group R occupancies. In Group R occupancies, where the cutting away and permanent removal of any portion of a non-load-bearing, non-fire-rated partition is limited to the lesser of 50% of a given wall surface or 45 square feet in area. Exception: a permit shall be required where the cutting away and permanent removal of any size occurs in a dwelling unit satisfying either of the following conditions:</p> <ul style="list-style-type: none"> i. The dwelling unit is located in any of the following areas**: <ul style="list-style-type: none"> a. Special Hudson Yards District b. Preservation Area P-2 of the Special Garment Center District c. Special Clinton District d. Special West Chelsea District e. Greenpoint-Williamsburg anti-harassment areas in Community District 1, Borough of Brooklyn; and 	<u>NO</u>

Work that may be Exempt from Permits in all Buildings

	<p align="center"><u>1 RCNY 101-14: Table 2</u> <u>Building component or system (all buildings)</u></p>	<p align="center"><u>Permit required?</u></p>
<p><u>III. Interior partitions</u></p>	<p>ii. the dwelling unit is within a single room occupancy multiple dwelling†† ** The permanent removal of a portion of the partition resulting in a change in the layout of rooms within a dwelling unit shall constitute a “material alteration” in accordance with Zoning Resolution sections 93-90 and 96-01. Any “material alteration” to a dwelling unit located within the “anti-harassment areas” as provided for in Zoning Resolution Sections 23-013, 93-90, 96-01, and 98-70 shall constitute an alteration in accordance with the Building Code and, therefore, require a building permit. †† Such work shall be considered an alteration and therefore require a building permit and, where applicable, a Certificate of No Harassment in accordance with section 28-107.4 of the Administrative Code.</p>	
	<p>3. Non-fire-rated and non-load-bearing wall, permanent removal in Groups B, M, and S-1 occupancies. In Groups B, M, and S-1 occupancies, where the cutting away and permanent removal of a non-load-bearing, non-fire-rated partition is limited to 50 linear feet in buildings of Type I or II construction (Class I construction in buildings subject to the 1968 Building Code).</p>	<p>NO</p>

Work that may be Exempt from Permit in all Buildings

	<u>1 RCNY 101-14: Table 2</u> <u>Building component or system (all buildings)</u>	<u>Permit required?</u>
<u>IV. Roofs</u>	1. Roof repair and reroofing above the deck/sheathing. Roof repair or replacement, limited to the roof membrane, roof coverings, cant strip, and any insulation above the roof deck/sheathing, provided that the New York City Energy Conservation Code does not require additional thermal insulation for the roof.	NO
	2. Roof repair and reroofing, including the deck/sheathing. Roof repair or replacement that includes replacement of roof deck/sheathing.	YES
	3. Green roofs not more than 4 inches in depth. Green roof systems, not more than 4 inches in depth measured from the upper surface of the roof covering to the top of the growth medium, located on buildings of noncombustible construction or buildings greater than 100 feet in height.	NO

Façade Work that may be Exempt from Permits in All Buildings

	<u>1 RCNY 101-14: Table 3</u> <u>Exterior Façade Restoration Item (all buildings)</u>	<u>Permit required?</u>
I. Masonry (not including Terra Cotta and Stone)	1. Brick re-pointing (or other unit masonry).	NO
	2. Removal and replacement of individual bricks - single outside wythe up to 10 sf., not to exceed 4 ft. horizontally, in any 100 sf. of wall area, and the cumulative area of all brick replacement on all facades does not exceed 150 sq. ft.	NO
	3. Mechanical anchorage (pinning) of brick masonry to underlying structure.	YES
	4. Parapet demolition and reconstruction.	YES
	5. Increasing height of an existing parapet.	YES
	6. Installation of new parapet coping (masonry).	NO
	7. Installation of new parapet guardrail.	YES
	8. Replacement of existing guardrail or parapet to the same height (for masonry parapets, replacement of existing parapet limited to 10 sq. ft. in any 100 sq. ft. of continuous parapet vertical surface area.	NO
	9. Installation of expansion or control joints in existing masonry construction (entailing saw-cutting of masonry).	YES

Façade Work that may be Exempt from Permit in All Buildings

	<u>1 RCNY 101-14: Table 3</u> <u>Exterior Façade Restoration Item (all buildings)</u>	<u>Permit required?</u>
<u>I. Masonry (not including Terra Cotta and Stone)</u>	10. Installation of flashing and weeps, repair or replacement of relieving angles (or lintels), installation of new brickwork, exceeding limits noted in #2 above.	YES
	11. Flashing: cutting in reglet, removing one or two courses of brick from a single wythe on inside face of parapets, exceeding limits noted in #2 above.	YES
	12. Masonry crack repair with injection of repair mortar.	NO
	13. Masonry cladding of existing exterior building walls.	YES
	14. Replacement of masonry sills.	NO

