

COURSE 103

Filing Representative Training
for

Class 1 Filing Representatives and Class 2 Code and Zoning
Representatives

Includes:

- Pre-filing, Data Entry, and Various application/Forms
- Boilers - PW-1C Combustion Equipment
- 2014 New York City Energy Conservation Code
- Permits
- Home Improvement Contractors
- Builders Pavement Plan
- Limited Alteration Application and Permits Renewals


Pre-filing, Data Entry, and Various Application/Forms

Linette Castillo
Director

- PW1 – Plan/Work Approval Application
- PW1A – Schedule A: Occupancy/Use
- PW1B – Schedule B: Plumbing/Sprinkler/Standpipe
- PW4 – Equipment Use Application/Permit
- PD1 – Plot Diagram
- ST1 – Street Tree Checklist
- AO1 – Administrative Objections Form
- PER11 – Manual Appointment Request and Drop Off Request

Major Items for Input

1. Location
2. Applicant Information (P.E., R.A., Sign Hanger or Homeowner)
3. Filing Representative Information
4. Filing Status
 - Select correct Building Code to be used for this review
 - Choose Pro-Cert or Plan Examination, PAA or W/D
5. Job Project Typed
6. Work Types



PW1: Plan / Work Application
Must be typewritten.

Orient and affix BIS job number label here

1 Location Information <i>Required for all applications.</i>			
House No(s)		Street Name	
Borough	Block	Lot	BIN
Work on Floor(s)			Apt. / Condo No(s)

2 Applicant Information <i>Required for all applications. Fax, mobile telephone and e-mail address are optional information.</i>			
Last Name		First Name	Middle Initial
Business Name		Business Telephone	
Business Address		Business Fax	
City	State	Zip	Mobile Telephone
E-Mail		License Number	
Choose one: <input type="checkbox"/> P.E. <input type="checkbox"/> R.A. <input type="checkbox"/> Sign Hanger <input type="checkbox"/> R.L.A. <input type="checkbox"/> Other: _____			

3 Filing Representative <i>Complete only if different from applicant specified in section 2. Fax, mobile phone, and e-mail are optional info.</i>			
Last Name		First Name	Middle Initial
Business Name		Business Telephone	
Business Address		Business Fax	
City	State	Zip	Mobile Telephone
E-Mail		Registration Number	

4 Filing Status <i>Required for all applications. Choose one and provide specified associated information.</i>			
<input type="checkbox"/> Initial Filing 5, 7, 11, 12A, 25-26 Choose only one: <input type="checkbox"/> Standard Plan Examination or Review <input type="checkbox"/> Professional Certification PC1, POC1 <input type="checkbox"/> Professional Certification of Objections A11		<input type="checkbox"/> Prior to Approval Actions 25-26 <input type="checkbox"/> Amend Existing Filing 4A <input type="checkbox"/> Subsequent Filing 5-7, 8A (Alt-2 only), 11 <input type="checkbox"/> Post Approval Amendment (PAA) 4A, 5, 24-25 <input type="checkbox"/> Will PAA affect filing fees? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> New (Superseding) Applicant 4A, 25-26	
		<input type="checkbox"/> Reinstatement 24-26 <input type="checkbox"/> Withdrawal 26 <input type="checkbox"/> Specified in 4A and 6 <input type="checkbox"/> Entire Job 4A Indicate existing document number affected by filing: _____	

5 Job/Project Types <i>Choose one and provide specified associated information.</i>			
<input type="checkbox"/> Alteration Type 1 or Alteration Type 1 required to meet New Building requirements (28-101.4.5) 14, 20, 22 <input type="checkbox"/> Alteration Type 3 5A, 6B-F, 8C, 9-10, 13C-E, 20, 22 <input type="checkbox"/> New Building 6A-E, 8F-G, 9A, 9C-K, 10, 12 & 13A-E, 14, 18-20, PW1A, PD1 <input type="checkbox"/> Alteration Type 1, OT: "No Work" 8C, 9-10 & 12, 13C-F, 14, 18-19, 22, PW1A, PD1		<input type="checkbox"/> Alteration Type 2 5A, 6A-D, 8A-B, 9-10, 13C-E, & 14, 20, 22 <input type="checkbox"/> Alteration Type 3 5A, 6B-F, 8C, 9-10, 13C-E, 20, 22 <input type="checkbox"/> New Building 6A-E, 8F-G, 9A, 9C-K, 10, 12 & 13A-E, 14, 18-20, PW1A, PD1 <input type="checkbox"/> Sign 5A, 6B-D, 9A, 9D, 22-23	
		<input type="checkbox"/> Full Demolition 6B, 8D, 9A & 9C-D, 9K, 13D-E, 14, 21A, 22 <input type="checkbox"/> Subdivision 9A, 9D, 12A-B <input type="checkbox"/> Condominium <input type="checkbox"/> Improved 17 5A Directive 14 acceptance requested? <input type="checkbox"/> Yes <input type="checkbox"/> No	

6 Work Types <i>Select all that apply but no more than allowed by job and filing type. *OT* required on all NB and Alteration 1 initial applications.</i>			
6A <input type="checkbox"/> BL - Boiler PW1C <input type="checkbox"/> FS - Fuel Storage PW1C <input type="checkbox"/> PL - Plumbing PW1B <input type="checkbox"/> FA - Fire Alarm <input type="checkbox"/> FP - Fire Suppression <input type="checkbox"/> SD - Standpipe PW1B <input type="checkbox"/> FB - Fuel Burning PW1C <input type="checkbox"/> MH - Mechanical <input type="checkbox"/> SP - Sprinkler PW1B		6E <input type="checkbox"/> CC - Curb Cut 16 <input type="checkbox"/> OT/LAN - Landscape 6F <input type="checkbox"/> OT/ANT - Antenna <input type="checkbox"/> OT/BPP - Builders Pavement Plan 8D <input type="checkbox"/> OT/FPP - Fire Protection Plan <input type="checkbox"/> OT/MAR - Marquee 8E, 26B	
6B <input type="checkbox"/> EQ - Construction Equipment 15		6D <input type="checkbox"/> OT - Other, describe: _____	

Major Items for Input

7. Plans/Construction Documents Submitted
8. Additional Information
 - Plumbing, Construction Costs
 - Building Enlargement/Demolition
 - Job Cost
9. Additional Considerations, Limitations or Restrictions
10. New York City Energy Conservation Code

7 Plans/Construction Documents Submitted <small>Plans are required for most applications.</small> Are plans being submitted with this PW1? <input type="checkbox"/> Yes <input type="checkbox"/> No <small>If yes, do the plans include: <input type="checkbox"/> FO — Foundation <input type="checkbox"/> EN — Energy Analysis</small>									
8 Additional Information									
8A	WT	Cost	WT	Cost	WT	Cost	8B	Is a building enlargement proposed? <input type="checkbox"/> No enlargement is proposed <input type="checkbox"/> Yes 12, PD1 <input type="checkbox"/> Horizontal <input type="checkbox"/> Vertical Additional Construction Floor Area: _____ sq. ft.	
								8C	Estimated Job Cost \$ _____
								8D	Street Frontage: _____ linear ft.
								8E	Height: _____ ft. Width: _____ ft.
								8F	Total Construction Floor Area: _____ sq. ft.
9 Additional Considerations, Limitations or Restrictions									
9A Review is requested under which building code? <input type="checkbox"/> 2014 <input type="checkbox"/> 2008 <input type="checkbox"/> 1968 <input type="checkbox"/> Prior to 1968 Yes No Yes No									
9B <input type="checkbox"/> Alteration required to meet New Building requirements (28-101.4.5) <small>If yes, 13A-B</small> <input type="checkbox"/> Alteration is a major change to exits 9C <input type="checkbox"/> Façade Alteration <input type="checkbox"/> Adult Establishment <small>If yes, plot diagram (except DM)</small> <input type="checkbox"/> Compensated Development (Inclusionary Housing) <input type="checkbox"/> Low Income Housing (Inclusionary Housing) <input type="checkbox"/> Single Room Occupancy (SRO) Multiple Dwelling <input type="checkbox"/> Filing Includes Lot Merger / Reapportionment <small>If yes, 17</small> 9D <input type="checkbox"/> Landmark <input type="checkbox"/> Little "E" or RD Site <input type="checkbox"/> Unmapped/CCO Street <input type="checkbox"/> Requesting legalization of work where no work without a permit violations have been issued <input type="checkbox"/> Other (please specify on line provided below): _____ <input type="checkbox"/> CRFN(s) Restrictive Declaration / Easement (max. 4): _____ <input type="checkbox"/> CRFN(s) Zoning Exhibit (I, II, III, etc. - max. 4): _____									
9E <input type="checkbox"/> BSA Calendar Numbers (max. 5): _____ 9F <input type="checkbox"/> CPC Calendar Numbers (max. 5): _____ 9G <input type="checkbox"/> Work includes lighting fixture and/or controls, installation or replacement. [ECC §404 and §505] 9H <input type="checkbox"/> Work includes modular construction under New York State Jurisdiction <input type="checkbox"/> Work includes modular construction under New York City Jurisdiction 9I High Rise Team tracking #: _____ 9J <input type="checkbox"/> Structural peer review required per BC 16. <small>If yes, provide NYS P.E. license number:</small> _____ 9K <input type="checkbox"/> Work includes permanent removal of standpipe, sprinkler or fire suppression related systems 9L <input type="checkbox"/> Work includes partial demolition as defined in AC §28-101.5, or the raising/moving of a building <small>If yes, 21B</small> <input type="checkbox"/> Structural stability affected by proposed work									
10 NYCECC Compliance <small>New York City Energy Conservation Code</small> <input type="checkbox"/> To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC* Code Compliance Path (choose one): <input type="checkbox"/> NYCECC <input type="checkbox"/> ASHRAE Energy Analysis (choose one): <input type="checkbox"/> Tabular Analysis <input type="checkbox"/> REScheck <input type="checkbox"/> COMcheck <input type="checkbox"/> Energy Modeling (EN1) <input type="checkbox"/> To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose one): <input type="checkbox"/> The work is an alteration of a State or National Historic building. <input type="checkbox"/> The scope of the work is entirely in a "low-energy building" and is limited to the building envelope. <input type="checkbox"/> The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/PPP. Other work types are not exempt. <input type="checkbox"/> This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.									

Major Items for Input

11. Job Description
12. Zoning Characteristics
13. Building Characteristics
 - Structural system
 - Structural occupancy
 - Building Type
 - Building Code
14. Fill for Site
15. Construction Equipment
16. Curb Cut Description
17. Tax Lot Characteristics
18. Fire Protection Equipment

11 Job Description				11A Related DOB Job Numbers			
				11B Primary application job no.			
12 Zoning Characteristics							
12A District(s) Overlay(s) Special Dist.(s) Map Number				12B Street legal width: _____ ft. Street Status: <input type="checkbox"/> Public <input type="checkbox"/> Private <i>If the zoning lot includes multiple tax lots, list all tax lots here ▶</i>			
12C Proposed: Use* Zoning Floor Area District FAR				Proposed Lot Details:		Proposed Yard Details:	
				Lot Type: <input type="checkbox"/> Corner <input type="checkbox"/> Interior <input type="checkbox"/> Through		Check here if no yards: <input type="checkbox"/> or	
				Lot Coverage _____ %		Front Yard _____ ft.	
				Lot Area _____ sq. ft.		Rear Yard _____ ft.	
				Lot Width _____ ft.		Rear Yard Equivalent _____ ft.	
				Proposed Other Details:		Side Yard 1 _____ ft.	
				Enclosed Parking? <input type="checkbox"/> Yes <input type="checkbox"/> No		Side Yard 2 _____ ft.	
				If yes, no. of parking spaces: _____			
				Perimeter Wall Height _____ ft.			
Proposed Totals sq. ft.							
Existing Total sq. ft.							
*Use can be one of the following: residential, commercial, manufacturing, or community facility. List only one use per line.							
13 Building Characteristics *Main use/dominant occupancy per AC §28-101.5. **Use 2014 Code equivalents only. *Residential w/other use.							
13A Primary structural system, choose one: <input type="checkbox"/> Masonry <input type="checkbox"/> Concrete (CIP) <input type="checkbox"/> Concrete (Precast) <input type="checkbox"/> Steel (Structural) <input type="checkbox"/> Steel (Cold-Formed) <input type="checkbox"/> Steel (Encased in Concrete) <input type="checkbox"/> Wood							
13B Structural Occupancy/Risk Cat.				13D Building Type: <input type="checkbox"/> 1, 2, or 3 Family <input type="checkbox"/> Other		13E Building Height _____ ft.	
Seismic Design Cat.				Mixed use building? <input type="checkbox"/> Yes <input type="checkbox"/> No		Building Stories _____	
2014 Code Designations? <input type="checkbox"/> Yes <input type="checkbox"/> No				2014 Code Designations? <input checked="" type="checkbox"/> Yes** <input type="checkbox"/> No		Dwelling Units _____	
13C Occupancy Classification* <input type="checkbox"/> Yes <input type="checkbox"/> No				Construction Classification <input type="checkbox"/> Yes <input type="checkbox"/> No		Multiple Dwelling Classification <input type="checkbox"/> Yes <input type="checkbox"/> No	
13F Building was originally erected pursuant to which Building Code: <input type="checkbox"/> 2014 <input type="checkbox"/> 2008 <input type="checkbox"/> 1968 <input type="checkbox"/> Prior to 1968							
The earliest Code with which this building or any part of it is required to comply: <input type="checkbox"/> 2014 <input type="checkbox"/> 2008 <input type="checkbox"/> 1968 <input type="checkbox"/> Prior to 1968							
14 Fill Choose one.							
<input type="checkbox"/> Not Applicable <input type="checkbox"/> On-Site <input type="checkbox"/> Off-Site <input type="checkbox"/> Under 300 cubic yards							
15 Construction Equipment				16 Curb Cut Description			
<input type="checkbox"/> Chute <input type="checkbox"/> Sidewalk Shed <input type="checkbox"/> Construction Material: _____				Size of cut (with splays): _____ ft.			
<input type="checkbox"/> Fence Size: _____ linear ft. BSA/MEA Approval No. _____				Distance to nearest corner: _____ ft.			
<input type="checkbox"/> Supported Scaffold <input type="checkbox"/> Other: _____				to street: _____			
17 Tax Lot Characteristics				18 Fire Protection Equipment			
Original tax lots being merged or reapportioned (if applicable):				Existing Proposed			
				Yes No Yes No			
Tentative tax lot numbers (new tax lots only):				Fire Alarm <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
				Fire Suppression <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
				Sprinkler <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
				Standpipe <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			

Major Items for Input

19. Open Spaces
20. Site Characteristics
21. Demolition Details
22. Asbestos Abatement Compliances
 - ACP5
 - ACP 21 Closeout
23. Sign
 - Purpose
 - Type
24. Comments
 - Additional information related to the application.

19 Open Spaces					
	Existing		Proposed		
Plaza Area	sq. ft.		sq. ft.	Arcade Area	sq. ft.
Parking Area	sq. ft.		sq. ft.	Parking Spaces	
Loading Berths	sq. ft.		sq. ft.	Loading Berths	

20 Site Characteristics	20A Flood Hazard Area Information
Yes No <input type="checkbox"/> Tidal Wetlands <input type="checkbox"/> Coastal Erosion Hazard Area <input type="checkbox"/> Fire District	Yes No <input type="checkbox"/> Freshwater Wetlands <input type="checkbox"/> Urban Renewal <input type="checkbox"/> Flood Hazard Area <i>If yes, 20A</i>
Yes No <input type="checkbox"/> Substantial Improvement? <input type="checkbox"/> Substantially damaged? <input type="checkbox"/> Floodshields part of proposed work?	

21 Demolition Details <i>Mechanical equipment other than handheld devices to be used for demolition or removal of debris (BC §3306.4).</i>
Yes No 21A <input type="checkbox"/> Demo. filing is for a secondary structure? <i>If yes, specify structure being demolished:</i> _____ <input type="checkbox"/> Mechanical means* from out of building? <i>If yes, mechanical means will demolish:</i> <input type="checkbox"/> entire structure or <input type="checkbox"/> part of structure <input type="checkbox"/> Mechanical means* from within building? <i>If yes, describe equipment proposed:</i> _____ 21B <input type="checkbox"/> Demolition work affects the exterior building envelope <input type="checkbox"/> The scope of work involves raising/moving of a building

22 Asbestos Abatement Compliance <i>Choose one.</i>
<input type="checkbox"/> The scope of work requires related asbestos abatement as defined in the regulations of the NYC Department of Environmental Protection (DEP). <input type="checkbox"/> The scope of the work is not an asbestos project as defined in the regulations of the NYC DEP. <i>DEP Control # is required.</i> DEP ACP-5 Control No. _____ <input type="checkbox"/> The scope of work is exempt from the asbestos requirement as defined in the regulations promulgated by the NYC DEP (15 RCNY 1-23(b)) or is an alteration to a building constructed pursuant to plans submitted for approval on or after April 1, 1987, in accordance with § 26-106.1.