Façade Work that may be Exempt from Permits in All Buildings

	<u>1 RCNY 101-14: Table 3</u> <u>Exterior Façade Restoration Item (all buildings)</u>	<u>Permit required?</u>
<u>II. Concrete Restoration</u>	1. Structural repair, reinforcement of concrete (repair of re-bars, posttension cables, curtain panel wall, pre-cast concrete).	YES
	2. Spandrels: repair of cracked or spalled concrete on exterior concrete spandrel beams, concrete fascias or balconies (whether or not repair of deteriorated steel reinforcement is required).	YES
	3. Repair or re-anchoring of existing aluminum or steel balcony handrails.	NO
	4. Concrete crack repair with injection of repair cement.	NO
<u>III. Stone/Terra Cotta Restoration</u>	1. For buildings subject to the requirements of §28-302, patching of spalls or cracks on exterior stone or terra cotta masonry.	YES
	2. Removal and replacement of exterior stone or terra cotta ornamentation with an alternative material.	YES
	3. Mechanical anchorage (pinning) of displaced stone or terra cotta masonry to underlying structure.	YES

Façade Work that may be Exempt from Permits in All Buildings

	<u>1 RCNY 101-14: Table 3</u> <u>Exterior Façade Restoration Item (all buildings)</u>	<u>Permit required?</u>
<u>IV. Curtain/ Panel Walls</u>	1. Repair, replacements of structural components of panel wall system.	YES
	2. Removal or replacement of inspection plates.	NO
	3. Repair or replacement of sheet metal window clip covers.	NO
	4. Replacement of exterior glass panels in kind, limited to 1,000 square feet of glass in any given 10,000 square feet of wall area.	NO
	5. Replacement of inner glass panels from within the building.	NO
<u>V. Cleaning or Coating of Masonry/Concrete/Metal/EIFS</u>	1. Cleaning, coloring or painting of masonry (brick, stone, terra cotta), concrete.	NO
	2. Application of (trowel applied) cementitious material (stucco) no greater than 1" (25.4 mm) in thickness or other material (brownstone) no greater than 1/8" (3.2 mm) in thickness to exterior surfaces of building walls, excluding newly installed exterior insulation finish systems (EIFS). The application must be limited to a height of 40 feet, measured vertically from the adjoining grade or an adjoining setback that is at least 10 feet deep.	NO
	3. Application of sealant, caulking, regrouting.	NO
	4. Minor repair of exterior insulation finish systems (EIFS), not to exceed 10 square feet in any given 100 square feet of continuous EIFS wall surface area.	NO

Façade Work that may be Exempt from Permits in All Buildings

	<u>1 RCNY 101-14: Table 3</u> <u>Exterior Façade Restoration Item (all buildings)</u>	<u>Permit required?</u>
<u>VI. Miscellaneous Metal/Steel</u>	1. For buildings subject to the requirements of §28-302, scraping and painting, flashing and coloring, sealing and coating of steel structural members (including lintels over windows) entailing removal and replacement of brick or other masonry, exceeding 10 sq. ft., 4 ft. horizontally, in any 100 sf. of wall area.	YES
	2. Removal and replacement of steel structural members (including lintels over windows), exceeding 10 sq. ft., 4 ft. horizontally, in any 100 sf. of exterior wall area.	YES
	3. Reinforcement of steel structural members (spandrels, beams columns).	YES
	4. Reinforcement of fire escape bars, struts, baskets, or supports.	NO
	5. Installation of handrails at perimeters of balconies, terraces, or rooftops.	YES
	6. Installation of appurtenances (signs more than six square feet (0.56 m ²) in area, flagpoles, water tanks, awnings, satellite dishes) to the exterior wall or at perimeters of balconies, terraces, or rooftops. Exception: flagpoles, awnings, and satellite dishes accessory to one- and two-family dwellings shall not require a permit for installation.	YES

Façade Work that may be Exempt from Permits in All Buildings

1 RCNY 101-14: Table 3

Exterior Façade Restoration Item (all buildings)

<u>VII. Sheet Metal</u>	1. Sheet metal cladding of facades of existing cornice.	YES
	2. Localized (non-structural) repairs/patching to sheet metal cornice.	NO
	3. Repair reinforcement of the structural supports of sheet metal cornices.	YES
	4. Installation of new (replacement) sheet metal or glass fiber reinforced concrete (GFRC) cornice.	YES
	5. Installation of parapet coping cover (sheet metal).	NO
	6. Sheet metal cladding of exposed surfaces of parapet wall.	YES

Façade Work that may be Exempt from Permit in All Buildings

<u>VIII. Doors/Windows</u>	<u>1 RCNY 101-14: Table 3</u> <u>Exterior Façade Restoration Item (all buildings)</u>	<u>Permit required?</u>
	<p>1. Replacement of existing windows (balcony doors) that satisfy the following conditions:</p> <ul style="list-style-type: none"> a. such window is not located on the lot line; and b. the replacement does not require a modification of existing masonry openings; and c. the replacement window does not affect access to light or ventilation; and d. there is no change in the operable area of the window. 	NO
	<p>2. Replacement of required fire-rated windows.</p>	YES
	<p>3. Repair or replacement of window and door sills.</p>	NO

Façade Work that may be Exempt from Permit in All Buildings

IX. Miscellaneous	<u>1 RCNY 101-14: Table 3</u> <u>Exterior Façade Restoration Item (all buildings)</u>	<u>Permit required?</u>
	1. Probes involving the removal of less than 10 sf. of unit masonry (with a maximum horizontal dimension not to exceed 4 ft.) in any 100 sf. Of wall area, and the cumulative area of all probe openings on all facades does not exceed 150 sq. ft.	NO
	2. Replacement in kind of exterior gutters and leaders.	NO
	3. Removal of existing signs and marquees.	NO
	4. Replacement of existing signs and marquees.	YES
	5. Installation of new signs and marquees, other than painted signs.	YES
	6. Open screen balcony enclosures on balconies less than 40 feet above grade.	NO
	7. Weather-resistant balcony enclosures, such as windows and solid walls.	YES

Thank You!