23 Sign					
Purpose:	Type:	Estimated Cost: \$	23A Illuminated type: <input type="checkbox"/> Direct <input type="checkbox"/> Flashing <input type="checkbox"/> Indirect		
<input type="checkbox"/> Advertising	<input type="checkbox"/> Illuminated 23A	Total Square Feet:	Yes No		
<input type="checkbox"/> Non-Advertising	<input type="checkbox"/> Non-Illuminated	Height above Curb: ft. In.	<input type="checkbox"/> <input type="checkbox"/> If sign projects beyond building line, is owner billed for annual permit? <i>If no, specify in 20B</i>		
Location: <input type="checkbox"/> Ground <input type="checkbox"/> Roof 23B <input type="checkbox"/> Wall	Height above Roof: ft. In.	23B <input type="checkbox"/> <input type="checkbox"/> Is roof sign tight, closed or solid?			
Yes No	23C Sign wording. <i>If extensive, provide only key wording.</i>				
<input type="checkbox"/> Is sign inside building line? <i>If no, sign projects by:</i> ft. In.					
<input type="checkbox"/> Designed for changeable copy? <i>If no, 23C</i>	23D Distance from Arterial Highway: ft.				
<input type="checkbox"/> Does an OAC have an interest in this sign or location? <i>If yes, 23G</i>	23E Distance from Park 1/2 acre or more: ft.				
<input type="checkbox"/> Within 900' and within view of an arterial highway? <i>If yes, 23D</i>	23F OAC Sign Number: _____				
<input type="checkbox"/> Within 200' and within view of a park 1/2 acre or more? <i>If yes, 23E</i>	23G OAC Registration Number: _____				
*If answer is "yes" to either of the above two questions and this is an advertising sign, OAC sign number is required in section 23F					

24 Comments <i>Place additional comments on an AI-1 form. See Guide for proper incorporation of professional certification statements.</i>

25. Applicant's Statement and Signatures

25	Applicant's Statements and Signatures <i>Required for all applications.</i>	
<p><small>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 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 prepared or supervised the preparation of the construction documents and specifications herewith submitted and to the best of my knowledge and belief, the construction documents and work shown thereon comply with the provisions of the NYC Administrative Code and other applicable laws and rules. <input type="checkbox"/> (check here if except as set forth in the accompanying documents. I acknowledge that I have read and complied with all instructions pertaining to this application and supplementary schedules submitted. Cluster Development Statement (if applicable) I hereby state that all specifications relating to this job are identical to those previously filed under the group lead job number, except as specified herein.</small></p> <p><small>For initial New Building and Alteration 1 applications filed under the 2008 or 2014 NYC Building Code only: does this building qualify for high-rise designation? <input type="checkbox"/> Yes <input type="checkbox"/> No</small></p> <p><small>Directive 14 initial applications only: I certify that the construction documents submitted and all construction documents related to this application do not require a new or amended Certificate of Occupancy as there is no change in use, exits, or occupancy. <input type="checkbox"/> Yes <input type="checkbox"/> No</small></p>		
Name (print): _____		
Signature and Date: _____		
<small>P.E. / R.A. Seal (apply seal; this, sign and date over seal)</small>		

26. Property Owner's Statements and Signatures

26	Property Owner's Statements and Signatures	
<p><small>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 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. Furthermore, I understand that I am responsible for insuring that a final inspection be performed when the permitted work is complete, and that a satisfactory report of final inspection be submitted, along with all required submittal documents, so that the NYC Department of Buildings may issue a letter of completion or certificate of occupancy within the time prescribed by law.</small></p> <p><small>I have authorized the applicant to file this application for the work specified herein and all future amendments. I will not knowingly authorize any work that is not in compliance with all applicable laws, rules, and regulations.</small></p> <p>Yes No</p> <p><input type="checkbox"/> <input type="checkbox"/> Fee Exemption Request (Non-Profit Owned and Operated) <small>In accordance with Administrative Code §26-112.1, Exception 1, I certify that the deed holder is a corporation or association organized and operated exclusively for the purposes indicated in such section, and that the property is used exclusively by such entity for such purpose. ★</small></p> <p><input type="checkbox"/> <input type="checkbox"/> Fee Exemption Request (NYCHA/HHC, NYC Agency, or Other Government Owned and Operated) <small>The building or any part thereof to be constructed, renovated, altered or demolished is owned and operated exclusively for the purposes of the NYC Agency, NYC Authority, NYS Agency, Federal Government or any other government entity. ★</small></p> <p><input type="checkbox"/> <input type="checkbox"/> Owner's Certifications Regarding Occupied Housing <small>The site of the building to be altered or demolished, or the site of the new building to be constructed, contains one or more occupied dwelling units that will remain occupied during construction. These occupied dwelling units have been clearly identified on the submitted construction documents.</small></p> <p><input type="checkbox"/> <input type="checkbox"/> <small>The site of the building to be altered or demolished, or the site of the new building to be constructed, contains occupied housing accommodations subject to rent control or rent stabilization under Chapters 3 and 4 of Title 26 of the New York City Administrative Code. If yes, select one of the following:</small></p> <p><input type="checkbox"/> <small>The owner is not required to notify the New York State Homes and Community Renewal (NYSHCR) of the owner's intention to file because the nature and scope of the work proposed, pursuant to NYSHCR regulations, does not require notification.</small></p> <p><input type="checkbox"/> <small>The owner has notified the New York State Homes and Community Renewal (NYSHCR) of its intention to file such construction documents/application for such permit and has complied with all requirements imposed by the regulations of such agency as preconditions for such [filing/application]. Provide date NYSHCR notified: _____</small></p> <p><input type="checkbox"/> <input type="checkbox"/> Owner's Certification for Directive 14 Applications (if applicable) <small>I have read and am fully aware of the applicant's statement that the construction documents submitted and all construction documents related to this application will not require a new or amended Certificate of Occupancy as there is no change in use, exits, or occupancy and the work is not inconsistent with the current certificate of occupancy. Furthermore, I understand that I am responsible for retaining a qualified design professional to perform a final inspection when the permitted work is complete and this professional must submit a satisfactory final inspection report to the NYC Department of Buildings within the time following inspection prescribed by Department rule.</small></p> <p><small>Notes for Section 26A: Section required if unit owner signed Section 26. Signature required for authorized representative of Condo or Co-Op board. ★ For fee waivers, please see the PW1 User Guide</small></p>		
<p>Owner: <input type="checkbox"/> Individual <input type="checkbox"/> Partnership <input type="checkbox"/> NYCHA / HHC</p> <p>Type: <input type="checkbox"/> Corporation <input type="checkbox"/> Other Government <input type="checkbox"/> NYC Agency</p> <p><input type="checkbox"/> Condo Unit Owner or Co-Op Tenant-shareholder 26A</p> <p>Is the deed holder a non-profit organization? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>		
Name (please print): _____		
Relationship to Owner: _____		
Business Name/Agency: _____		
Street Address: _____		
City: _____ State: _____ Zip: _____		
Telephone Number: _____ Fax: _____		
E-Mail Address: _____		
Signature and Date ► _____		
26A	Condo/Co-Op Board <i>See note in bottom left corner of page.</i>	
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 Permit	
Name (please print): _____		
Relationship to Owner: _____		
Business Name/Agency: _____		
Street Address: _____		
City: _____ State: _____ Zip: _____		
Telephone Number: _____ Fax: _____		
E-Mail Address: _____		

PW1A: Schedule A - Occupancy / Use

Orient and affix BIS job number label here

Must be typewritten.

Sheet _____ of _____

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

PW1A

Sheet _____ of _____

2 Building Notes to appear on the Certificate of Occupancy

[Large empty area for building notes]

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

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.

Name (please print)

Signature

Date

Internal Use Only

[Large empty area for internal use]

[Signature and Date area with circular seal]

Common Errors

- Incorrect description on floors
- Dwelling unit count incorrect
- Wrong Zoning Use Group listed
- Number of persons listed in occupancy count differs from what's listed in item 13 of the PW1
- Other entries also duplicated from PW1

A PAA is required if these items, or similar require change

However, the “Comments” section can be amended without a PAA being filed

- Required for all New Buildings and any Alterations involving plumbing work
- PW1-B is filed for all Plumbing, Sprinkler and Standpipe work-types.
- For all New Building applications, indicate the type of drainage system(s)
- Administrative approval will not be given if the plumbing work type is not signed-off

PW1B		PAGE	OF	
8 Equipment Information For new work only.				
System (work type)	Components (Piping / Equipment / Fixture)	Floors indicate no. of proposed components and/or "X" for piping		
8A Sprinkler (SP) <i>Must not be off domestic.</i>	P ¹ Sprinkler Piping - Dry			
	P ¹ Sprinkler Piping - Wet			
	E ¹ Dry Pipe Valve			
	E ¹ Booster Pump - SP			
	F Floor/Riser Control Valve			
	F Siamese FDC			
	F Sprinkler Heads			
	F Sprinkler Heads over 999			
	F Sprinkler Heads (thirty or less)			
	F Standpipe Piping			
8B Sprinkler (PL)**	P ¹ Standpipe Piping			
	E ¹ Fire Pump			
8C Fire Standpipe (SD)	E ¹ Special Service Fire Pump			
	F Floor/Riser Control Valve			
	F Hose Cabinet/Rack/Valve			
	F Siamese FDC			
	8D Water/San. (PL)	P ¹ Sanitary Piping (Soil & Venting)		
		P ¹ Water Piping		
		P Water Service Piping		
		E Sewer Ejection Pump		
		E Submeters		
		F Bathtubs/Whirlpools/Hot Tub/Sauna		
F Bidet				
F Chiller/Cooler				
F Dishwasher				
F Domestic Water Tank/Pump				
F Drinking Fountain				
F Floor Drain				
F Grease Trap/Oil Separator/GRD				
F Ice Maker				
F In-Rink Garbage Disposal				
F Lavatory (Common Wash Basin)				
F Laundry - Standpipe				
F Pool				
F RP2/Backflow Preventer (Primary)				
F RP2/Backflow Preventer (Secondary)				
F Sink - Non Residential				
F Sink - Residential				
F Stall Shower				
F Tankless Coil				
F Toilet (Water Closet)				
F Urinal				
F Washing Machine				
F Water Heater (Non-Gas)				
8E Storm (PL)		P ¹ Storm Drainage Piping		
		E Sump Pump		
	F Area/Yard Drain			
	F Detention Tank			
	F Dry Well/Retention			
	F Roof Drain			
8F Gas (PL)	P ¹ Gas Piping			
	E Emergency Shut-off Valve			
	E Fire Suppression Shut-off Valve			
	E Gas Booster Pump			
	F Cooking Equipment (non-residential)			
	F Cooking Equipment (residential)			
	F Gas Boiler (>350K, non-comm, & family)			
	F Gas Burner			
	F Gas Dryer			
	F Gas Furnace			
	F Gas Meter			
	F Gas Water Heater			
	8G Medical (PL)	P ¹ Medical Gas Piping		
E Assorted Medical Equipment				

** Must be off domestic.

* indicates test may be required.

PW4 Equipment Use Application/Permit (EUP)

1. The EUP originated in the 1968 Building Code
2. The 2008 Building Code has renamed the EUP to “Certificate of Compliance” – but the PW4 EUP form is still required
3. If the information on the EUP card (permit) does not correspond with section 5, a Certificate of Occupancy (CO) and possibly a Temporary Certificate of Occupancy (TCO) will not be issued

NYC Buildings PW4: Application for Certificate of Compliance for Equipment Orient and affix this job number label here. Must be typewritten.

1 Filing Status

Job Number _____

2 Type of Equipment *Required for all applications.*

Heating System (Not including boilers) Ventilation System Air Conditioning System Refrigeration

3 Location Information *Required for all applications.*

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

4 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 _____
 P.E. R.A. Other License Number _____

5 Equipment Specifications *Instructions for section (complete all).*

Item—Manufacturer/Trade Name	Floor	No. of Items	Certification Number for Listing	Capacity: BTUs/CFM

6 Statement and Signatures *Required for all applications.*

The owner certifies that he authorizes the applicant to perform the proposed work in accordance with plans and specifications approved under said application. 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 both.

Owner Name _____ Title _____
 Signature _____ Date _____

I hereby certify that the work indicated above has been done in a manner required by the Rules and Regulations of the Department of Buildings except where reported adversely.

Name: _____
 Inspector's Signature: _____ Date Signed Off: _____

Name (please print) _____
 Signature _____ Date _____

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

INTERNAL USE ONLY

Examined and Recommended for Approval <input type="checkbox"/> Yes <input type="checkbox"/> No	Approved <input type="checkbox"/> Yes <input type="checkbox"/> No
Examiner _____	Borough Commissioner _____
Signature _____ Date _____	Signature _____ Date _____

Equipment Use Permit

- The information on the EUP card (permit) must match the information provided on the PW-4 Equipment Use Application form.

THE CITY OF NEW YORK

DEPARTMENT OF BUILDINGS

EQUIPMENT USE PERMIT

LOCATION _____ HOUSE NO. _____ STREET _____ BORO _____

FLOOR OR ROOM NO. _____

APPLICATION TO WHICH ACCESSORY NO. _____ DATE _____
N.B., ALT., B.N., MISC.

This PERMIT is for the use and operation of:

(4) AIR CONDITIONING SYSTEM

(5) VENTILATING SYSTEM

(6) REFRIGERATION SYSTEM

(7) HEATING SYSTEM (NOT INCLUDING BOILER)

I have inspected the equipment described above only insofar as required by Directive No. 16 of 1971, as modified June 26, 1974, and find said equipment has been installed in accordance with the approved plans and Building Code and said Directive.

DATE OF INSPECTION	CAPACITY: BTU OR CUBIC FT. PER MIN	INSPECTOR


This Equipment Use Permit is issued in accordance with Section C26-117.3 of the Administrative Code.

Permit Superintendent

Commissioner

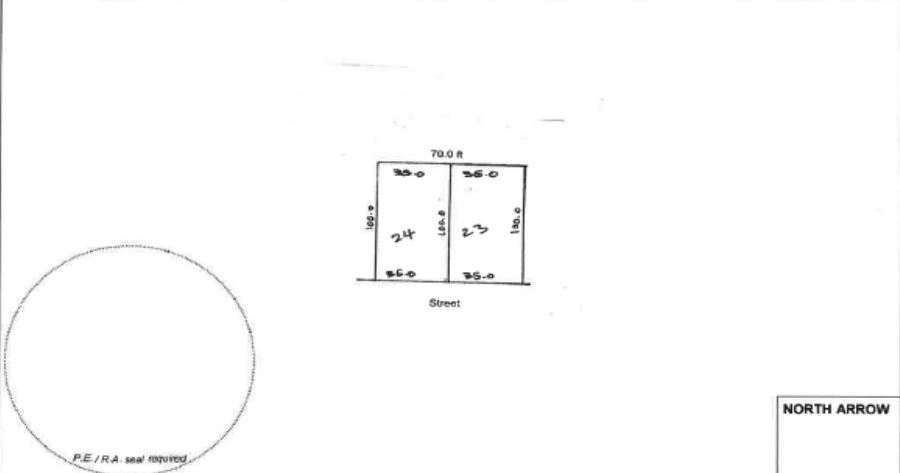
Plot Diagram

- Provides the zoning lot description and also identifies tax lots within the zoning lot
- Provides metes and bounds of land and premises as obtained from the Tax Department
- This form must be completed by a licensed professional
- Sample shown:
 - ✓ One zoning lot with two tax lots

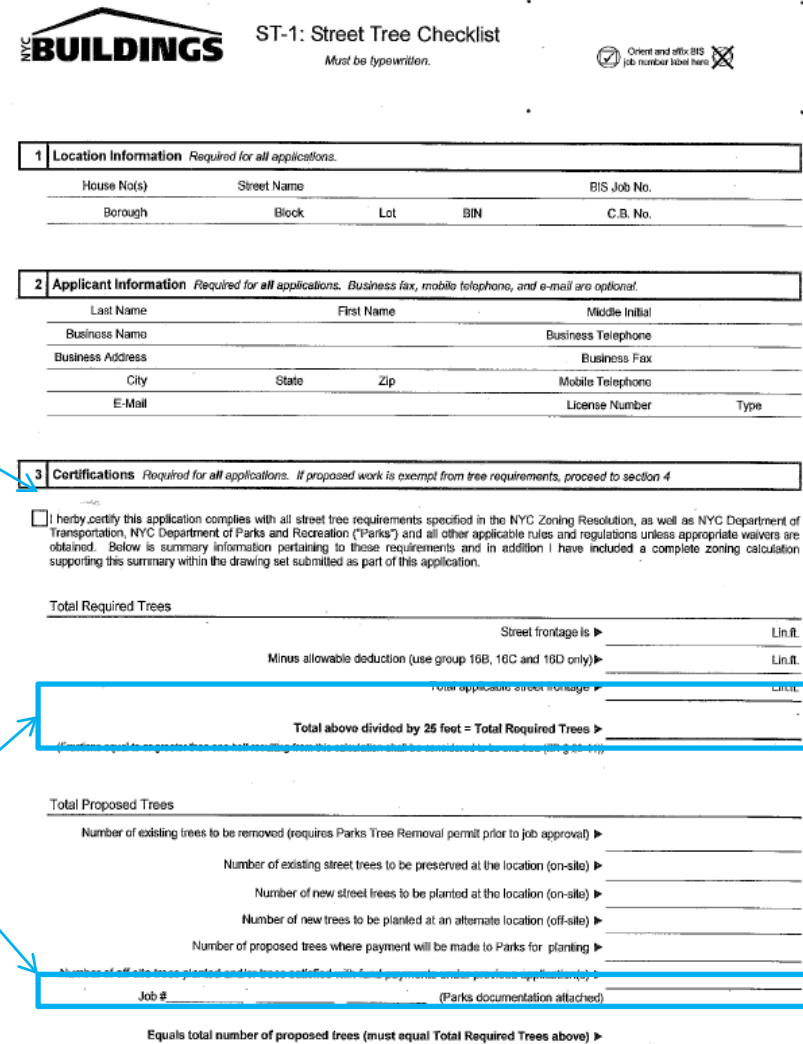


PD-1: Plot Diagram
Must be typewritten.