Electrical Permits

Mathher Abbassi, P.E., C.E.M., LEED AP BD+C
Senior Electrical Engineer

Electrical Filing Requirements

- 2011 New York City Electrical Code (Local Law 39 of 2011) contains the current Administrative and Electrical Code Technical Standards enforced by DOB
- The Technical Standards consists of:
 - NFPA 70 (2008), the National Electrical Code (NEC)
 - New York City Amendments
- Electrical Permits must be filed by NYC Licensed Electrician before commencing electrical work
 - ED16A is the electrical application form
 - The Plan/ Work Approval Application (PW1) filing does not require the submission of electrical plans
 - The Work Permit Application (PW2) does not apply to electrical work

2 Category of Work

Minor Work

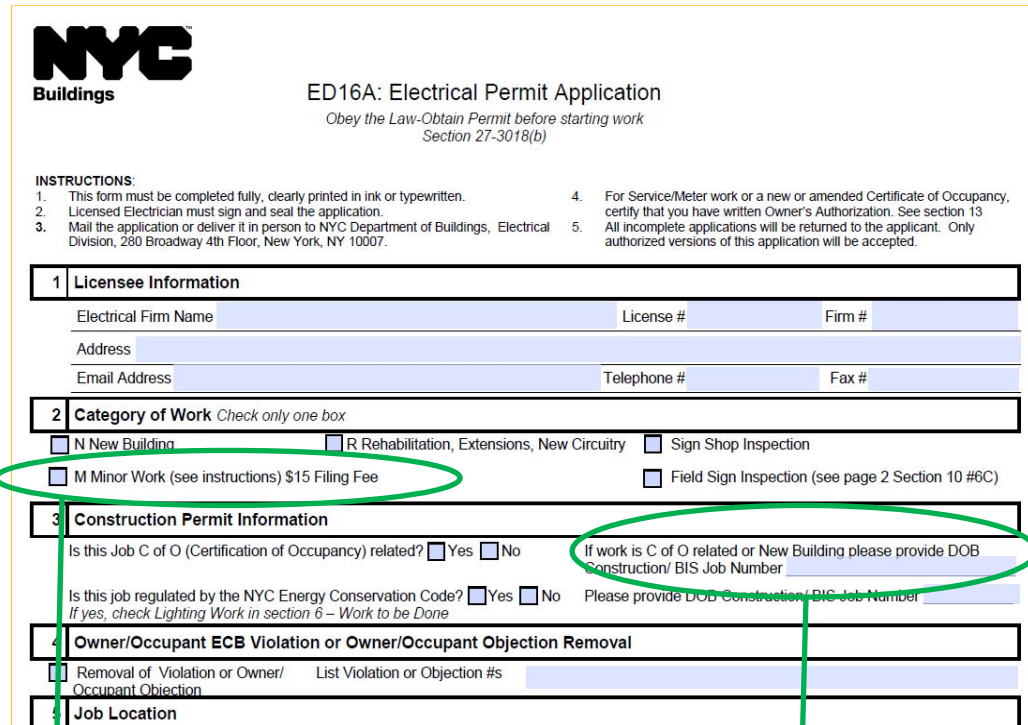
- Check (X) only one box.
- Minor work. For all minor work, excluding those categories as listed below, the applicant must also complete Subsection 7 (Floor Descriptions) of Section 10 (Work Descriptions) under of this form.
- Minor work— Replacement and repairs listed below, must be described under Section 5 in the Contractor's Comments. The applicant must describe the nature of repair or replacement using the letter categories and indicating the number of such repairs or replacements falling into these categories (For example, repairing five defective fixtures must be written as "(E)-5.") The applicant may list a maximum of ten units per address.
 - (A) replacement of defective circuit breakers/switches (30amps and under) excluding main service disconnects;
 - (B) replacement of electrical panels parts (150 volts and under to ground);
 - (C) replacement of minor elevator parts;
 - (D) replacement of defective controls (30 amps and under);
 - (E) repair of defective fixtures;
 - (F) replacement of fixtures in existing outlets (no more that 5 fixtures; no increase in wattage;
 - (G) replacement, repair, disconnection or reconnection of motors (1 horsepower and under), and associated devices; and
 - (H) repairs to low pressure heating plants (capacity under 15lbs/sq.in.)
 - (I) installation of any ten or fewer units not requiring the installation of an additional branch circuit
 - (J) Installation of motors of fractional horsepower
 - (K) Installation of transformers rated at one thousand volt amperes or less
- The completion date for such work should be no more than 90 days after the job start date.

There are two types of Electrical Work (AC §27-3018):

- **Minor work:** primarily repair or replacement in kind. The permit application fee is \$15, and doesn't require DOB inspection. The categories of work are listed on the ED16A instruction sheet.
- **All other work:** is addressed on the ED16A and requires DOB inspection. The Electrical Contractor schedules the inspection upon completion of the work.

Filing Electrical Applications:

- Most applications are electronically filed (eFiling)
- Applications can also be dropped off at 280 Broadway
- Large installations where the combined electrical service switches are over 1000kVA, require Electrical Advisory Board approval prior to filing



NYC Buildings ED16A: Electrical Permit Application
Obey the Law-Obtain Permit before starting work Section 27-3018(b)

INSTRUCTIONS:

- This form must be completed fully, clearly printed in ink or typewritten.
- Licensed Electrician must sign and seal the application.
- Mail the application or deliver it in person to NYC Department of Buildings, Electrical Division, 280 Broadway 4th Floor, New York, NY 10007.
- For Service/Meter work or a new or amended Certificate of Occupancy, certify that you have written Owner's Authorization. See section 13
- All incomplete applications will be returned to the applicant. Only authorized versions of this application will be accepted.

1 Licensee Information

Electrical Firm Name License # Firm #
Address
Email Address Telephone # Fax #

2 Category of Work *Check only one box*

N New Building R Rehabilitation, Extensions, New Circuitry Sign Shop Inspection
 M Minor Work (see instructions) \$15 Filing Fee Field Sign Inspection (see page 2 Section 10 #6C)

3 Construction Permit Information

Is this Job C of O (Certification of Occupancy) related? Yes No **If work is C of O related or New Building please provide DOB Construction/ BIS Job Number**
Is this job regulated by the NYC Energy Conservation Code? Yes No Please provide DOB Construction/ BIS Job Number
If yes, check Lighting Work in section 6 – Work to be Done

4 Owner/Occupant ECB Violation or Owner/Occupant Objection Removal

Removal of Violation or Owner/Occupant Objection List Violation or Objection #

5 Job Location

Minor Work
check box

BIS Number required
for C of O and Energy
Code

- All electrical equipment, material, or apparatus must be listed by a Nationally Recognized Testing Lab. Unlisted material will require field evaluation by such labs
- Electrical Advisory Board (1 RCNY §34-05) is authorized to:
 - Review Large Electrical Installation applications. Requires ED16A, plans and fee of \$650*
 - Advise the Department re granting Special Permission for proposed installations or variance of existing installations. Requires cover letter and fee of \$350* for variances only
 - Review of material not covered by the Electrical Code, the fee is \$200*