Orient and affix BIS job number label here

1 Location Information																																
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%; border-bottom: 1px solid black;">House No(s)</td> <td style="border-bottom: 1px solid black;">Street Name</td> </tr> <tr> <td style="border-bottom: 1px solid black;">Borough</td> <td style="border-bottom: 1px solid black;">Block Lot BIN C.B. No.</td> </tr> </table>	House No(s)	Street Name	Borough	Block Lot BIN C.B. No.																												
House No(s)	Street Name																															
Borough	Block Lot BIN C.B. No.																															
2 Plot Diagram of Zoning Lot																																
<p><small>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 Numbers and the Block and Lot Numbers. Indicate dimensions of total tax lots.</small></p> <div style="text-align: center; border: 1px solid black; padding: 10px; width: fit-content; margin: 0 auto;">  </div> <div style="text-align: right; margin-top: 10px;"> <p>NORTH ARROW</p> </div>																																
3 Description of Land and Premises <small>The zoning lot on which the premises is located is bounded as follows:</small>																																
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">BEGINNING at the point on the</td> <td style="width: 25%;">side of</td> <td style="width: 25%;">distant</td> <td style="width: 25%;">feet</td> </tr> <tr> <td colspan="2" style="text-align: center;">of the corner formed by the intersection of</td> <td colspan="2" style="text-align: center;">and</td> </tr> <tr> <td>running thence</td> <td>feet; thence</td> <td>feet; thence</td> <td>feet;</td> </tr> <tr> <td>thence</td> <td>feet; thence</td> <td>feet; thence</td> <td>feet;</td> </tr> <tr> <td>thence</td> <td>feet; thence</td> <td>feet; thence</td> <td>feet;</td> </tr> <tr> <td>thence</td> <td>feet; thence</td> <td>feet; thence</td> <td>feet;</td> </tr> <tr> <td>thence</td> <td>feet; thence</td> <td>feet; thence</td> <td>feet;</td> </tr> <tr> <td>thence</td> <td>feet; thence</td> <td>feet; thence</td> <td>feet; to the point of beginning.</td> </tr> </table>	BEGINNING at the point on the	side of	distant	feet	of the corner formed by the intersection of		and		running thence	feet; thence	feet; thence	feet;	thence	feet; thence	feet; thence	feet;	thence	feet; thence	feet; thence	feet;	thence	feet; thence	feet; thence	feet;	thence	feet; thence	feet; thence	feet;	thence	feet; thence	feet; thence	feet; to the point of beginning.
BEGINNING at the point on the	side of	distant	feet																													
of the corner formed by the intersection of		and																														
running thence	feet; thence	feet; thence	feet;																													
thence	feet; thence	feet; thence	feet;																													
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thence	feet; thence	feet; thence	feet; to the point of beginning.																													
4 Applicant's Statement and Signature																																
<p><small>Falsification of any statement is a misdemeanor under § 28-203.1, Item 1, and 28-11.1 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.</small></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; border-bottom: 1px solid black;">Applicant Name</td> <td style="width: 30%; border-bottom: 1px solid black;">Signature</td> <td style="width: 20%; border-bottom: 1px solid black;">Date</td> </tr> </table>	Applicant Name	Signature	Date																													
Applicant Name	Signature	Date																														

- Required for all New Buildings, Alt1 and Alt2 enlargement applications.
- 3. Certification – certifies that the application complies with all street tree requirements
- Relevant to Zoning Resolution – Number of trees on a Zoning Lot (ZR), not a Tax Lot (DOF)
- Certificate of Occupancy is dependent on Parks Department signoff and must match the information submitted for **total required trees** and **total proposed trees**



NYC BUILDINGS ST-1: Street Tree Checklist
Must be typewritten.

Orient and affix BIS job number label here

1 Location Information *Required for all applications.*

House No(s)	Street Name	BIS Job No.		
Borough	Block	Lot	BIN	C.B. No.

2 Applicant Information *Required for all applications. Business fax, mobile telephone, and e-mail are optional.*

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

3 Certifications *Required for all applications. If proposed work is exempt from tree requirements, proceed to section 4*

I hereby certify this application complies with all street tree requirements specified in the NYC Zoning Resolution, as well as NYC Department of Transportation, NYC Department of Parks and Recreation ("Parks") and all other applicable rules and regulations unless appropriate waivers are obtained. Below is summary information pertaining to these requirements and in addition I have included a complete zoning calculation supporting this summary within the drawing set submitted as part of this application.

Total Required Trees _____

Street frontage is ► _____ Lin.ft.

Minus allowable deduction (use group 16B, 16C and 16D only) ► _____ Lin.ft.

Total applicable street frontage ► _____ Lin.ft.

Total above divided by 25 feet = Total Required Trees ► _____

Total Proposed Trees _____

Number of existing trees to be removed (requires Parks Tree Removal permit prior to job approval) ► _____

Number of existing street trees to be preserved at the location (on-site) ► _____

Number of new street trees to be planted at the location (on-site) ► _____

Number of new trees to be planted at an alternate location (off-site) ► _____

Number of proposed trees where payment will be made to Parks for planting ► _____

Number of off-site trees planted and for trees offset with fund payments under previous application(s) ► _____

Job # _____ (Parks documentation attached)

Equals total number of proposed trees (must equal Total Required Trees above) ► _____

4. Exemptions - only fill out if the proposed work or dominant use group is exempt as specified by the NYC Zoning Resolution
5. Statements & Signature:
 - Owner must sign and notarize the affidavit statement
 - Applicant must sign and seal the affidavit statement

ST-1

PAGE 2

4 Exemptions

I hereby certify this application is **exempt** from all street tree requirements specified in NYC Zoning Resolution because (choose one):

- The building's proposed dominant use group is 17 or 18 and is exempt from street tree requirements as per NYC Zoning Resolution. I understand that any future changes to the dominant use group of the buildings must be submitted to the Department and may require full street tree compliance.
- This is an Enlargement of a single or two family residence that is not located in one of the special districts specified in ZR § 23-03 and not an enlargement of 20% or more pursuant to the Quality Housing Program.
- Proposed work is EXEMPT because (select all that apply)
 - This is **not** an Enlargement exceeding 20% of floor area (ZR §23-03, 24-05, 33-03)
 - This is **not** a Change of Use exceeding 20% of floor area (ZR §23-03, 24-05, 33-03)
 - This is **not** a detached garage that is 400 square feet or greater (ZR §23-03, 24-05, 33-03)

5 Statements and Signatures: Applicant of Record and Owner *Required for all applications.*


Applicant of Record and Owner: Falsification of any statement is a misdemeanor under 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 of Record: I understand that I must inform the Department of any changes to the information contained in this document and submit a revised form reflecting those changes. I understand the information provided on the Building Permit/Plan application submitted in conjunction with this application must be consistent with the information provided on this form.

Owner: I hereby certify I am the owner of the above mentioned premises. I understand that failure to comply with street tree regulations may prevent the issuance of permits, sign-offs or Certificates of Occupancy. I understand this form must be re-filed if a new applicant of record is named.

Owner Name (please print)	Notarization of Owner's Signature State of New York, County of:	Applicant of Record Name (please print)
Signature	Sworn to or affirmed under penalty of perjury day of 20	Signature Date
Date	Notary Signature:	
Notary Seal for Owner's Signature Required		P.E. / R.A. of Record Seal Required

- This form is used by the DOB borough office to capture the reason(s) why an application could not be processed prior to approval
- This form can be viewed online via nyc.gov/bis. Use the 9 digit application number to access



AO1: Administrative Objections
Form

Orient and affix BIS
job number label here

	Applicant-Information Only	
1	PW1 missing or inaccurate information (check all that apply) <input type="checkbox"/> Ownership Information <input type="checkbox"/> Premises Information <input type="checkbox"/> Application Information <input type="checkbox"/> Filing Representative <input type="checkbox"/> Add. Considerations <input type="checkbox"/> Job Description <input type="checkbox"/> Work Type <input type="checkbox"/> Plans Submitted <input type="checkbox"/> Bldg. Characteristics <input type="checkbox"/> Place of Assembly <input type="checkbox"/> Signs <input type="checkbox"/> Const. Equipment <input type="checkbox"/> Fire Protection <input type="checkbox"/> Metes and Bounds <input type="checkbox"/> Fire Protection <input type="checkbox"/> Seal/Signature <input type="checkbox"/> Other	
2	Schedule A <input type="checkbox"/> document missing <input type="checkbox"/> incorrect/missing information (see below) <input type="checkbox"/> job type already signed-off	
3	Schedule B <input type="checkbox"/> document missing <input type="checkbox"/> incorrect/missing information (see below) <input type="checkbox"/> job type already signed-off	
4	TR1 <input type="checkbox"/> document missing <input type="checkbox"/> incorrect/missing information (see below) <input type="checkbox"/> Boring/Test Pits <input type="checkbox"/> Soil Percolation Tests <input type="checkbox"/> Boring of Drywell <input type="checkbox"/> Other	
5	Pre-Approval DEP forms - Forms missing or inaccurate/missing information (check all that apply) <input type="checkbox"/> DEP Asbestos ACP-5 <input type="checkbox"/> DEP ACP-20 <input type="checkbox"/> DEP ACP-21 <input type="checkbox"/> DEP Variance-VS	
6	Building Pavement Plan (BPP) <input type="checkbox"/> document missing <input type="checkbox"/> incorrect/missing information (see below)	
7	Required Items (Pro-Cert Only) <input type="checkbox"/> checklist missing/incomplete <input type="checkbox"/> Stamp missing <input type="checkbox"/> POC-1 Missing/Incomplete	
8	Cashiering <input type="checkbox"/> check missing <input type="checkbox"/> incorrect/missing information (see below)	
9	Other	

The PER11 is used by the filing representative or customer to:

- Schedule appointments
- Request withdrawals and reassignments
- Submit document to be reviewed by the Deputy & Borough Commissioners

NYC Buildings **Manual Appointment Request and Drop Off Request Form**
FORM NOT TO BE USED FOR PREDETERMINATION (PRE-CON) OR DETERMINATION (RE-CON) PURPOSES
 Application must be typewritten.

Choose: Drop-off Manual Appointment Request. **Do not** check-off both items. Please submit a separate form for each job.

Manhattan Tel: 212-566-5662 Fax: 212-566-5671
 Bronx Tel: 718-579-6924 Fax: 718-579-6767
 Brooklyn Tel: 718-802-3670 Fax: 718-802-3969
 Queens Tel: 718-286-0775 Fax: 718-286-0774
 Staten Island Tel: 718-816-2314 Fax: 718-816-2318

1 Attendee Required for all applications.

Name _____ Cell Phone _____
 Title / ID Number _____ Fax Number _____
 Office Phone _____ Email _____

2 Location Information: Required for all applications.

Address _____
 Job Number _____ Document Number _____
 Applicant _____ P.E. R.A. License Number _____
 Plan Examiner _____

3 Manual Appointment Request

TCU Audit (attach objection sheet) Withdrawal
 Special Audit (attach objection sheet) Reassignment
 Pro-Cert Zoning Review For Fee Exempt Job
 Self Certification Of Objections (attach print-outs— No Folders) Cluster Jobs
 Project Advocate
 Other: _____

4 Drop Off Request Include folder with request

AI-1 (As built plans or Final Survey clearly itemized) Equipment Certificate of Compliance Permit
 PAA (D-14 or Schedule B) Satisfaction of Required Items
 Reassignment Special Inspection Reports
 Certificate of Compliance Reinstatement
 Other: _____

5 Comments

INTERNAL USE ONLY

APPOINTMENT APPROVED: <input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS
DATE OF APPOINTMENT:	
TIME OF APPOINTMENT: _____ : _____ <input type="checkbox"/> AM <input type="checkbox"/> PM	
REASSIGNED TO:	
REINSTATEMENT FEE:	
CONFIRMATION NUMBER:	

Thank You!

Boilers

Robert Daly

Director, Central Inspections Boiler Division

Juan Ruiz

Operations Manager, Central Inspections

- The Department of Buildings Boiler Division oversees the installation and operation of New York City's boilers
- Property owners are responsible for ensuring that their boilers:
 - Operate safely; and
 - Are in compliance with the Building Code and all related regulations
- Administrative § 28-303, was enacted in conjunction to the Rules and Codes of New York (RCNY 103.01 and RCNY 103.05), requiring property owners of low pressure and high pressure boilers to:
 - Inspect their boilers annually; and/or
 - Affirm the correction of defects by periodically filing their inspections with the Department

- **BO-9:** Annual Inspection Report or Disc Filing
 - The standard filing report on annual boiler inspections
- **BO-13:** Affirmation of Correction Report
 - The standard filing report on corrections found during annual boiler inspections
- **BO-13E:** Affirmation of Correction Extension Request
 - The standard request report on correction extension for repairs
- **OP-49:** Self Certification of Removal and Disconnection
 - The standard filing report on boiler devices removed or disconnected
- **Schedule C:** Application for Boiler Installation/Replacement
 - The application filing report for new installation or replacement that requires a first test inspection by the Boiler Division

The following must be inspected and filed with the Department annually:

- Low pressure boilers in residential buildings with six or more families
- Low pressure boilers in mixed-used buildings
- Low pressure boilers in commercial buildings
- Low pressure boilers in properties classified as a Single Room Occupancy
- H-stamp domestic hot water heaters with over 350,000 BTUs in residential, mixed-used and commercial buildings
- Mobile Boilers
- High Pressure Boilers

Annual Inspection Filings

- A Boiler Inspection Report ([BO-9 form](#) or ABI Disc-Filing) must be filed within 45 days of performing the inspection
 - Reports submitted more than 45 days after the date of inspection will receive a late penalty of \$50 per boiler for each month the report is late
 - Reports submitted 12 months after the date of inspection will be deemed expired and a penalty of \$1,000 per boiler will be imposed for non-filing or incomplete reports
- If defects are found during an inspection, defects must be corrected and an Affirmation of Correction ([BO-13 form](#) or ABI Disc-Filing) filed within the 180 days of performing the inspection.
 - Reports submitted more than 180 days after the date of inspection will receive a late penalty of \$50 per boiler for each month the report is late
 - Reports submitted 12 months after the date of inspection will be deemed expired and a penalty of \$1,000 per boiler will be imposed for non-filing or incomplete reports
- An owner may request an extension of the filing deadline based on the criteria outlined in [1 RCNY 103-01/05](#). The request can be submitted using the Extension Request ([BO-13E form](#)).

Self Certification of Removal or Disconnection

- An OP-49 form must be filed within 30 days of the removal or disconnection of the boiler

Boiler Search

23 Pick a Borough ▼ Boiler Number:

- Look up Boiler Device information using the Boiler Search feature in BIS at nyc.gov/bis
- Click on the hyperlinked boiler number to view detailed inspection information

Premises: 1 AVENUE MANHATTAN								BIN: 1	Block:	Lot:
VIOL	NUM	MD	SER#	STATUS	INSP-DATE	RECV-DATE	NAME			
	000000	Y	01	VOID						
	000000	Y	02	VOID						
	000000	Y	03	VOID						
	000000	Y	04	VOID						
	000000	Y	05	VOID						
	000000	Y	06	VOID						
	000000	Y	07	VOID						
	000000	Y	08	VOID						
	000000	Y	09	VOID						
N	000000	Y	10	VOID	06/13/2011	07/13/2011	I FACTORY			
N	000000	Y	11	VOID	06/13/2011	07/13/2011	I FACTORY			
N	000000	Y	12	VOID	06/13/2011	07/13/2011	I FACTORY			
N	000000	Y	13	VOID	06/13/2011	07/13/2011	I FACTORY			
N	000000	Y	01	ACTIVE	03/02/2012	03/16/2012	I FACTORY			

NYC Department of Buildings
Boiler Details

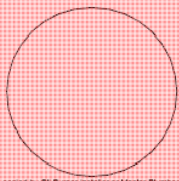
Premises: 1 AVENUE MANHATTAN				BIN: 1	Block:	Lot:
Boiler-No:	000000	Serial-No:	01	Type: MULT DWELL LOW PRESSURE		
Boiler Status:	ACTIVE	Review Required:				
Filed At: 1 AVENUE				BIN: 1	BBL: 1-	
Located in:						
Make of Boiler:		Year:		BTU		
Over6:	Yes	No-of-Boilers:	09			
Fee:	Yes	School:	No			
INSP-DATE	REC-DATE	ENTRY DATE	NAME	RESULTS	NYS CERTIFICATE	
03/02/2012	03/16/2012	09/04/2012	FACTORY	NO DEFECTS	0000	
09/23/2010	06/08/2012	06/10/2012	FACTORY	DEFECTS EXIST	0000	
06/13/2011	07/13/2011	08/11/2011	FACTORY	NO DEFECTS	0000	

BO-9: DOB Boiler Inspection Report



BO-9: DOB Boiler Inspection Report

Note: This inspection report must be filed within forty-five (45) days following the inspection date. Only one form per boiler. Filing Fee Payment Required: Refer to Agency Fee Rule