*Fees listed as of February 2013, are subject to change

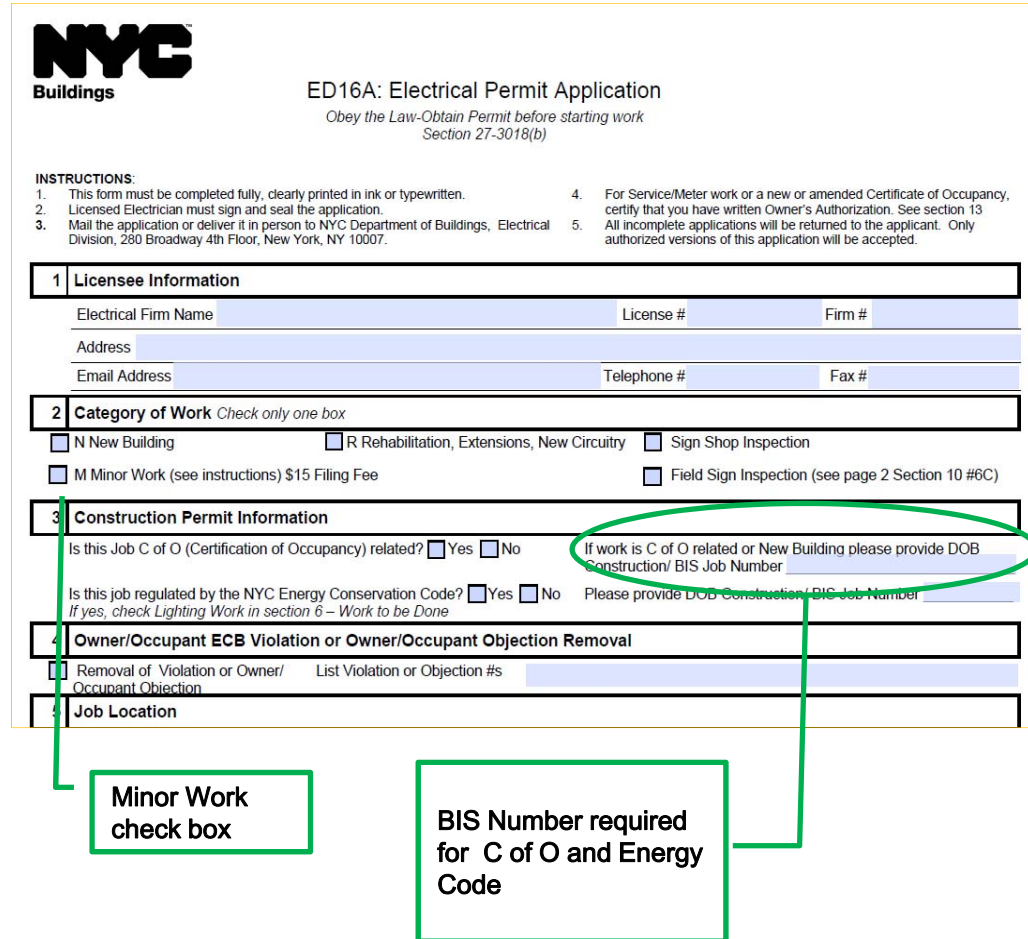
Electrical Violations

Violations may be by issued for improper or illegal electrical work

- Generally, electrical contractors are issued Objections by DOB for non-compliant work which requires correction. These violations can be corrected and removed without paying financial penalty
- Environmental Control Board (ECB) Notice of Violations (NOV) may be issued for conditions including where work is performed without an electrical permit and for work that poses severe and immediate danger to people and/or property. These violations are split into three classes:
 - Class 1 – Immediately Hazardous (e.g., performing work without the required licensee)
 - Class 2 – Major Violation(e.g. Installed more than authorized number of electric meters)
 - Class 3 – Lesser Violation (e.g. failure to secure electrical electrical outlet boxes)
- Unresolved violations may result in delaying or rejecting an application

Electrical Sign Off/ CO issuance

- All electrical permits must be signed off before the Department issues a Certificate of Occupancy (CO)
- The Electrical Contractor must provide the DOB Job Number in Box No. 3 of the ED16A electrical permit application for CO related work



NYC Buildings ED16A: Electrical Permit Application
Obey the Law-Obtain Permit before starting work
Section 27-3018(b)

INSTRUCTIONS:

- This form must be completed fully, clearly printed in ink or typewritten.
- Licensed Electrician must sign and seal the application.
- Mail the application or deliver it in person to NYC Department of Buildings, Electrical Division, 280 Broadway 4th Floor, New York, NY 10007.
- For Service/Meter work or a new or amended Certificate of Occupancy, certify that you have written Owner's Authorization. See section 13
- All incomplete applications will be returned to the applicant. Only authorized versions of this application will be accepted.

1 Licensee Information

Electrical Firm Name License # Firm #
Address
Email Address Telephone # Fax #

2 Category of Work *Check only one box*

N New Building R Rehabilitation, Extensions, New Circuitry Sign Shop Inspection
 M Minor Work (see instructions) \$15 Filing Fee Field Sign Inspection (see page 2 Section 10 #6C)

3 Construction Permit Information

Is this Job C of O (Certification of Occupancy) related? Yes No **If work is C of O related or New Building please provide DOB Construction/ BIS Job Number**
Is this job regulated by the NYC Energy Conservation Code? Yes No **Please provide DOB Construction/ BIS Job Number**
If yes, check Lighting Work in section 6 – Work to be Done

4 Owner/Occupant ECB Violation or Owner/Occupant Objection Removal

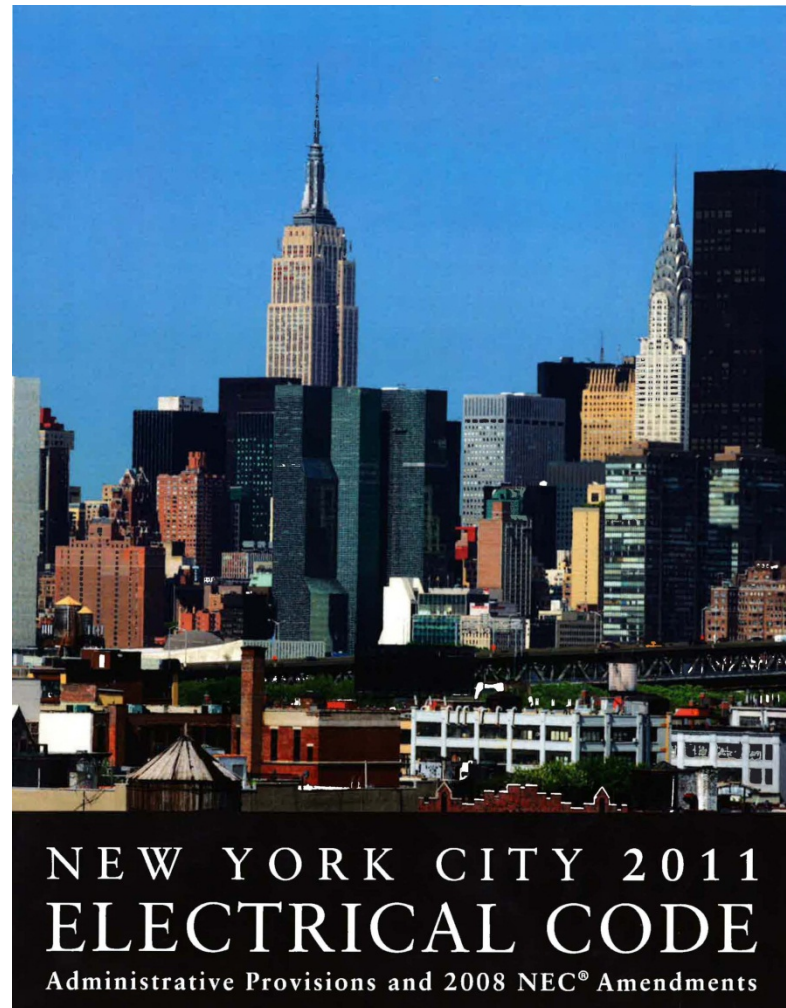
Removal of Violation or Owner/Occupant Objection List Violation or Objection #