1 Property Information (Address where the Boiler is Physically Located)						
Borough:	Block:	Lot:	BIN:	Special Place Name:		
House No.:	Street Name:			Zip:		
<input type="checkbox"/> Multiple Dwelling		<input type="checkbox"/> Commercial		<input type="checkbox"/> Mixed Use		<input type="checkbox"/> Other:
						Total Number of Residential Units:
<input type="checkbox"/> Fee Exempt, check type of acceptable proof:		<input type="checkbox"/> Real Estate \$2.00 tax bill		<input type="checkbox"/> Verification Letter from Department of Finance		
2 Owner/Representative Information (for returned purposes)						
Owner/Contact Name:			Day Phone: ()			
Address:		City:	State:	ZIP:		
3 Authorized Inspector Information						
License Professional First / Last Name			License Number:			
License Type: <input type="checkbox"/> Oil Burner Installer <input type="checkbox"/> Master Plumber <input type="checkbox"/> High Pressure Boiler Operator <input type="checkbox"/> Insurance Company						
Company Name:			Business Telephone: ()		Email:	
Company Address:		City:	State:	ZIP:		
4 Boiler Device Information Inspection Completed On: / /						
<small>Boilers must be inspected in accordance with requirements of NY State Labor Law Sections 204, NY State Department of Labor Rules and Regulations 12 NYCRR 4, New York City Code, Article 205 of Title 25 of the Administrative Code, and RCNY §§ 101-27 and 103</small>						
DOB Boiler Number ##### - ##	Boiler Make & Model	Pressure Hi/Lo PSI	BTUs	Location/Floor	Inspection I = Internal E = External	
5 Boiler Inspection Defect Summary						
Inspection Results: <input type="checkbox"/> No Hazardous Defects. If there are Recommendations for Non-hazardous conditions to be corrected, indicate below (check one only). <input type="checkbox"/> Yes - Hazardous Defects Found (BO-13 must be filed within 180 days of insp. date), must indicate defects below.						
Defect (s) Summary						
BOLLER PART						
VIOATING CONDITON						
REMEDY						
Comments/Notes						
6 Authorized Inspector's Statements and Signature						
SEAL	Licensee Name:		License No.:			
	The Department of Buildings' Boiler Division must receive this form within 45 days of the inspection date. If the report is not filed prior to deadline, the owner shall be liable for a civil penalty, pursuant to Section 105-01(c) of Subchapter C of Chapter 100 of Title 1 of the Official Compilation of the Rules of the City of New York.					
	I hereby state that the information above is correct and complete to the best of my knowledge. Falsification of any statement is a misdemeanor under §§28-211.1, 28-201.2, 1.2, and 28-203.1.1 of the Administrative Code and is punishable by a fine, imprisonment, or both. It is a crime to offer or 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. A conviction of offering of a bribe or gratuity is punishable by imprisonment, fine or both.					
<small>(to be sealed by Oil Burner Installer or Master Plumber only)</small>		Licensee Signature:			Date:	
INTERNAL USE ONLY—DO NOT WRITE						
DOB Audit—Inspector's Initials:		Badge Number:		Inspection Date:		
<input type="checkbox"/> Violation Issued		<input type="checkbox"/> No Violation Found		Comments:		

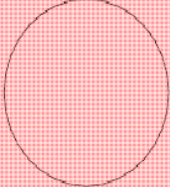
BO-09 (1/14)

BO-13: Boiler Affirmation of Corrections



BO-13: DOB Boiler Affirmation of Correction Inspection Report

Note: This inspection report must be filed within forty-five (45) days following the inspection date. Only one form per boiler.
 Filing Fee Payment Required: Refer to Agency Fee Rule

1 Property Information (Address where the Boiler is Physically Located)					
Borough:	Block:	Lot:	B/N:	Special Place Name:	
House No.:	Street Name:			Zip:	
<input type="checkbox"/> Multiple Dwelling	<input type="checkbox"/> Commercial	<input type="checkbox"/> Mixed Use	<input type="checkbox"/> Other:	Total Number of Residential Units:	
If Fee Exempt, check type of abatement/prior:		<input type="checkbox"/> Real Estate \$0.00 tax bill:	<input type="checkbox"/> Verification Letter from Department of Finance		
2 Owner/Representative Information (for returned purposes)					
Owner/Contact Name:			Day Phone: ()		
Address:		City:	State:	ZIP:	
3 Boiler Device Information BO-9 Boiler Inspection Date: / /					
Boilers must be inspected in accordance with requirements of NY State Labor Law Sections 204, NY State Department of Labor Rules and Regulations 12 NYCRR 4, New York City Code, Article 303 of Title 23 of the Administrative Code, and RONY §§ 101-07 and 103					
DOB Boiler Number #### - ##	Boiler Make & Model:	Pressure Hi/Lo PSI	BTUs	Location/Floor	Inspection I = Internal E = External
-					
4 Boiler Corrections Summary Information Affirmation of Corrections Inspection Date: / /					
Detailed Defects Corrections Comments/Notes					
5 Authorized Inspector Information, Statements and Signature					
License Professional First / Last Name			License Number:		
License Type: <input type="checkbox"/> Oil Burner Installer <input type="checkbox"/> Master Plumber <input type="checkbox"/> High Pressure Boiler Operator <input type="checkbox"/> Insurance Company					
Company Name:		Business Telephone: ()		Email:	
Company Address:		City:	State:	ZIP:	
SEAL	Licensee Name:	License No.:			
	I am an authorized New York City Boiler Inspector and duly swear under penalty of perjury, that I have reviewed the defects identified on the BO-9 report and in conjunction with all the required corrections, I certify and affirm, that all defects identified have been corrected, and/or did not exist at the time of my inspection, in accordance with New York City and State code.				
	The Department of Buildings' Boiler Division must receive this form within 45 days of the inspection date. If the report is not filed prior to deadline, the owner shall be liable for a civil penalty, pursuant to Section 103-01(e) of Subchapter C of Chapter 100 of Title 1 of the Official Compilation of the Rules of the City of New York.				
	I hereby state that the information above is correct and complete to the best of my knowledge. Falsification of any statement is a misdemeanor under §§201.1, 29-201.2, 1.2, and 29-203.1.1 of the Administrative Code and is punishable by a fine, imprisonment, or both. It is a crime to offer or 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. A conviction of offering of a bribe or gratuity is punishable by imprisonment, fine or both.				
(to be sealed by Oil Burner Installer or Master Plumber only)					

OP-49: Self Certification of Removed, Disconnected, or Non-Existing Boiler

NYC Buildings OP49: Self-Certification of Removed, Disconnected, or Non-Existing Boiler
Note: This form must be filed within thirty (30) days following boiler disconnection or removal. Only one form per boiler.

1 Location Information

Borough	Block	Lot	BIN	Total # Res. Units
House No(s)	Street Name	AKA		Total # Commercial Space
Occupancy	<input type="checkbox"/> Multiple Dwelling	<input type="checkbox"/> Commercial	<input type="checkbox"/> Mixed Use	<input type="checkbox"/> Other (describe)

2 Owner/Representative Information

Last Name	First Name	Daytime Telephone
Address		Mobile Telephone
City	State	Zip
Contact Person	E-Mail	
E-Mail	Daytime Telephone	Mobile Telephone

3 Authorized Inspector Information

Last Name	First Name	License Number
Business Name		Business Telephone
Business Address		Mobile Telephone
City	State	Zip
E-Mail		
License Type	<input type="checkbox"/> Oil Burner Equipment Installer (O) <input type="checkbox"/> High Pressure Boiler Operator (B) <input type="checkbox"/> RA (Registered/Licensed Architect) <input type="checkbox"/> Master Plumber (P) <input type="checkbox"/> Authorized Insurance Company <input type="checkbox"/> PE (Licensed Professional Engineer)	

4 Boiler Disposition Information *Owner must provide adequate documentation if reporting a disconnect/removal date prior to the Inspection Date.

4A Boiler Number: _____ Serial Number: _____ Inspection Date: _____

4B Disconnect 4C, 4E Removal 4C, 4E Post Disconnect/Removal Inspection 4C, 4D, 4E, 5 Non-Existing 4E

4C The following conditions for proper boiler disposition were performed, or inspected, and are in accordance with all NYC Administrative Code and other applicable laws and rules: [1] oil burner is removed from boiler (if gas burner, gas line is capped), [2] water supply to boiler is cutoff, [3] electric supply to boiler is disconnected, [4] steam or hydronic header and return is cut above boiler and physically disconnected, and [5] flue pipe is removed from chimney base.

4D Provide actual date of disconnect/removal for this boiler unit: _____

4E Are there any active boilers remaining at this location? Yes 4F No 4G

4F Provide information for each active boiler at this location.

Boiler Number	Serial Number

4G Explain how the building is being heated and provide Job/Permit number(s) and/or Equipment Use number for the alternate device(s).

(← check here if) active devices heat individual residential units and are each 100,000 BTU's or less.

5 Owner's Statements and Signatures

Falsification of any statement is a misdemeanor and punishable by a fine, 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 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.

Name (print) _____ Signature _____ Date _____

6 Authorized Inspector's Statements and Signatures

Falsification of any statement is a misdemeanor and punishable by a fine, 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 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.

Name (print) _____ Signature _____ Date _____

Licensee Seal (apply seal, then sign and date over seal)

Only one form per boiler.

5/11

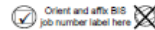
New Device Installation / Replacement Requirements

Property Type	Installation Type	BTU's	Requires Schedule C Yes or No	Requires LAA Yes or No	Requires First Test Insp. Boiler Division	Requires Annual Insp. Yes or No	Requires DEP Renewal Yes or No
1 to 5 Family	New Installation Or Direct Replacement	Up to 350,000 [Gas]	No	Yes	No	No	No
		Up to 350,000 [Oil]	No	Yes	Yes	No	No
		350,000 to 800,000	No	Yes	Yes	No	Yes
		Over 800,000 or more	Yes	No	Yes	No	Yes
6 Family or More Multi-Dwelling Commercial/SRO	New Installation Or Direct Replacement	Up to 350,000	No	Yes	Yes	Yes	No
		350,000 to 800,000	No	Yes	Yes	Yes	Yes
		800,000 or more	Yes	No	Yes	Yes	Yes
6 Family or More Multi-Dwelling Commercial/SRO	Fuel Burner	Up to 350,000	No	Yes	Yes	Yes	No
		350,000 to 2.8 million	No	Yes	Yes	Yes	Yes
		Over 2.8 million	Yes	No	Yes	Yes	Yes
6 Family or More Multi-Dwelling Commercial/SRO	Fuel Storage	660 Gallons or less	No	Yes	Yes	No	No
		660 Gallons or more	Yes	No	Yes	No	No

PW1C: Schedule Heating & Combustion Equipment



PW1C: Schedule C
Heating & Combustion Equipment



Application Must be Typewritten.

1 Filing Status <i>Required for all applications.</i>										
Filing purpose, choose one: <input type="checkbox"/> New Installation <input type="checkbox"/> Replacement/Modification <input type="checkbox"/> Removal/Discontinuation <input type="checkbox"/> Change Grade of Oil Used										
Type of work: <input type="checkbox"/> Boiler <input type="checkbox"/> Oil Burner <input type="checkbox"/> Fuel Storage										
2 Location Information <i>Required for all applications.</i>										
House No(s)		Street Name								
Borough			Block		Lot		BIN		C.B. No.	
Location of Equip. Apt. / Condo No(s)										
Occupancy Type choose one: <input type="checkbox"/> Commercial <input type="checkbox"/> Mixed Use <input type="checkbox"/> 1 to 5 families <input type="checkbox"/> 6 or more families <input type="checkbox"/> Other:										
3 Owner of Boiler <i>Complete only if different from owner of Plan/Work Approval Application.</i>										
Last Name			First Name			Middle Initial				
Business Name					Business Telephone					
Address										
City			State New Yc		Zip		Business Fax			
E-Mail										
4 Boiler Specifications <i>Required for all applications. Only one boiler type per Schedule C.</i>										
No. of Boilers to be Installed			If Modular, Number of Units			DEP Installation No.*				
Operating Gauge Pressure			Pressure Settings of Relief Valves			Operating Weight of Boiler				
Boiler Type: <input type="checkbox"/> High Pressure or <input type="checkbox"/> Low Pressure and <input type="checkbox"/> Water Tube or <input type="checkbox"/> Fire Tube or <input type="checkbox"/> Cast Iron and <input type="checkbox"/> Steam or <input type="checkbox"/> Hot Water Fuel Used: <input type="checkbox"/> Oil or <input type="checkbox"/> Gas or <input type="checkbox"/> Electric										
*DEP no. for replacements only.										
Item Manufacturer / Trade Name		MEA / BSA Number		Model Number		Qty. Boilers	Input Capacity (btu/hr)	Output Capacity (btu/hr)	Efficiency / Test Procedure	
<input type="checkbox"/> The device complies with the NYCECC Table 503.2.3(5) efficiency and test procedures as indicated above, or ECC 403.6 as applicable.										
5 Plan Requirements for Fuel Burning Equipment & Fuel Oil Storage <i>Plans required if any of the below are checked.</i>										
<input type="checkbox"/> Capacity of Equipment exceeds 350,000 BTU <input type="checkbox"/> Tanks are in a building adjacent to the line of a subway										
<input type="checkbox"/> Capacity of each of the oil storage tanks exceeds 275 gallons <input type="checkbox"/> Tanks are located above the lowest story of a building										
<input type="checkbox"/> Tanks are buried or vaulted or enclosed <input type="checkbox"/> Tanks are in a Multiple Dwelling										
<input type="checkbox"/> Fuel Burning equipment will be located above the lowest story of a building										
6 Burner Specifications										
Item Manufacturer / Trade Name		MEA / BSA Number		Model Number				Gross Firing Rate of Oil Burners		
								BTU GPH		
7 Fuel Storage Specifications										
Qty. Tanks	Capacity (gal.):	Tank 1	Tank 2	Tank 3	Tank 4	Oil Grade: <input type="checkbox"/> Grade #1 (Kerosene) <input type="checkbox"/> Grade #4 <input type="checkbox"/> Grade #5 <input type="checkbox"/> Grade #2 (Diesel/Bio Diesel) <input type="checkbox"/> Grade #8				

PW1C

PAGE 2

8 Chimney Information		
Walls made of:	Lining made of:	Full Name:
Statement Regarding Construction of Existing Chimney: I attest that have inspected the chimney at the premises wherein under this application I propose to install oil burning equipment and found that chimney is in good condition.		Address:
		Signature: _____ Date: _____
9 Registered Architect or Professional Engineer Seal and Affirmation		
Full Name:	I affirm that the above information is correct and complete to the best of my knowledge. I understand that falsification of any statement is a misdemeanor under § 28-124 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.	
Address:		
City:	State	Zip
E-Mail:		
Telephone:	Signature	Date
Fax:		
License No.		
Type: <input type="checkbox"/> Professional Engineer <input type="checkbox"/> Registered Architect	P.E. / R.A. Seal (apply seal, then sign and date over seal)	
10 Oil Burner Installer/Master Plumber <i>This section required after work is completed</i>		
Full Name:	Verified Statement of Readiness: This statement must be affirmed under the installer's professional seal as proof that the conditions as stated have been met prior to requesting an appointment. Failed tests resulting from false or incorrect statements of readiness may result in referrals for disciplinary investigation.	
Address:		
City:	State	Zip
E-Mail:	A. I affirm, <input type="checkbox"/> the device installed matches the device contained in this application; or <input type="checkbox"/> the device installed does NOT match the device contained in this application. (check only one)	
Telephone:	B. I affirm, I have inspected the device and the positioning of the device within the premises and I confirm that the installation is in conformance with New York State and City code requirements and the same (1988) code standards.	
Fax:		
License No.		
Type: <input type="checkbox"/> Oil Burner Installer <input type="checkbox"/> Master Plumber	Notice is hereby made on behalf of the OWNER(s), LESSEE(s), or OCCUPANT(s) of the proposed installation of steam or hot water boiler in accordance with Section 27-739 of the Administrative Code. No boiler is to be put into operation until a certification is issued by a boiler inspector. Falsification of any statement is a misdemeanor under § 28-124 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.	
Signature	Date	
Oil Burner Installer / Master Plumber Seal (apply seal, then sign and date over seal)		
Department of Buildings Sign Off <i>For internal use only.</i>		
I hereby certify that the work indicated above has been completed in a manner required by the Rules and Regulations of the New York City Department of Buildings, except where reported adversely.		
Inspector's Full Name (please print): _____		
Examined and Recommended for Approval on: _____ Month _____ Day _____ Year		
Inspector's Signature: _____		Date: _____
Department of Buildings Boiler No(s): _____		

Thank You!

2014 New York City Energy Conservation Code (NYCECC)

Emily Hoffman
Director of Energy Code Compliance

Applicability

As of January 1, 2015, all New Building and Alteration applications must comply

Applications filed on or before December 31, 2014, must comply with the codes in effect at the time of filing.