5 Job Location

Minor Work check box

BIS Number required for C of O and Energy Code

Thank You!



Filing Organization and Strategy

Joseph Bruno, R.A.
Chief Plan Examiner

New Building

- Professionally filed
- Establish Use/Egress/occupancy
- Multiple work types
- Full DOB inspections
- CO issued at sign off

Alteration Type 2

- Professionally Filed
- Change Egress/structure
- Multiple work types
- Full DOB inspections
- No CO issued

Alteration Type 1

- Professionally filed
- Change use/egress/occupancy
- Multiple work types
- Full DOB inspections
- CO may be issued at sign off

Alteration Type 3

- Professional or non-professional
- No change to egress or structure
- Single work type
- Full DOB inspections
- No CO issued

- File everything in a single application if possible and practical, fewer filings promotes better coordination and integration of the job.
 - *AC 28-104.7.1 Construction documents shall be complete and of sufficient clarity to indicate the location and entire nature and extent of the work proposed, and shall show in detail that they conform to the provisions of this code and other applicable laws and rules; if there exist practical difficulties in the way of carrying out the strict letter of the code, laws or rules, the applicant shall set forth the nature of such difficulties.*

- Plan for all work types needed for a complete job: OT (in addition to OT General Construction, you may need OT Excavation, OT underpinning, OT structural, etc.), PL, MH, BL, SD, SP, FA, EQ, FP, CC, BPP, etc.
- Most work types must be included in the main filing, though they can be subsequent documents with different applicants, special inspectors, etc. You may file as many subsequent documents as you wish.
- A few work types must be filed separately

All work necessary for a complete job must be filed as a single application. For example, all work necessary to complete a change of occupancy or use must be included in the Alt 1 application for the change of occupancy or use.

Breaking the job into multiple applications may result in your application(s) being marked as incomplete, which will delay your review. Furthermore, you will be told to consolidate the work into the main application and withdraw the surplus applications.

You may seek written authorization for a noncompliant filing from the commissioner.

- The following applications must be filed separately:
 - Fire alarm
 - Fire suppression system
 - Builders Pavement Plan
 - Fire protection plan
 - Sign
 - Awning
 - Canopy
 - Marquee
 - Place of assembly
 - Subdivision of improved property
 - Subdivision of unimproved property
 - Subdivision Condominium
 - Full demolition

The following work types may be filed separately:

- Sprinkler
- Standpipe
- Site preparation, such as, pile driving, dewatering
- Sidewalk sheds and other construction equipment
- Curb cut

If you need to deviate from these filing procedures; seek a waiver from the Borough Commissioner. Obtain written authorization by meeting with the commissioner or by filing a CCD1 or have the applicant submit a letter on letterhead explaining the hardship or other justification for a noncompliant filing. We understand that there may be extenuating circumstances and will consider your request.

- AC 28-104.2.1 **Less than full examination of construction documents.** The commissioner may, in the commissioner's discretion, establish a program whereby construction documents may be accepted with less than full examination by the department based on the professional certification of an applicant who is a registered design professional.

- A licensed applicant may elect to professionally certify his project and thereby receive a construction permit upon submission of all necessary documentation and plans and passage of a zoning review (for NB and enlargements).
- The drawings are not otherwise examined by the department and are stamped “Accepted for OPPN #1/04 Professional Certification Manhattan with the Date.”
- Professionally certified jobs are subject to a 20% random audit as required by law.
- AC 28-104.2.1.3 specifies mandatory program requirements including sanctions imposed upon professionals who abuse their privilege.

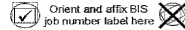
- Applicant checks Professional Certification in Box 4 on PW1 and submits:
 - Form PC1, Required Items Checklist for Professional Certification
 - Form POC1, Professional and Owner Certification
- Department performs Zoning Review to verify that proposal meets the requirements of the Zoning Resolution

- Examiner either issues zoning objections that the applicant must answer or, If the job is acceptable
- Examiner receives the Zoning Review required item, which is the indicator that the job may be stamped by the DEAR clerk
- Job is stamped “Accepted for OPPN #1/04 Professional Certification Manhattan with the Date.”
- Job is ready for permit



PC1: Required Items for Professional Certification

Must be typewritten. Must respond Y/N to all required items.



LOCATION INFORMATION Required for all applications		Block			
House No(s) _____		Lot _____			
Borough _____		BIN _____			
Street Name _____		C.B. No. _____			
Y	N	ITEMS REQUIRED PRIOR TO APPROVAL	Y	N	ITEMS REQUIRED PRIOR TO APPROVAL
		1ST ZONING REVIEW COMPLETE			DESIGN COMM. APPROVAL: CITY-OWNED PRPTY (EXTERIOR)
		2008 CODE TR1 REQUIRED			DESIGN COMM. APPROVAL: DISTINCTIVE SIDEWALK
		2ND ZONING REVIEW COMPLETE			DOB - CONSTRUCTION CODE DETERMINATION (CCD1)
		ACCESSIBILITY WAIVER (PEO1)			DOB - ZONING DIAGRAM (ZD1)
		ADDRESS: NEW HOUSE NUMBER APPROVED			DOB - ZONING RESOLUTION DETERMINATION (ZRD1)
		ADULT ACTIVITY APPROVAL			ECCCNYS ANALYSIS
		ADULT ESTABLISHMENT APPROVAL			ENCROACHMENT ON SIDEWALK: DOT REVOCABLE CONSENT
		A11 OBJECTIONS RESPONSE			ENERGY CODE COMPLIANCE FEE
		ANTI-HARASSMENT AREA CHECKLIST			ENERGY CODE COMPLIANCE REVIEW
		APPLICANT TO SELF CERTIFY OBJECTIONS			ENERGY CODE PROGRESS INSPS TECHNICAL REPORT (TR8)
		ASBESTOS: CERTIFICATION (DEP ACP5)			ENVIRON RESTRICTIONS - OER NOTICE TO PROCEED
		BPP: CATCH BASIN/MANHOLE REQUIRED			FDNY FIRE SUPPRESSION FEE PAYMENT RECEIPT
		BPP: CHECKLIST IN LIEU OF PLANS-ALTS			FEE: CIVIL PENALTY FOR LEGALIZATION
		BPP: CONTRACTOR BOND-INSTALL ROADWAY			FIRE ALARM/SIGNAL SYSTEM (FA) SIGNOFF
		BPP: DISTINCT SIDEWALK-LEGAL AGREEMENT			FIRE ALARM: FDNY RECEIVED & ACCEPTED PLANS
		BPP: DISTINCT SIDEWALK-STONE TEST REPORT			FIRE APPARATUS ACCESS ROADS FOR DEV: FDNY APPROVAL
		BPP: DOT PERMISSION TO MOVE FRANCHISE			FIRE PROTECTION PLAN(FPP): FDNY APPROVAL
		BPP: FIELD VISITS RESULTS NEEDED			FLOOD ZONE DESIGN CERTIFICATION
		BPP: FILING REQUIRED			FOREIGN GOV'T PROPERTY: STATE DEPT. LTR
		BPP: GRADE STUDY			FOUNDATION PLAN APPROVAL
		BPP: INFRASTRUCTURE AND SITE SKETCH			HIGH LINE - PARKS APPROVAL REQUIRED
		BPP: NOTES REQUIRED ON PLAN			HPD: INCLUSIONARY HOUSING LETTER
		BPP: PHOTOS-SIGNED/SEALED BY APPLICANT			HPD: SRO MD CERTIFICATE OF NO HARASSMENT
		BPP: SITE PLAN-NEW R.O.W. INSTALLATION			HUDSON YARDS PARKING AMENDMENT
		BPP: STREET DRAINAGE APPLICATION			HYDRAULIC FLOW CALCULATIONS
		BPP: STREET TREES SITE PLAN			HYDRO FLOW TEST LETTER
		BPP: TOPOGRAPHIC SURVEY			IDENTIFY THE PRIMARY JOB ON PW1
		BPP: TRAFFIC ENG STDY-CC IN INTERSECTION			LANDMARKS APPROVAL
		BPP: WAIVER OF GRADE FILING			LANDMARKS SIGNOFF
		BPP-BSA REQUIREMENTS			LOFT BOARD CERTIFICATE
		BPP-CPC REQUIREMENTS			NYCECC ANALYSIS
		BPP-DEP: NON-STD DRAINAGE STRUCTURE			NYCECC EXEMPTION
		BPP-NYS DEC: DRAIN STREET TO WETLAND			NYS DEC COASTAL EROSION HAZARD APPROVAL
		BPP-PARKS: REMOVE MATURE TREE			NYS DEC COASTAL EROSION HAZARD MAP
		BPP-TA: RELOCATE BUS STOP			NYS DEC FRESHWATER WETLANDS APPROVAL
		BPP-UTILITY APPROVAL TO RELOCATE POLE			NYS DEC FRESHWATER WETLANDS APPROVAL
		BROOKLYN PARKING RESTRICTIONS			NYS DEC TIDAL WETLANDS APPROVAL
		BSA VARIANCE			NYS DEC TIDAL WETLANDS MAP
		BSA/CPC APPROVAL			OAC REGISTRATION
		CALENDARED PROPERTY - 40-DAY HOLD			OTHER (LIST): _____
		CANTILEVER FIRE ANALYSIS APPROVED BY DOB & FDNY			PREFAB/MODULAR CONSTR: NYS COMPLIANCE STATEMENT
		CLINTON DISTRICT: ANTI-HARASSMENT CHECKLIST			PREFABRICATED/MODULAR CONSTR: OTCR APPROVALS
		CLINTON DISTRICT: RESTRICTIVE DEC			PTA3: GREEN ROOF TAX ABATEMENT APPLIC (PRELIMINARY)
		COST AFFIDAVIT ESTIMATE: (PW3)			PTA4: SOLAR TAX ABATEMENT APPLICATION (PRELIMINARY)
		CPC: HUDSON YARDS INITIAL CERTIFICATION			RECORDS MGMT FEE PAYMENT RECEIPT
		CURB CUT: PROVIDE EXISTING NUMBER			RESOLVE ZONING DISCREPANCY
		DEP SANITARY SEWER CERTIFICATION (HCP/SCP)			RESOLVE ZONING DISCREPANCY (DATA CHANGE)
		DEP STORMWATER/SEWER CERTIFICATION (HCP/SCP)			RESTRICTION: DEED