ENERGY CODE: WHAT APPLIES WHEN	FILING DATE	2002-9/3/2007	9/4/07-12/31/07	1/1/2008-2/18/08	2/19/08-10/14/08	10/15/08-6/30/2010	7/1/10-9/6/10	9/7/10-12/27/10
	CODE	ECCCNYS 2002	ECCCNYS 2002	ECCCNYS 2002 or 2007	ECCCNYS 2002 or 2007	ECCCNYS 2007	NYCECC 2009 (2007 ECCCNYS base)	NYCECC 2009 (2007 ECCCNYS base)
	ASHRAE STD 90.1	1999	1999	1999 or 2001	1999, 2001 or 2004	2004	2004	2004
	PROFESSIONAL STATEMENT	Required on drawings	Required on drawings	Required on PW1	Required on PW1	Required on PW1	Required on PW1	Required on PW1 and drawings
	ENERGY ANALYSIS	NA	Required for NBs and A1s > 50% of building system: REScheck, COMcheck, EC1, Tabular analysis	Required for NBs and A1s > 50% of building system: REScheck, COMcheck, EC1, Tabular analysis	Required for NBs, and A1s, A2s, A3s > 50% of building system: REScheck, COMcheck, EC1, Tabular analysis	Required for NBs, and A1s, A2s, A3s > 50% of building system: REScheck, COMcheck, EC1, Tabular analysis	Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EC1, Tabular analysis	Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EC1, Tabular analysis
	SUPPORTING DOCUMENTATION	NA	Required but not defined	Required but not defined	Required but not defined	Required but not defined	1) Match energy analysis - show building sections, lighting layouts and legend, mechanical efficiencies; 2) Mandatory requirements.	1) Match energy analysis - show building sections, lighting layouts and legend, mechanical efficiencies; 2) Mandatory requirements; 3) Progress inspections.
	COMPLIANCE RULE	NA	NA	NA	NA	NA	NA	1 RCNY §5000-01, effective 9/7/2010
	PROGRESS INSPECTOR RULE	NA	NA	NA	NA	NA	NA	1 RCNY §101-07
	PW1	As applicable	As applicable	As applicable	2008	2008	2008+, with «fix» for Sec. 10	2008+, with «fix» for Sec. 10
	PW1-C	As applicable	As applicable	As applicable	As applicable	As applicable	As applicable	As applicable
	TR1	As applicable	As applicable	As applicable	As applicable	As applicable	As applicable	As applicable
	TR8	NA	NA	NA	NA	NA	NA	NA
	EN1 (EC1)	NA	EC1 2007	EC1 2007	EC1 2007	EC1 2007	EC1 2007	EC1 2007
EN2	NA	NA	NA	NA	NA	NA	NA	

ENERGY CODE: WHAT APPLIES	FILING DATE	12/28/10-12/31/10	1/1/2011-2/6/11	2/7/11-4/14/11	4/15/11-12/31/14	1/1/15 - present
	CODE	NYCECC 2011, incl LL48/2010 (2010 EOCNYS base)	NYCECC 2011, incl LL48/2010 (2010 EOCNYS base)	NYCECC 2011, incl LL48/2010 (2010 EOCNYS base)	NYCECC 2011, incl LL48/2010 (2010 EOCNYS base)	2014 NYCECC
	ASHRAE STD 90.1	2007	2007	2007	2007	2010
	PROFESSIONAL STATEMENT	Required on PW1 and drawings	Required on PW1 and drawings	Required on PW1 and drawings	Required on PW1 and drawings	Required on PW1 and drawings
	ENERGY ANALYSIS	Required for NBs, and A1s, A3s: REScheck, COMcheck, EC1, Tabular analysis	Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EC1, Tabular analysis	Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EN1, Tabular analysis	Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EN1, Tabular analysis	Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EN1, Tabular analysis
	SUPPORTING DOCUMENTATION	1) Match energy analysis - show building sections, lighting layouts and legend, mechanical efficiencies; 2) Mandatory requirements; 3) Progress inspections.	1) Match energy analysis - show building sections, lighting layouts and legend, mechanical efficiencies; 2) Mandatory requirements; 3) Progress inspections.	1) Match energy analysis - show building sections, lighting layouts and legend, mechanical efficiencies; 2) Mandatory requirements; 3) Progress inspections.	1) Match energy analysis - show building sections, lighting layouts and legend, mechanical efficiencies; 2) Mandatory requirements; 3) Progress inspections.	1) Match energy analysis - show building sections, lighting layouts and legend, mechanical efficiencies; 2) Mandatory requirements; 3) Progress inspections. 4) Commissioning
	COMPLIANCE RULE	1 RCONY §5000-01, effective 9/7/2010	1 RCONY §5000-01, effective 9/7/2010	1 RCONY §5000-01, effective 9/7/2010	1 RCONY §5000-01, effective 4/15/2011	1 RCONY §5000-01
	PROGRESS INSPECTOR RULE	1 RCONY §101-07	1 RCONY §101-07, effective 1/1/2011	1 RCONY §101-07, effective 1/1/2011	1 RCONY §101-07, effective 1/1/2011	1 RCONY §101-07
	PW1	2008+, with «fix» for Sec. 10	2008+, with «fix» for Sec. 10	2011	2011	2014
	PW1-C	As applicable	As applicable	2011	2011	2011
	TR1	As applicable	As applicable	2011	2011	2014
	TR8	NA	NA	2011	2011	2014
	EN1 (EC1)	EC1 2007	EC1 2007	EN1 2011	EN1 2011	2014
EN2	NA	NA	2011	2011	2011	

Compliance Requirements

purposes.

2014 NYCECC

2. *Those that do not contain conditioned space.*

101.5.3 Demonstration of compliance. *For a building project application or applications required to be submitted to the department, the following documentation, as further described in the rules of the department, shall be required in order to demonstrate compliance with this code:*

101.5.3.1 Professional statement. *Any registered design professional or lead energy professional filing an application or applications for a new building or alteration project shall provide on a signed and sealed drawing a statement of compliance or exemption in accordance with the rules of the department.*

101.5.3.2 Energy analysis. *For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, an energy analysis shall be provided on a sheet or sheets within the construction drawing set. The energy analysis shall identify the compliance path followed, demonstrate how the design complies with this code and be in a format as prescribed in the rules of the department. The energy analysis shall meet the requirements of this code for the entire project. Projects that utilize trade-offs among disciplines shall use DOE2-based energy modeling programs or other energy-modeling programs as prescribed in the rules of the department and shall be signed and sealed by a lead energy professional.*

101.5.3.3 Supporting documentation. *For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, supporting documentation shall be required in the approved construction drawings. See Section 103 for further requirements.*

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Compliance Requirements

1 RCNY §5000-01

Tabular Analysis

RESccheck - NYS

COMcheck – NYS or ASHRAE 90.1

Energy Modeling (EN1)

Compliance Requirements

NYCECC

purposes.

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1 RCNY §5000-01

Tabular Analysis

REScheck - NYS

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Energy Modeling (EN1)

RESIDENTIAL BUILDING. The term “residential building” includes”

1. Detached one-family dwellings having not more than three stories above grade plane;
2. Detached two-family dwellings having not more than three stories above grade plane;
3. Buildings that (i) consist of three or more attached townhouse units and (ii) have not more than three stories above grade plane;
4. Buildings that (i) are classified in accordance with Chapter 3 of the 2010 edition of the Building Code of New York State in Group R-2, R-3 or R-4 and (ii) have not more than three stories above grade plane;
5. Factory manufactured homes (as defined in section 372(8) of Executive Law); and
6. Mobile homes (as defined in section 372(13) of the Executive Law).

For the purposes of this definition of the term “residential building,” the term “townhouse unit” means a single-family dwelling unit constructed in a group of three or more attached units in which each unit (i) extends from the foundation to roof and (ii) has open space on at least two sides.

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6. Mobile homes (as defined in section 372(13) of the Executive Law).

For the purposes of this definition of the term “residential building,” the term “townhouse unit” means a single-family dwelling unit constructed in a group of three or more attached units in which each unit (i) extends from the foundation to roof and (ii) has open space on at least two sides.

COMMERCIAL BUILDING. The term “commercial building” shall include all buildings not included in the definition of “residential building.”

The 2014 ECCCNY

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Local Law 4 of 2015

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2014 NYCECC



1 RCNY §101-07

Agency & Inspector
Qualifications

1 RCNY §101-07

Agency & Inspector Qualifications

1 RCNY §101-07

CHAPTER 100

Subchapter A Administration

§101-07 Approved Agencies.

(a) **Definitions.** For the purposes of this section, all terms used herein shall have the same meanings as set forth in the New York City Building Code ("Building Code"). In addition, the following terms shall have the following meanings:

- (1) *Approved boiler inspection agency.* An agency employing qualified boiler inspectors.
- (2) *Approved inspection agency.* An agency that is approved by the department as qualified to perform one or more of the inspections required by the New York City Construction Codes ("Construction Codes").
- (3) *Approved pipe welder qualifying agency.* An agency that is approved by the department to qualify welders of gas piping installations in accordance with section 406.1.1.1 of the New York City Fuel Gas Code ("Fuel Gas Code") and high pressure steam piping systems in accordance with section 1210 of the New York City Mechanical Code ("Mechanical Code").
- (4) *Approved product certification agency.* An inspection agency that is approved by the department as qualified to inspect at regular intervals the material that is to be or is listed and labeled, to verify that the labeled material is representative of the material tested.
- (5) *Approved progress inspection agency.* An agency that is approved by the department as qualified to perform one or more of the progress inspections required by section BC 109 of the Building Code.
- (6) *Approved testing agency.* An agency that is approved by the department as qualified to test and evaluate the performance of one or more of the materials regulated in its use by the Construction Codes. Such term shall include, when approved pursuant to department rules, a third party testing or certification agency, evaluation agency, testing laboratory, testing service or other entity concerned with product evaluation. Such term shall also include a licensed concrete testing laboratory.
- (7) *Certificate of compliance.* A certificate stating that materials meet specified standards or that work was done in compliance with approved construction documents and other applicable provisions of law.
- (8) *Construction documents.* Plans and specifications and other written, graphic and pictorial documents, prepared or assembled for describing the design, location and physical characteristics of the elements of the project necessary for obtaining a building permit.
- (9) *Qualified boiler inspector.* An inspector who has been issued a certificate of competence by the State Department of Labor and who is employed by an authorized insurance company, a high pressure boiler operating engineer licensed pursuant to the provisions of the New York City Administrative Code ("Administrative Code"), a class A or class B oil burning equipment installer licensed pursuant to the provisions of such Code, a master plumber licensed pursuant to the provisions of such Code, or a journeyman plumber acting under the direct and continuing supervision of a master plumber licensed pursuant to the provisions of such Code. For inspection of boilers at properties owned or managed by the Department of Education, such term shall include an individual who has passed the National Board Commission examination and who has 5 years relevant experience, as defined below, approved by the department.
- (10) *Qualified elevator inspector.* An individual who has obtained a Qualified Elevator Inspector ("QEI") Certificate from an ASME-accredited agency to witness elevator inspections and tests.
- (11) *Qualified elevator inspector supervisor.* An individual who has obtained a Qualified Elevator Inspector Supervisor ("QEIS") Certificate from an ASME-accredited agency to supervise a QEI's witnessing and/or to witness directly elevator inspections and tests.
- (12) *Qualified exterior wall inspector.* A registered design professional with at least 1 year of relevant experience.
- (13) *Registered design professional.* A New York State licensed and registered architect (RA) or a New York State licensed and registered professional engineer (PE).

1 RCNY §101-07

Agency & Inspector Qualifications

1 RCNY §101-07
Pg 4/11

- department may from time to time request, and any other such information that the commissioner deems appropriate in assessing the competency of the agency's operations. All approved testing and approved inspection agency inspection and test reports shall be retained in a form acceptable to the department and shall bear the name of the approved agency, its accreditation, license or department acceptance identification information where applicable, the name of the director who supervised the inspection or test, the names of all personnel who performed the inspection or test, and the names of all witnesses to such inspection or test.
- (vi)
 - (3) Progress inspection agencies.
 - (i) Responsibility of owner. It shall be the responsibility of the owner to retain an approved agency to perform all required progress inspections for a new building or alteration project.
 - (ii) Obligation to avoid conflict of interest. A progress inspector and/or a progress inspection agency shall not engage in any activities that may conflict with their objection judgment and integrity, including, but not limited to, having a financial and/or other interest in the construction, installation, manufacture or maintenance of structures or components that they inspect.
 - (iii) Agency qualifications. Registered design professionals with relevant experience shall be deemed approved progress inspection agencies, without further requirement of registration or accreditation, for the purpose of conducting the progress inspections required by section BC 109.3.
 - (iv) Inspector qualifications. A progress inspection agency shall conduct required progress inspections, provided such inspections are conducted by a registered design professional with relevant experience or an otherwise qualified individual pursuant to the following table:

Progress Inspection Category	2008 Code Section	Qualifications	
		Primary Inspector or Inspection Supervisor	Supplemental Inspector under direct supervision of Inspection Supervisor
Preliminary inspection	AC 28-116.2.1	<ul style="list-style-type: none"> • Registered design professional with relevant experience 	<ul style="list-style-type: none"> • A person with relevant experience
Compliance inspections	AC 28-116.2.2	<ul style="list-style-type: none"> • Registered design professional with relevant experience 	<ul style="list-style-type: none"> • A person with relevant experience
Footing and foundation	BC 109.3.1	<ul style="list-style-type: none"> • Registered design professional with relevant experience 	<ul style="list-style-type: none"> • A person with relevant experience
Lowest floor elevation	BC 109.3.2; BC G105.3, Item 1	<ul style="list-style-type: none"> • Engineer with relevant experience or licensed professional land surveyor with relevant experience 	<ul style="list-style-type: none"> • A person with relevant experience
Frame	BC 109.3.3	<ul style="list-style-type: none"> • Registered design professional with relevant experience 	<ul style="list-style-type: none"> • A person with relevant experience
Fire-resistance-	BC 109.3.4	<ul style="list-style-type: none"> • Registered design 	<ul style="list-style-type: none"> • A person with

1 RCNY §5000-01

Construction document approval requirements including list of progress inspections

1 RCNY §5000-01

CHAPTER 5000

New York City Energy Conservation Code

§5000-01 Construction document approval requirements for compliance with the New York City Energy Conservation Code.

(a) **Purpose.** This section sets forth the requirements for filing and approval of construction documents and the universe of progress inspections during construction, in accordance with the New York City Energy Conservation Code.

(b) **References:** See New York City Energy Conservation Code (Administrative Code Sections 28-1001.1 et seq.); New York State Energy Conservation Construction Code (19 NYCRR part 1240); Administrative Code Section 28-104.7.9, Sections BC106.13 and BC109.3.5; 1 RCNY §101-07 (“Inspections and Approved Agencies”).

(c) **Definitions.** For the purposes of this chapter, the following terms shall have the following meanings:

(1) **ADDITION.** An addition as defined in the Energy Code.

(2) **APPROVED PROGRESS INSPECTION AGENCY.** An approved progress inspection agency as described in subparagraph (iii) of paragraph (3) of subdivision (c) of section 101-07 of the rules of the Department.

(3) **COMMERCIAL BUILDING.** A commercial building as defined in the Energy Code.

(4) **DESIGN APPLICANT.** An applicant of record who develops, signs and seals the construction drawings. The design applicant may be someone other than the registered design professional who prepares, signs and seals the energy analysis.

(5) **ENERGY CODE.** The New York City Energy Conservation Code (“ECC”), including American Society of Heating, Refrigerating and Air Conditioning Engineers, Inc., Standard 90.1, “Energy Standard for Buildings Except Low-Rise Residential Buildings,” (“ASHRAE 90.1”) where applicable.

(6) **PROJECT.** A project as defined in the Energy Code.

(7) **RESIDENTIAL BUILDING.** A residential building as defined in the Energy Code.

(d) **Applicability.**

(1) **Applicable version and edition of Energy Code.** Applications must comply with the Energy Code version and edition in effect when the application is filed, continuing through construction and sign-off of the application by the Department.

(2) **Commercial building projects.** All applications related to a single commercial building project must use either ECC Chapter 5 or ASHRAE 90.1 (as required by section ECC 501).

(3) **Commercial buildings with vertical fenestration exceeding 40% of the above-grade wall.** Commercial buildings with vertical fenestration exceeding 40% of the above-grade wall must be designed in accordance with either section ECC 506 or ASHRAE 90.1, and the design team must use energy modeling to comply with the Energy Code, as provided in subparagraph (iv) of paragraph (1) of subdivision (f) of this section.

(4) **Identification of related applications.** Applicants must indicate in the application form all applications related to the project or, if an application has not yet been filed, the name of the applicant or

1 RCNY §5000-01

Construction document approval requirements including list of progress inspections

TABLE I – PROGRESS INSPECTIONS FOR ENERGY CODE COMPLIANCE – RESIDENTIAL BUILDINGS

	Inspection/Test	Frequency (minimum)	Reference Standard (See ECC Chapter 6) or Other Criteria	ECC or Other Citation
IA	Envelope Inspections			
IA1	Protection of exposed foundation insulation: Insulation shall be visually inspected to verify proper protection where applied to the exterior of basement or cellar walls, crawl-space walls and/or the perimeter of slab-on-grade floors.	Prior to backfill	Approved construction documents	303.2.1
IA2	Insulation placement and R-values: Installed insulation for each component of the conditioned space envelope and at junctions between components shall be visually inspected to ensure that the R-values are marked, that such R-values conform to the R-values identified in the construction documents and that the insulation is properly installed. Certifications for unmarked insulation shall be similarly visually inspected.	As required to verify continuous enclosure while walls, ceilings and floors are open	Approved construction documents	303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table 402.4.2
IA3	Fenestration thermal values and product ratings: U-factors of installed fenestration shall be verified by visual inspection for conformance with the U-factors identified in the construction drawings, either by verifying the manufacturer’s NFRC labels or, where not labeled, using the ratings in ECC Tables 303.1.3(1) and (2).	As required during installation	Approved construction drawings; NFRC 100	303.1, 303.1.3, 402.1, 402.3, 402.6
IA4	Fenestration product ratings for air leakage: Windows, skylights and sliding glass doors, except site-built windows, skylights and doors, shall be visually inspected to verify that installed assemblies are listed and labeled to the referenced standard.	As required during installation	NFRC 400, AAMA/WDMA/CSA 101/I.S.2/A440	402.4.4
IA5	Fenestration areas: Dimensions of windows, doors and skylights shall be verified by visual inspection.	Prior to final construction inspection	Approved construction documents	402.3, 402.6
IA6	Air sealing and insulation – visual inspection option: Openings and penetrations in the building envelope, including site-built fenestration and doors, shall be visually inspected to verify that they are properly sealed, in accordance with Table 402.4.2.	As required during envelope construction	Approved construction documents; ASTM E283; ASTM E84; RCNYS	402.4.1, 402.4.2.2, 402.4.3
IA7	Air sealing and insulation – testing option: Testing shall be performed in accordance with section ECC 402.4.2.1 and shall be accepted if the building meets the requirements detailed in such section. Test	Prior to final construction inspection	ASHRAE/ASTM E779; ANSI Z65; Approved construction documents	402.4.2.1



TABLE I – PROGRESS INSPECTIONS FOR ENERGY CODE COMPLIANCE – RESIDENTIAL BUILDINGS

	Inspection/Test	Frequency (minimum)	Reference Standard (See ECC Chapter 6) or Other Criteria	ECC or Other Citation
IA	Envelope Inspections			
IA1	Protection of exposed foundation insulation: Insulation shall be visually inspected to verify proper protection where applied to the exterior of basement or cellar walls, crawl-space walls and/or the perimeter of slab-on-grade floors.	Prior to backfill	Approved construction documents	303.2.1
IA2	Insulation placement and R-values: Installed insulation for each component of the conditioned space envelope and at junctions between components shall be visually inspected to ensure that the R-values are marked, that such R-values conform to the R-values identified in the construction documents and that the insulation is properly installed. Certifications for unmarked insulation shall be similarly visually inspected.	As required to verify continuous enclosure while walls, ceilings and floors are open	Approved construction documents	303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table 402.4.2
IA3	Fenestration thermal values and product ratings: U-factors of installed fenestration shall be verified by visual inspection for conformance with the U-factors identified in the construction drawings, either by verifying the manufacturer's NFRC labels or, where not labeled, using the ratings in ECC Tables	As required during installation	Approved construction drawings; NFRC 100	303.1, 303.1.3, 402.1, 402.3, 402.6

3 Energy Code Progress Inspection <i>Required for applications where Energy Code Compliance Progress Inspection is</i>				
3A ← Identification of Requirement			3B Identification of Responsibilities	3C Certificate of Completion Inspections / Test
Y	N	Progress Inspections	Initial & Date	Initial & Date
<input type="checkbox"/>	<input type="checkbox"/>	Protection of exposed foundation insulation	(IA1), (IIA1)	
<input type="checkbox"/>	<input type="checkbox"/>	Insulation placement and R values	(IA2), (IIA2)	
<input type="checkbox"/>	<input type="checkbox"/>	Fenestration u-factor and product rating	(IA3), (IIA3)	
<input type="checkbox"/>	<input type="checkbox"/>	Fenestration air leakage	(IA4), (IIA4)	
<input type="checkbox"/>	<input type="checkbox"/>	Fenestration areas	(IA5), (IIA5)	
<input type="checkbox"/>	<input type="checkbox"/>	Air sealing and insulation — visual	(IA6), (IIA6)	
<input type="checkbox"/>	<input type="checkbox"/>	Air sealing and insulation — testing	(IA7)	

requirements detailed in such section. Test documents

TR8

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 commissioning required for compliance and determined whether commissioning is required.

Commissioning is required for applications where C408 or ASHRAE 90.1 Section 6.7.2.4 requires commissioning. Check one:

This project requires commissioning and a preliminary commissioning report certification will be provide prior to sign-off.

This project does not require commissioning.

Name (please print)

Signature

Date

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

Commissioning is required when:

- Total installed cooling capacity $\geq 480,000$ BTU/h; or
- Total installed heating capacity $\geq 600,000$ BTU/h; or

BB 2010-031

BB 2010-032

BB 2011-015



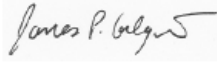
BB 2010-031

BB 2010-032

BB 2011-015

BUILDINGS BULLETIN 2010-031
Technical

Supersedes: None

Issuer: James P. Colgate, R.A., Esq. 
Assistant Commissioner for Technical Affairs and Code Development

Issuance Date: December 29, 2010

Purpose: This document clarifies conditions under which an addition, alteration, renovation or repair to HVAC and/or service water heating systems may not be required to comply with the New York City Energy Conservation Code (NYCECC), pursuant to section NYCECC 101.4.3.

Related Code/Zoning Section(s):	NYCECC 101.4.3	1 RCNY 5000-01	ASHRAE 90.1 Section 6
	NYCECC 403	ASHRAE 90.1 6.1.1.2	ASHRAE 90.1 Section 7
	NYCECC 503	ASHRAE 90.1 6.1.1.3	ASHRAE 90.1 Section 10
	NYCECC 504	ASHRAE 90.1 7.1.1.2	

Subject(s): Additions, mechanical system; Alterations, mechanical system; Renovations, mechanical system; Repairs, mechanical system; Replacement, mechanical system; Additions, service water heating system; Alterations, service water heating system; Renovations, service water heating system; Repairs, service water heating system; Replacement, service water heating system; Additions, HVAC; Alterations, HVAC; Renovations, HVAC; Repairs, HVAC; Replacement, HVAC; New York City Energy Conservation Code; Energy Code

In accordance with section NYCECC 101.4.3, 403, 503, 504, and ASHRAE 90.1 sections 6, 7 and 10, additions to mechanical and/or service water heating systems shall comply with such sections for new construction. Alterations, renovations and/or repairs to mechanical and/or service water heating systems shall be as follows, provided that energy use of the building is not increased:

- Equipment.** Replacement of head-end or terminal equipment, ductwork and/or piping regulated by sections NYCECC 403, 503, 504 and/or ASHRAE 90.1 sections 6, 7 and/or 10 shall be required to comply with the NYCECC, except where there is insufficient space or access to meet ductwork and/or piping requirements. Replacement of equipment parts, such as boiler burners or tubes within a boiler, is not regulated by the NYCECC.

Exception for terminal unit:

Where replacement equipment is a terminal unit of a non-compliant system and there is no compliant equipment that would fulfill the function of the equipment, the replacement equipment need not comply, provided the energy use of the building is not increased.

BB 2010-031
BB 2010-032
BB 2011-015



NYC Building
 280 Broadw
 Robert D. Li



NYC Buildings Department
 280 Broadway, New York, NY 10007
 Robert D. LiMandri, Commissioner



Super

BUILDINGS BULLETIN 2010-032
 Technical

Issuanc

Supersedes: None

Pu

Issuer: James P. Colgate, R.A., Esq. *James P. Colgate*
 Assistant Commissioner for Technical Affairs and Code Development

P
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Issuance Date: December 29, 2010

Sub

Purpose: This document clarifies conditions under which an addition, alteration, renovation or repair to a lighting or electrical power system or control equipment may not be required to comply with the New York City Energy Conservation Code (NYCECC), pursuant to section NYCECC 101.4.3.

Related Code	NYCECC 101.4.3	ASHRAE 90.1	Section 8
Section(s):	NYCECC 404	ASHRAE 90.1	9.1.2
	NYCECC 505	ASHRAE 90.1	Section 9
	1 RCNY 5000-01	ASHRAE 90.1	Section 10

Subject(s): Additions, lighting systems; Alterations, lighting systems; Renovations, lighting systems; Repairs, lighting systems; Replacement, lighting systems; Lighting systems, luminaires; Lighting systems, lighting fixtures; Lighting systems, lighting fixtures, lamps; Lighting systems, lighting fixtures, ballasts; Lighting systems, lighting power density; Interior lighting; Exterior lighting; Electrical, electrical or control equipment; Electrical, energy use; New York City Energy Conservation Code; Energy Code

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In accordance with sections NYCECC 101.4.3, 404, 505 and ASHRAE 90.1 sections 8, 9 and 10, additions, alterations, renovations and/or repairs to lighting and/or power systems and equipment shall be as follows, provided that energy use of the building is not increased:

1. **Interior lighting systems.** For additions, refer to section NYCECC 101.4.3. For alteration, renovation or repair to lighting systems, refer to section NYCECC 101.4.3, including exceptions 7 and 8, and to the following:
 - a. **Luminaires.** When 50 percent or more of the luminaires within the area of the entire scope of work are being replaced, and/or when 50 percent or more of the luminaires within a space are being replaced, the addition, alteration, renovation or repair in each case shall comply with the lighting provisions of the NYCECC or ASHRAE 90.1 as applicable.
 - b. **Lamps.** Lamp replacement shall be as follows:
 - i. **Dwelling units.** Replacement of lamps within dwelling units shall be by high-efficacy lamps where such lamps are available for such lighting fixtures, but such replacement need not exceed the minimum requirements of sections NYCECC 404 and 505.

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BB 2010-031
BB 2010-032
BB 2011-015



NYC Buildings Department
 280 Broadway, New York, NY 10007



NYC Buildings Department
 280 Broadway, New York, NY 10007

Robert D. LiMandri, Commissioner



BUILDINGS BULLETIN 2011-015
 Technical

Supersedes: None

Issuer: James P. Colgate, R.A., Esq. *James P. Colgate*
 Assistant Commissioner for Technical Affairs and Code Development

Issuance Date: June 17, 2011

Purpose: This document clarifies conditions under which an addition, alteration, renovation or repair to a building envelope may not be required to comply with the New York City Energy Conservation Code (NYCECC), pursuant to section NYCECC 101.4.3.

Related Code Section(s): NYCECC 101.2.4 ASHRAE 90.1 Section 5
 NYCECC 101.4.3 1 RCNY 5000-01
 NYCECC 402
 NYCECC 502
 NYCBC 3202.2.1

Subject(s): Additions, building envelope; Alterations, building envelope; Renovations, building envelope; Repairs, building envelope; Energy Code, existing building thermal envelope; Energy Code, roof, ; Energy Code, existing exterior wall; Energy Code, existing curtain wall; Energy Code, existing frame wall; Energy Code, existing masonry wall; Energy Code, existing basement wall; Energy Code, existing slab-on-grade; Energy Code, existing doors; Energy Code, existing windows; Energy Code, existing skylights; New York City Energy Conservation Code; Energy Code.

In accordance with Sections 101.4.3, 402, 502 of the NYCECC, and Section 5 of ASHRAE 90.1, additions, alterations, renovations and/or repairs made to a building envelope shall comply with this bulletin, provided that the energy use of the building is not increased.

1. **Definitions.** Terms used in this bulletin shall have the same meanings as set forth in Chapter 2 of the NYCECC, 1 RCNY 5000-01 and, for the purposes of this bulletin only, as follows:
 - a. **Roof plane.** A single plane of a roof assembly, whether at the top of a building or a roof setback.

the applicant’s firm and discipline for any anticipated related applications.

(e) **Professional statement.** Every application filed by a registered design professional for approval of construction documents for a new building or alteration shall include a professional statement of either compliance with or exemption from the Energy Code.

(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

(i) **Historic building.** All the proposed work is in or on the premises of

(A) a National- or State-designated historic building

(B) a building certified as a contributing building within a National or State historic district

(C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)

(B) FP (fire suppression in a range hood)

(C) SD (standpipe)

(D) SP (sprinklers)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (curb cut)

(H) OT/BPP (builder’s pavement plan)

(I) OT/FPP (fire protection plan).

ARTICLE 111
TEMPORARY STRUCTURES AND USES

§28-111.1 General. The commissioner is authorized to issue a permit for temporary structures and temporary uses. Such permits shall be limited as to time of service or use, but shall not be permitted for more than 30 days. The commissioner may grant extensions for demonstrated cause.

Exception: No permit shall be required for:

SECTION BC 3103
TEMPORARY STRUCTURES

3103.1 General. The provisions of this section shall apply to temporary platforms, reviewing stands, outdoor bandstands and similar miscellaneous structures erected for a period of 30 days or less. Such structures may be constructed of wood whether located inside or outside of the fire districts.

10 NYCECC Compliance *New York City Energy Conservation Code*

- To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC*
 Code Compliance Path (choose **one**): NYCECC ASHRAE
 Energy Analysis (choose **one**): Tabular Analysis REScheck COMcheck Energy Modeling (EN1)
- To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose **one**):
- The work is an alteration of a State or National historic building.
 - The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
 - The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
 - This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

(i) **Historic building.** All the proposed work is in or on the premises of

(A) a National- or State-designated historic building

(B) a building certified as a contributing building within a National or State historic district

(C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)

(B) FP (fire suppression in a range hood)

(C) SD (standpipe)

(D) SP (sprinklers)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (curb cut)

(H) OT/BPP (builder's pavement plan)

(I) OT/FPP (fire protection plan).



5 Job/Project Types Choose one and provide specified associated information.			
<input type="checkbox"/> Alteration Type 1 or Alteration Type 1 required to meet New Building requirements (28-101.4.5) 6A-E, 8B-C, 9-10, 12, 13C-F, 14, 18-20, 22 & PW1A, PD1	<input checked="" type="checkbox"/> Alteration Type 2 5A, 6A-D, 8A-B, 9-10, 13C-E, & 14, 20, 22	<input type="checkbox"/> Full Demolition 6B, 8D, 9A & 9C-D, 9K, 13D-E, 14, 21A, 22	<input type="checkbox"/> Subdivision 9A, 9D, 12A-B
<input type="checkbox"/> Alteration Type 1, OT: "No Work" 8C, 9-10 & 12, 13C-F, 14, 18-19, 22, PW1A, PD1	<input type="checkbox"/> New Building 6A-E, 8F-G, 9A, 9C-K, 10, 12 & 13A-E, 14, 18-20, PW1A, PD1	<input type="checkbox"/> Condominium	<input type="checkbox"/> Improved 17
	<input type="checkbox"/> Sign 5A, 6B-D, 9A, 9D, 22-23	5A Directive 14 acceptance requested? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
6 Work Types Select all that apply but no more than allowed by job and filing type. "OT" required on all NB and Alteration 1 initial applications.			
6A <input type="checkbox"/> BL - Boiler PW1C	<input type="checkbox"/> FS - Fuel Storage PW1C	<input type="checkbox"/> PL - Plumbing PW1B	6E <input type="checkbox"/> CC - Curb Cut 16
<input type="checkbox"/> FA - Fire Alarm	<input type="checkbox"/> FP - Fire Suppression	<input type="checkbox"/> SD - Standpipe PW1B	<input type="checkbox"/> OT/LAN - Landscape
<input type="checkbox"/> FB - Fuel Burning PW1C	<input type="checkbox"/> MH - Mechanical	<input type="checkbox"/> SP - Sprinkler PW1B	6F <input type="checkbox"/> OT/ANT - Antenna
6B <input type="checkbox"/> EQ - Construction Equipment 15	6C <input type="checkbox"/> OT/GC - General Construction	6D <input checked="" type="checkbox"/> OT - Other, describe: SOE	<input type="checkbox"/> OT/BPP - Builders Pavement Plan 8D
			<input type="checkbox"/> OT/FPP - Fire Protection Plan
			<input type="checkbox"/> OT/MAR - Marquee 8E, 26B

Exhibit 1



5 Job/Project Types Choose **one** and provide specified associated information.

- Alteration Type 1 or Alteration Type 1 required to meet New Building requirements (28-101.4.5) 14, 20, 22 6A-E, 8B-C, 9-10, 12, 13C-F, 14, 18-20, 22 & PW1A, PD1
- Alteration Type 2 5A, 6A-D, 8A-B, 9-10, 13C-E, & 14, 20, 22
- Full Demolition 6B, 8D, 9A & 9C-D, 9K, 13D-E, 14, 21A, 22
- Alteration Type 3 5A, 6B-F, 8C, 9-10, 13C-E, 20, 22
- Subdivision 9A, 9D, 12A-B
- New Building 6A-E, 8F-G, 9A, 9C-K, 10, 12 & 13A-E, 14, 18-20, PW1A, PD1
- Condominium Improved 17 5A Directive 14 acceptance requested?
- Alteration Type 1, OT: "No Work" 8C, 9-10 & 12, 13C-F, 14, 18-19, 22, PW1A, PD1
- Sign 5A, 6B-D, 9A, 9D, 22-23
- Yes No

6 Work Types Select all that apply but no more than allowed by job and filing type. "OT" required on all NB and Alteration 1 **initial** applications.

- | | | | | | |
|---|--|---|--|---|--|
| 6A <input type="checkbox"/> BL - Boiler PW1C
<input type="checkbox"/> FA - Fire Alarm
<input type="checkbox"/> FB - Fuel Burning PW1C | 6B <input type="checkbox"/> EQ - Construction Equipment 15 | 6C <input type="checkbox"/> FS - Fuel Storage PW1C
<input type="checkbox"/> FP - Fire Suppression
<input type="checkbox"/> MH - Mechanical
<input type="checkbox"/> OT/GC - General Construction | 6D <input checked="" type="checkbox"/> OT - Other, describe: SOE | 6E <input type="checkbox"/> CC - Curb Cut 16
<input type="checkbox"/> OT/LAN - Landscape | 6F <input type="checkbox"/> OT/ANT - Antenna
<input type="checkbox"/> OT/BPP - Builders Pavement Plan 8D
<input type="checkbox"/> OT/FPP - Fire Protection Plan
<input type="checkbox"/> OT/MAR - Marquee 8E, 26B |
|---|--|---|--|---|--|

10 NYCECC Compliance New York City Energy Conservation Code

- To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC* Code Compliance Path (choose **one**): NYCECC ASHRAE
Energy Analysis (choose **one**): Tabular Analysis REScheck COMcheck Energy Modeling (EN1)
- To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose **one**):
 - The work is an alteration of a State or National historic building.
 - The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
 - The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
 - This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

Exhibit 1

11 Job Description

EXCAVATION - SHEETING & SHORING; AND INSTALLATION OF A PRECAST CONCRETE VAULT AS PER SUBMITTED DRAWINGS. THIS APPLICATION IS FILED IN CONJUNCTION WITH NB #

11A Related DOB Job Numbers

[Redacted]	[Redacted]

11B Primary application job no. [Redacted]



5 Job/Pro

Alteration to meet N 6A-E, 8B-PW1A, PD

Alteration 12, 13C-F

6 Work Ty

6A BL - Bo

FA - Fir

FB - Fu

6B EQ - Co Equipm

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

- (i) **Historic building.** All the proposed work is in or on the premises of
 - (A) a National- or State-designated historic building
 - (B) a building certified as a contributing building within a National or State historic district
 - (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.
- (ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.
- (iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:
 - (A) FA (fire alarm)
 - (B) FP (fire suppression in a range hood)
 - (C) SD (standpipe)
 - (D) SP (sprinklers)
 - (E) FS (fuel storage)
 - (F) EQ (construction equipment)
 - (G) CC (curb cut)
 - (H) OT/BPP (builder's pavement plan)
 - (I) OT/FPP (fire protection plan).