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PC1

- Three page checklist of items that may be required for a complete application.
- List includes:
 - Forms
 - Required Items
 - Special and Progress inspections
 - Approvals from other agencies
 - Determinations, etc.

- Technical Policy and Procedure Notice (TPPN) #1/2001.
- Removal of Objections Issued at Plan Examination:
Optional Self-Certification of compliance by Registered Architects and Professional Engineers.
- Applicant must submit complete plans and all necessary documentation, including BSA or CPC approvals, Certificate of No harassment, etc. at the time of submission so all relevant objections may be raised at the first exam.

- Applicant must indicate Self Cert. of Objections in Box 4 of PW1 at the time of filing and include the following statement in Box 11 of the PW1 form: “The filed application is complete as required in item 1 of the TPPN. I will self-certify the removal of all objections to be issued on this application.”
- Examiner will populate “self-certification of the objections to be submitted by the applicant” required item.

- Examiner reviews job and issues objections
- The applicant self-certifies compliance on an AI1 form by listing each outstanding objection along with the issuance date and explaining how each objection has been corrected, e.g. by correcting plans, adding necessary documents, etc.
- Both applicant and owner provide additional certifications as specified in the TPPN on the AI1 form

- Applicant brings the package along with the AI1 form to the designated plan examiner who stamps the drawings with a Self-Cert of Objections stamp
- Job is ready for permit
- Self Cert of Objections projects are subject to 20% audit

- Plan your Filing Ahead
- Know the members of the design team and who will be responsible for what
- Decide what work types are required for the job and make sure they will be represented in the application whether through additional documents or additional filings as required or permitted by the commissioner.

- Sketch a road map for your filing
 - The Applicant of Record on Doc 1 is usually the lead professional for the job.
 - Individual work types (PL, MH, Etc.) may correspond to individual documents. Doc 1 may be OT, Doc 2 may be PL, Doc 3 may be MH, etc.
 - You may file as many documents as you need. Each document may have a different applicant, which makes it easy to divide responsibility for the work.

- Identify specific forms needed for each document. The owner may contract with a single inspection agency to perform all inspections, or members of the design team may perform inspections related to their specialty.
- Plan your TR1 and TR8 forms accordingly

- **You cannot add work types to the application after a job is approved.** If you leave work types out; you may be required to re-file the job to keep all the work together in a single filing.
- Additional documents are often added in the course of a job as Post Approval Amendments (PAA's). Once a job is approved, the file is locked and cannot be altered unless a PAA is filed. These are routinely filed to amend plans and make changes to the Schedule B or other elements of the project record.

Subsequent filings may be required to fully document the proposed work. Some are part of your design, and others only become apparent in the course of the work.

Examples include:

- Emergency shoring of the structure (distinct from excavation shoring which must be filed as part of the main application)
- Fire suppression system
- Sprinklers filed separately from the main job
- Fire alarm

- When a job is approved in BIS the job file is locked and cannot be changed until a Post Approval Amendment, a new document is filed.
- Post Approval Amendments (PAAs) are filed for all “material” changes, those that could affect the approval of the job:
 - structural changes
 - egress changes
 - Plan re-design
 - Schedule changes
 - Addition of required items
 - Change project cost, etc.

- The scope of the change is described in Box 24 on PW1.
- File and pay for the PAA and make an appointment to review the changes with the examiner.
- **Take your revised plans and/or documents with changes bubbled on the plans or highlighted on the documents to meet with the examiner.** The examiner will review the proposed changes against the approved plans and documents.

- The examiner will either issue objections or stamp the plans approved and amended and enter the approval for the document in the BIS system.
- The examiner will keep a copy of the approved plans and revised documents to send them for scanning
- Minor as-built type changes, reversed door swings, minor plan changes to accommodate field conditions, may be made and bubbled on the plans, and described as amended on an AI1 form. This option is for minor changes only. Re-design is not as-built, that requires a PAA and examination.

Thank You!