9A & 22 -B

oved 17 requested?

ications.

t Plan 8D

an

8

10 NYCECC Comp

To the best of my knowledge, the work complies with the Energy Code Compliance Energy Analy

To the best of my knowledge, the work is exempt under one of the following:

- The work is an alteration of a State or National historic building.
- The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
- The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
- This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

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Page 2

(EN1)

ance with

Exhibit 1

11 Job Description

EXCAVATION - SHEETING & SHORING; AND INSTALLATION OF A PRECAST CONCRETE VAULT AS PER SUBMITTED DRAWINGS. THIS APPLICATION IS FILED IN CONJUNCTION WITH NB #

11A Related DOB Job Numbers

--	--

INCORRECT

10	NYCECC Compliance <small>New York City Energy Conservation Code</small>
<input type="checkbox"/> To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC* Code Compliance Path (choose one): <input type="checkbox"/> NYCECC <input type="checkbox"/> ASHRAE Energy Analysis (choose one): <input type="checkbox"/> Tabular Analysis <input type="checkbox"/> REScheck <input type="checkbox"/> COMcheck <input type="checkbox"/> Energy Modeling (EN1)	
<input checked="" type="checkbox"/> To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose one):	
<input type="checkbox"/> The work is an alteration of a State or National historic building. <input type="checkbox"/> The scope of the work is entirely in a "low-energy building" and is limited to the building envelope. <input checked="" type="checkbox"/> The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt. <input type="checkbox"/> This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.	

11	Job Description	11A	Related DOB Job Numbers
BUILDERS PAVEMENT PLAN FOR 40 LF OF STREET FRONTAGE FILED HEREWITH			
		11B Primary application job no.	



(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

- (i) **Historic building.** All the proposed work is in or on the premises of
 - (A) a National- or State-designated historic building
 - (B) a building certified as a contributing building within a National or State historic district
 - (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.
- (ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.
- (iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:
 - (A) FA (fire alarm)
 - (B) FP (fire suppression in a range hood)
 - (C) SD (standpipe)
 - (D) SP (sprinklers)
 - (E) FS (fuel storage)
 - (F) EQ (construction equipment)
 - (G) CC (curb cut)
 - (H) OT/BPP (builder's pavement plan)
 - (I) OT/FPP (fire protection plan).

2

10 NYCECC Compliance

To the best of my knowledge, the proposed work complies with the Energy Code Compliance Energy Analysis

To the best of my knowledge, one of the following applies:

- The work is an addition to an existing building
- The scope of the work is limited to
- The entire scope of the work is limited to FA, FP, SD, SP, EQ, CC, OT/BPP, or OT/FPP
- This is a post-application

11 Job Description

BUILDERS PAVEMENT HEREWITH

1 RCNY §5000-01

Page 2

(EN1) compliance with

ed drawings.

rs

11B Primary application job no.

CORRECT



5 Job Types

<input type="checkbox"/> Alteration Type 1	<input type="checkbox"/> New Building	
<input type="checkbox"/> Change in Exits/Egress	<input type="checkbox"/> Alteration Type 2	<input type="checkbox"/> Full Demolition
<input type="checkbox"/> Change in Number of Stories	<input type="checkbox"/> Alteration Type 3	<input type="checkbox"/> Subdivision: Improved
<input type="checkbox"/> Change in Number of Dwelling Units	<input type="checkbox"/> Sign	<input type="checkbox"/> Subdivision: Condo
<input type="checkbox"/> Change in Room Count / Dwelling Units		
<input type="checkbox"/> Change in Occupancy / Use		
<input type="checkbox"/> Change inconsistent with current Cert. of Occup.		
<input type="checkbox"/> Alteration Type 1, OT "No Work"	Directive 14 acceptance requested? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

6 Work Types

<input type="checkbox"/> BL - Boiler	<input type="checkbox"/> FA - Fire Alarm	<input type="checkbox"/> FB - Fuel Burning	<input type="checkbox"/> FS - Fuel Storage
<input type="checkbox"/> FP - Fire Suppression	<input type="checkbox"/> MH - Mechanical	<input type="checkbox"/> PL - Plumbing	<input type="checkbox"/> SD - Standpipe
<input type="checkbox"/> SP - Sprinkler	<input type="checkbox"/> EQ - Construction Equipment	<input type="checkbox"/> CC - Curb Cut	
<input checked="" type="checkbox"/> OT - GEN. CONSTR			

7 Plans/Construction Documents Submitted

Plans Page Count: 1

Exhibit 3

5 Job/Project Types Choose **one** and provide specified associated information.

- Alteration Type 1 or Alteration Type 1 required to meet New Building requirements (28-101.4.5)** 6A-E, 8B-C, 9-10, 12, 13C-F, 14, 18-20, 22 & PW1A, PD1
 Alteration Type 2 5A, 6A-D, 8A-B, 9-10, 13C-E, & 14, 20, 22
 Alteration Type 3 5A, 6B-F, 8C, 9-10, 13C-E, 20, 22
 Full Demolition 6B, 8D, 9A & 9C-D, 9K, 13D-E, 14, 21A, 22
 New Building 6A-E, 8F-G, 9A, 9C-K, 10, 12 & 13A-E, 14, 18-20, PW1A, PD1
 Subdivision 9A, 9D, 12A-B
 Alteration Type 1, OT: "No Work" 8C, 9-10 & 12, 13C-F, 14, 18-19, 22, PW1A, PD1
 Sign 5A, 6B-D, 9A, 9D, 22-23
 Condominium Improved 17
 5A Directive 14 acceptance requested?
 Yes No

6 Work Types Select all that apply but no more than allowed by job and filing type. "OT" required on all NB and Alteration 1 initial applications.

- | | | | |
|---|---|---|--|
| 6A <input type="checkbox"/> BL - Boiler PW1C
<input type="checkbox"/> FA - Fire Alarm
<input type="checkbox"/> FB - Fuel Burning PW1C | <input type="checkbox"/> FS - Fuel Storage PW1C
<input type="checkbox"/> FP - Fire Suppression
<input type="checkbox"/> MH - Mechanical | <input type="checkbox"/> PL - Plumbing PW1B
<input type="checkbox"/> SD - Standpipe PW1B
<input type="checkbox"/> SP - Sprinkler PW1B | 6E <input type="checkbox"/> CC - Curb Cut 16
<input type="checkbox"/> OT/LAN - Landscape |
| 6B <input type="checkbox"/> EQ - Construction Equipment 15 | 6C <input checked="" type="checkbox"/> OT/GC - General Construction | 6D <input type="checkbox"/> OT - Other, describe: | 6F <input type="checkbox"/> OT/ANT - Antenna
<input type="checkbox"/> OT/BPP - Builders Pavement Plan 8D
<input type="checkbox"/> OT/FPP - Fire Protection Plan
<input type="checkbox"/> OT/MAR - Marquee 8E, 26B |

10 NYCECC Compliance New York City Energy Conservation Code

- To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC*
 Code Compliance Path (choose **one**): NYCECC ASHRAE
 Energy Analysis (choose **one**): Tabular Analysis REScheck COMcheck Energy Modeling (EN1)
- To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose **one**):
- The work is an alteration of a State or National historic building.
 - The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
 - The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
 - This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

11 Job Description

PROPOSED A NEW FRONT PORCH TO EXISTING ONE FAMILY DWELLING AS PER PLAN NO CHANGE IN USE, EGRESS OR OCCUPANCY UNDER THIS APPLICATION.

11A Related DOB Job Numbers

11B Primary application job no.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

- (i) **Historic building.** All the proposed work is in or on the premises of
 - (A) a National- or State-designated historic building
 - (B) a building certified as a contributing building within a National or State historic district
 - (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.
- (ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.
- (iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:
 - (A) FA (fire alarm)
 - (B) FP (fire suppression in a range hood)
 - (C) SD (standpipe)
 - (D) SP (sprinklers)
 - (E) FS (fuel storage)
 - (F) EQ (construction equipment)
 - (G) CC (curb cut)
 - (H) OT/BPP (builder's pavement plan)
 - (I) OT/FPP (fire protection plan).

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5 Job/Project Types

- Alteration Type 1 or A to meet New Building 6A-E, 8B-C, 9-10, 12, 13A, PW1A, PD1
- Alteration Type 1, OT 12, 13C-F, 14, 18-19, 20

6 Work Types Select

- 6A BL - Boiler PW1C
- FA - Fire Alarm
- FB - Fuel Burning P
- 6B EQ - Construction Equipment 15

10 NYCECC Compliance

- To the best of my knowledge, the work complies with the Energy Code Compliance Energy Analysis (EAC) requirements.
- To the best of my knowledge, the work does not comply with one of the following:

- The work is an alteration of a State or National historic building.
- The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
- The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
- This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

11 Job Description

PROPOSED A NEW FRONT PORCH TO EXISTING ONE FAMILY DWELLING AS PER PLAN NO CHANGE IN USE, EGRESS OR OCCUPANCY UNDER THIS APPLICATION.

11A Related DOB Job Numbers

INCORRECT

11B Primary application job no.

Energy Analysis
2014 NYCECC Chapter 1, 4
Climate Zone 4A

“PROPOSED A NEW FRONT PORCH TO EXISTING ONE FAMILY DWELLING AS PER PLAN.
 NO CHANGE IN USE, EGRESS OR OCCUPANCY UNDER THIS APPLICATION.”

ITEM DESCRIPTION	PROPOSED DESIGN VALUE	CODE PRESCRIPTIVE VALUE AND CITATION	SUPPORTING DOCUMENTATION
Construct new open stone porch with stone steps.	N/A	N/A	A-101 (Elevation, Section))
Install 15’ of wood trellis above 2 front windows. Paint.	N/A	N/A	A-101 (Elevations)
Replace existing stone walkway.	N/A	N/A	A-101 (Plot Plan)
Install new roof over portico.	N/A	101.4.3 Exception # 3	A-101 (Floor Plans)



101.4.3 Additions, alterations, renovations or repairs. *Additions, alterations, renovations or repairs to an existing building, building system, equipment or portion thereof, other than repairs of equipment, shall conform to the provisions of this code as they relate to new construction without requiring the unaltered portion(s) of the existing building, building system or equipment to comply with this code. Additions, alterations, renovations or repairs shall not create an unsafe or hazardous condition or overload existing building systems. An addition shall be deemed to comply with this code if the addition alone complies or if the existing building and addition comply with this code as a single building.*

Exception: *The following need not comply with the provisions of this code provided that the energy use of the building is not increased:*

1. *Storm windows installed over existing fenestration.*
2. *Glass-only replacements in an existing sash and frame, provided that the U-factor and the solar heat gain coefficient (SHGC) shall be equal to or lower than before the glass replacement.*
3. *Alterations, renovations or repairs to roof/ceiling, wall or floor cavities, including spaces between furring strips, provided that such cavities are insulated to the full existing cavity depth with insulation having a minimum nominal value of R-3.0/inch*

ITEM D
Construct ne porch with s
Install 15' of above 2 fro Paint.
Replace exi walkway.
Install new r

101.4.3 Additions, alterations, renovations or repairs. Additions, alterations, renovations or repairs to an existing building, building system, equipment or portion thereof, other than repairs of equipment, shall conform to the provisions of this code as they relate to new construction without requiring the unaltered portion(s) of the existing building, building system or equipment to comply with this code. Additions, alterations, renovations or repairs shall not create an unsafe or hazardous condition or overload existing building systems. An addition shall be deemed to comply with this code if the addition alone complies or if the existing building and addition comply with this code as a single building.

Exception: The following need not comply with the provisions of this code provided that the energy use of the building is not increased:

1. Storm windows installed over existing fenestration.
2. Glass-only replacements in an existing sash and frame, provided that the U-factor and the solar heat gain coefficient (SHGC) shall be equal to or lower than before the glass replacement.
3. Alterations, renovations or repairs to roof/ceiling, wall or floor cavities, including spaces between furring strips, provided that such cavities are insulated to the full existing cavity depth with insulation having a minimum nominal value of R-3.0/inch

(R-2.0/cm).

4. Alterations, renovations or repairs to walls and floors in cases where the existing structure is without framing cavities and no new framing cavities are created.
5. Reroofing where neither the sheathing nor the insulation is exposed. Roofs without insulation in the cavity and where the sheathing or insulation is exposed during reroofing shall be insulated either above or below the sheathing.
6. Replacement of existing doors that separate conditioned space from the exterior shall not require the installation of a vestibule or revolving door, provided, however, that an existing vestibule that separates a conditioned space from the exterior shall not be removed.
7. An alteration that replaces less than 50 percent of the luminaires in a space, provided that such alteration does not increase the installed interior lighting power.
8. An alteration that replaces only the bulb and ballast within the existing luminaires in a space, provided that such alteration does not increase the installed interior lighting power.

101.4.4 Change in occupancy or use. Spaces undergoing a change in occupancy that would

Install new roof over portico.	N/A	101.4.3 Exception # 3	A-101 (Floor Plans)

Energy Analysis 2014 NYCECC Chapter 1.4

10 NYCECC Compliance *New York City Energy Conservation Code*

- To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC*
 Code Compliance Path (*choose one*): NYCECC ASHRAE
 Energy Analysis (*choose one*): Tabular Analysis REScheck COMcheck Energy Modeling (EN1)
- To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (*choose one*):
- The work is an alteration of a State or National historic building.
 - The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
 - The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
 - This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

Construct new open stone porch with stone steps.	N/A	N/A	A-101 (Elevation, Section))
Install 15' of wood trellis above 2 front windows. Paint.	N/A	N/A	A-101 (Elevations)
Replace existing stone walkway.	N/A	N/A	A-101 (Plot Plan)
Install new roof over portico.	N/A	101.4.3 Exception # 3	A-101 (Floor Plans)

9 Additional Considerations, Limitations or Restrictions

9E BSA Calendar Numbers (max. 5):

9F CPC Calendar Numbers (max. 5):

9G Work includes lighting fixture and/or controls, installation or replacement. [ECC §404 and §505]

10 NYCECC Compliance New York City Energy Conservation Code

To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC*

Code Compliance Path (choose one): NYCECC ASHRAE

Energy Analysis (choose one): Tabular Analysis REScheck COMcheck Energy Modeling (EN1)

To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose one):

The work is an alteration of a State or National historic building.

The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.

The entire scope of work involves a temporary structure and/or one or more of the following work types:

FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.

This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

11 Job Description

CONSTRUCT DETACHED ONE CAR GARAGE ACCESSORY TO NB. NO ON OR OFFSITE FILL TO EXCEED 300 CUBIC YARDS.

11A Related DOB Job Numbers

11B Primary application job no.

- Work inc
- Structur
- Work inc
- Site Saf

BSA Calendar No.
CPC Calendar No.

10 NYCECC Compl

- To the best of my
- Energy anal
- Yes No
- This appli
- This appli

To the best of my
NYCECC in accor

- The work is
- The scope o
- The scope o
- This is a po

11 Job Description

CONSTRUCT DET
YARDS.

Related BIS Job Numbers:

Primary application Job Number:

12 Zoning Characteristics

District(s): R3X - DETACHED RESIDENCE DISTRICT

Overlay(s):

Special District(s):

Map No.: 27c

Street legal width (ft.): 60

Stre

Zoning lot includes the following tax lots: Not Provided

(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

- (i) **Historic building.** All the proposed work is in or on the premises of
 - (A) a National- or State-designated historic building
 - (B) a building certified as a contributing building within a National or State historic district
 - (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.
- (ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.
- (iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:
 - (A) FA (fire alarm)
 - (B) FP (fire suppression in a range hood)
 - (C) SD (standpipe)
 - (D) SP (sprinklers)
 - (E) FS (fuel storage)
 - (F) EQ (construction equipment)
 - (G) CC (curb cut)
 - (H) OT/BPP (builder's pavement plan)
 - (I) OT/FPP (fire protection plan).

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INCORRECT

10	NYCECC Compliance <small>New York City Energy Conservation Code</small>
<input type="checkbox"/> To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC* Code Compliance Path (<i>choose one</i>): <input type="checkbox"/> NYCECC <input type="checkbox"/> ASHRAE Energy Analysis (<i>choose one</i>): <input type="checkbox"/> Tabular Analysis <input type="checkbox"/> REScheck <input type="checkbox"/> COMcheck <input type="checkbox"/> Energy Modeling (EN1)	
<input checked="" type="checkbox"/> To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (<i>choose one</i>):	
<input type="checkbox"/> The work is an alteration of a State or National historic building. <input checked="" type="checkbox"/> The scope of the work is entirely in a "low-energy building" and is limited to the building envelope. <input type="checkbox"/> The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt. <input type="checkbox"/> This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.	

11 Job Description	11A Related DOB Job Numbers								
THIS APPLICATION IS FILED TO DO A 1-CAR MASONRY GARAGE	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr><td style="width: 50px; height: 20px;"></td><td style="width: 50px; height: 20px;"></td></tr> <tr><td style="width: 50px; height: 20px;"></td><td style="width: 50px; height: 20px;"></td></tr> <tr><td style="width: 50px; height: 20px;"></td><td style="width: 50px; height: 20px;"></td></tr> <tr><td style="width: 50px; height: 20px;"></td><td style="width: 50px; height: 20px;"></td></tr> </table>								
	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="width: 150px; height: 20px;">11B Primary application job no.</td> </tr> </table>	11B Primary application job no.							
11B Primary application job no.									

(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

- (i) **Historic building.** All the proposed work is in or on the premises of
 - (A) a National- or State-designated historic building
 - (B) a building certified as a contributing building within a National or State historic district
 - (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.
- (ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.
- (iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:
 - (A) FA (fire alarm)
 - (B) FP (fire suppression in a range hood)
 - (C) SD (standpipe)
 - (D) SP (sprinklers)
 - (E) FS (fuel storage)
 - (F) EQ (construction equipment)
 - (G) CC (curb cut)
 - (H) OT/BPP (builder's pavement plan)
 - (I) OT/FPP (fire protection plan).

10 NYCECC Compliance

To the best of my knowledge, this application complies with the Energy Code Compliance Part 28-111 and 28-112 Energy Analysis (choose one).

To the best of my knowledge, this application is exempt from the Energy Code because one of the following applies:

- The work is an alteration of an existing building.
- The scope of the work is limited to the following: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, or OT/FPP.
- The entire scope of work is limited to the following: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, or OT/FPP.
- This is a post-approval application.

11 Job Description

THIS APPLICATION IS FOR

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11B Primary application job no.

INCORRECT

(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

- (i) **Historic building.** All the proposed work is in or on the premises of
 - (A) a National- or State-designated historic building
 - (B) a building certified as a contributing building within a National or State historic district
 - (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.
- (ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

10 NYCECC Compliance

To the best of my knowledge, this application complies with the Energy Code Compliance Part 247.10 and the Energy Analysis (choice of exemption) section of the Energy Code.

To the best of my knowledge, this application does not comply with one of the following:

- The work is an alteration of an existing building.
- The scope of the work is limited to the building envelope.
- The entire scope of work is limited to the building envelope, including FA, FP, SD, SP, FS, and other building envelope components.
- This is a post-approval application.

101.5.2 Low energy buildings. The following buildings, or portions thereof, separated from the remainder of the building by *building thermal envelope* assemblies complying with this code shall be exempt from the *building thermal envelope* provisions of this code.

11 Job Description

THIS APPLICATION IS FOR

1. Building spaces with a peak design rate of energy usage less than 3.4 Btu/h per square foot or 1.0 watt per square foot (10.7 W/m²) of floor area for space conditioning purposes.
2. Building spaces that do not contain *conditioned space*.

INCORRECT

<p align="center">Energy Analysis 2014 NYCECC Chapters 1, 4 Climate Zone 4A</p>			
<p align="center">"THIS APPLICATION IS FILED TO DO A 1 CAR MASONRY GARAGE."</p>			
ITEM DESCRIPTION	PROPOSED DESIGN VALUE	CODE PRESCRIPTIVE VALUE AND CITATION	SUPPORTING DOCUMENTATION
Construct foundation, walls, and roof of garage. Install 1 window, 1 door, and 1 overhead door.	N/A	1 RCNY 5000-01(e)(2)(ii) Envelope of a low-energy building is exempt.	A-101.00 Plan, Elevations
Install 1 permanently-installed light fixture on sheetrock ceiling.	(1) 23watt bulb 1600 lumens 70 efficacy	404.1 A minimum of 50% of the lamps in permanently installed lighting fixtures shall be high-efficacy lamps.	A-102.00 Floor Plan

Energy Analysis

2014 NYCECC Chapters 1, 4 Climate Zone 4A

“THIS APPLICATION IS FILED TO DO A 1 CAR MASONRY GARAGE.”

ITEM DESCRIPTION	PROPOSED DESIGN VALUE	CODE PRESCRIPTIVE VALUE AND CITATION	SUPPORTING DOCUMENTATION
Construct foundation, walls, and roof of garage. Install 1 window, 1 door, and 1 overhead door.	N/A	1 RCNY 5000-01(e)(2)(ii) Envelope of a low-energy building is exempt.	A-101.00 Plan, Elevations
Install 1 permanently-installed light fixture on sheetrock ceiling.	(1) 23watt bulb 1600 lumens 70 efficacy	404.1 A minimum of 50% of the lamps in permanently installed lighting fixtures shall be high-efficacy lamps.	A-102.00 Floor Plan

Efficacy = Lumens/Watt

$$1600 / 23 = 69.6$$

HIGH-EFFICACY LAMPS (Sect 202 Gen Definitions)

Compact fluorescent lamps, T-8 or smaller diameter linear fluorescent lamps, or lamps with a minimum efficacy of:

1. 60 lumens per watt for lamps over 40 watts,
2. 50 lumens per watt for lamps over 15 watts to 40 watts, and
3. 40 lumens per watt for lamps 15 watts or less.

“THIS APPLICATION IS FILED TO DO A 1 CAR MASONRY GARAGE.”

ITEM DESCRIPTION	PROPOSED DESIGN VALUE	CODE PRESCRIPTIVE VALUE AND CITATION	SUPPORTING DOCUMENTATION
Construct foundation, walls, and roof of garage. Install 1 window, 1 door, and 1 overhead door.	N/A	1 RCNY 5000-01(e)(2)(ii) Envelope of a low-energy building is exempt.	A-101.00 Plan, Elevations
Install 1 permanently-installed light fixture on sheetrock ceiling.	(1) 23watt bulb 1600 lumens 70 efficacy	404.1 A minimum of 50% of the lamps in permanently installed lighting fixtures shall be high-efficacy lamps.	A-102.00 Floor Plan

Efficacy = Lumens/Watt

$$1600 / 23 = 69.6$$

1. Check the **PW1**. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.

the applicant's firm not discipline for any anticipated related applications.

(c) **Professional statement.** Every application filed by a registered design professional for approval of construction documents for a new building or alteration shall include a professional statement of either compliance with or exemption from the Energy Code.

(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

(i) **Historic building.** All the proposed work is in or on the premises of

(A) a National- or State-designated historic building

(B) a building certified as a contributing building within a National or State historic district

(C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 24-11 and BC 210) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)

(B) FP (fire suppression in a range hood)

(C) SD (stairpipe)

(D) SF (sprinklers)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (cable call)

(H) OT BPP (builder's prevention plan)

(I) OT PFP (fire protection plan)

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Page 2**

1. Check the PW1. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.

2. Check for Demonstration of compliance.

- Professional statement
- Energy Analysis - Agrees with scope of work?
- Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format? Commissioning required?

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(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and SC 3105) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)

(B) FP (fire suppression in a range hood)

(C) SD (stairwells)

(D) SF (staircases)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (cork roll)

(H) OTBPP (builder's pavement plan)

(I) OTFPP (fire protection plan)

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purpose.

2. Those that do not contain conditional space.

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101.5.3 Demonstration of compliance. For a building project application for which a permit is required to be submitted to the department, the following documentation, as further described in the rules of the department, shall be required in order to demonstrate compliance with this code:

101.5.3.1 Professional statement. Any registered design professional or lead energy professional filing an application or applications for a new building or alteration project shall provide on a signed and sealed drawing a statement of compliance or exemption in accordance with the rules of the department.

101.5.3.2 Energy analysis. For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, an energy analysis shall be provided on a sheet or sheets within the construction drawing set. The energy analysis shall identify the compliance path followed, demonstrate how the design complies with this code and be in a format as prescribed in the rules of the department. The energy analysis shall meet the requirements of this code for the entire project. Projects that utilize trade-offs among disciplines shall use DOE2-based energy modeling programs or other energy-modeling programs as prescribed in the rules of the department and shall be signed and sealed by a lead energy professional.

101.5.3.3 Supporting documentation. For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, supporting documentation shall be required in the approved construction drawings. See Section 103 for further requirements.

1 RCNY 5000-01

TABLE 1 - PROGRESS INSPECTIONS FOR ENERGY CODE COMPLIANCE - RESIDENTIAL BUILDINGS

Inspection/Test	Frequency (minimum)	Reference Standard (See ECC Chapter 6) or Other Criteria	ECC or Other Citation
IA Envelope Inspections			
IA1 Protection of exposed foundation insulation: Insulation shall be visually inspected to verify proper protection where applied to the exterior of basement or cellar walls, crawl-space walls and/or the perimeter of slab-on-grade floors.	Prior to backfill	Approved construction documents	303.2.1
IA2 Insulation placement and R-values: Installed insulation for each component of the conditioned space envelope and at junctions between components shall be visually inspected to ensure that the R-values are marked, that such R-values conform to the R-values identified in the construction	As required to verify continuous enclosure while walls, ceilings and floors are open	Approved construction documents	303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table

1. Check the **PW1**. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.

2. Check for **Demonstration of compliance**.

- Professional statement
- Energy Analysis - Agrees with scope of work?
- Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format? Commissioning required?

3. Check the **submitted forms**.

- PW1C – for boilers >350,000 Btu

purpose.
2. Those that do not contain conditional space.

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(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and SC 310) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)

(B) FP (fire suppression in a range hood)

(C) SD (stairwells)

(D) SF (staircases)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (cash call)

(H) OTBPP (builder's pavement plan)

(I) OTFPP (fire protection plan)

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1 RCNY 5000-01

TABLE 1 - PROGRESS INSPECTIONS FOR ENERGY CODE COMPLIANCE - RESIDENTIAL BUILDINGS

Inspection/Test	Frequency (minimum)	Reference Standard (See ECC Chapter 6) or Other Criteria	ECC or Other Citation	
IA Envelope Inspections				
IA1	Protection of exposed foundation insulation: Insulation shall be visually inspected to verify proper protection where applied to the exterior of basement or cellar walls, crawl-space walls and/or the perimeter of slab-on-grade floors.	Prior to backfill	Approved construction documents	303.2.1
IA2	Insulation placement and R-values: Installed insulation for each component of the conditioned space envelope and at junctions between components shall be visually inspected to ensure that the R-values are marked, that such R-values conform to the R-values identified in the construction	As required to verify continuous enclosure while walls, ceilings and floors are open	Approved construction documents	303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table

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(B) FP (fire suppression in a range hood)

(C) SD (stairwells)

(D) SF (skylights)

(E) FS (fuel storage)

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4 Boiler Specifications Required for *all* applications. Only one boiler type per Schedule C.

No. of Boilers to be Installed	If Modular, Number of Units	DEP Installation No.*				
Operating Gauge Pressure	Pressure Settings of Relief Valves	Operating Weight of Boiler				
Boiler Type: <input type="checkbox"/> High Pressure or <input type="checkbox"/> Low Pressure and <input type="checkbox"/> Water Tube or <input type="checkbox"/> Fire Tube or <input type="checkbox"/> Cast Iron and <input type="checkbox"/> Steam or <input type="checkbox"/> Hot Water						
Fuel Used: <input type="checkbox"/> Oil or <input type="checkbox"/> Gas or <input type="checkbox"/> Electric						
Item Manufacturer / Trade Name	MEA / BSA Number	Model Number	Qty. Boilers	Input Capacity (btu/hr)	Output Capacity (btu/hr)	Efficiency / Test Procedure
<input type="checkbox"/> The device complies with the NYCECC Table 503.2.3(5) efficiency and test procedures as indicated above, or ECC 403.6 as applicable.						

• PW1C – for boilers >350,000 Btu

BUILDINGS

Inspection/Test	Frequency (minimum)	Reference Standard (See ECC Chapter 6) or Other Criteria	ECC or Other Citation
IA Envelope Inspections			
IA1 Protection of exposed foundation insulation: Insulation shall be visually inspected to verify proper protection where applied to the exterior of basement or cellar walls, crawl-space walls and/or the perimeter of slab-on-grade floors.	Prior to backfill	Approved construction documents	303.2.1
IA2 Insulation placement and R-values: Installed insulation for each component of the conditioned space envelope and at junctions between components shall be visually inspected to ensure that the R-values are marked, that such R-values conform to the R-values identified in the construction	As required to verify continuous enclosure walls, ceilings and floors are open	Approved construction documents	303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table

1. Check the PW1. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.

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(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and 28-310) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)

(B) FP (fire suppression in a range hood)

(C) SD (stairwells)

(D) SF (staircases)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (crack seal)

(H) OTBPP (builder's pavement plan)

(I) OTFPP (fire protection plan).

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Page 2

2. Check for Demonstration of compliance.

- Professional statement
- Energy Analysis - Agrees with scope of work?
- Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format?

purpose.

2. Those that do not contain conditioned space.

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101.5.3 Demonstration of compliance. For a building project application for which a work permit is required to be submitted to the department, the following documentation, as further described in the rules of the department, shall be required in order to demonstrate compliance with this code:

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101.5.3.3 Supporting documentation. For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, supporting documentation shall be required in the approved construction drawings. See Section 103 for further requirements.

3. Check the submitted forms.

- PW1C – for boilers >350,000 Btu
- EN1 – scanned on plans (for energy modeling)

1 RCNY 5000-01

TABLE 1 – PROGRESS INSPECTIONS FOR ENERGY CODE COMPLIANCE – RESIDENTIAL BUILDINGS

Inspection/Test	Frequency (minimum)	Reference Standard (See ECC Chapter 6) or Other Criteria	ECC or Other Citation
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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.

EN1

5 Energy Modeling Usage Summary							
	Baseline Model			Proposed Model			Model Output Location (Report)
	Electric Usage (kwh)	Gas/Steam Usage (MMBTU)	Other Usage (i.e. chilled water) (indicate units)	Electric Usage (kwh)	Gas/Steam Usage (MMBTU)	Other Usage (i.e. chilled water) (indicate units)	
Interior Lighting							
Misc. Equip.							
Space Heat							
Space Cool							
Heat Rejection							
Pumps & Misc							
Vent Fans							
Dom. Hot Water							
Exterior Lighting							
Exterior Misc.							
TOTAL							

6 Energy Inputs and Supporting Documentation Index									
a Above-Grade Wall & Fenestration Areas									
	Orientation	Baseline Case			Proposed Case			Supporting Doc. Location	Model Output Report
		Window + Wall Area (ft ²)	Vertical Glazing Area (ft ²)	(%)	Window + Wall Area (ft ²)	Vertical Glazing Area (ft ²)	(%)		
Above-Grade Wall & Vertical Glazing Area by Orientation	North								
	East								
	South								
	West								
	Total								
Roof & Skylight Area	Roof + Skylight Area (ft ²)	Skylight Area (ft ²)	(%)	Roof + Skylight Area (ft ²)	Skylight Area (ft ²)	(%)	Supporting Doc. Location	Model Output Report	
	Total								

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(D) SF (staircases)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (cork out)

(H) OTBPP (builder's pavement plan)

(I) OTFPP (fire protection plan).

1 RCNY 5000-01
Page 2

2. Check for Demonstration of compliance.

- Professional statement
- Energy Analysis - Agrees with scope of work?
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3. Check the submitted forms.

- PW1C – for boilers >350,000 Btu
- EN1 – scanned on plans (for energy modeling)
- TR1 – “Energy Code Progress Inspections”

1 RCNY 5000-01

TABLE 1 – PROGRESS INSPECTIONS FOR ENERGY CODE COMPLIANCE – RESIDENTIAL BUILDINGS

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IA1 Protection of exposed foundation insulation: Insulation shall be visually inspected to verify proper protection where applied to the exterior of basement or cellar walls, crawl-space walls and/or the perimeter of slab-on-grade floors.	Prior to backfill	Approved construction documents	303.2.1
IA2 Insulation placement and R-values: Installed insulation for each component of the conditioned space envelope and at junctions between components shall be visually inspected to ensure that the R-values are marked, that such R-values conform to the R-values identified in the construction documents and floors are open.	As required to verify continuous enclosure while walls, ceilings and floors are open	Approved construction documents	303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table

1. Check the PW1. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.

2. Check for Demonstration of compliance.

- Professional statement
- Energy Analysis - Agrees with scope of work?
- Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format?

3. Check the submitted forms.

- PW1C – for boilers >350,000 Btu
- EN1 – scanned on plans (for energy modeling)
- TR1 – “Energy Code Progress Inspections”
- TR8 – Inspections should match those on plans

the applicant's firm not discipline for any anticipated related application.

(c) **Professional statement.** Every application filed by a registered design professional for approval of construction documents for a new building or alteration shall include a professional statement of either compliance with or exemption from the Energy Code.

(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

(i) **Historic building.** All the proposed work is in or on the premises of

(A) a National- or State-designated historic building

(B) a building certified as a contributing building within a National or State historic district

(C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and 28-110) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)

(B) FP (fire suppression in a range hood)

(C) SD (stairwells)

(D) SF (staircases)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (cash out)

(H) OTBPP (builder's pavement plan)

(I) OTFPP (fire protection plan).

1 RCNY 5000-01
Page 2

purpose.

2. Those that do not contain conditioned space.

LL 1/2011 Pg. 9/19

101.5.3 Demonstration of compliance. For a building project application for which a permit is required to be submitted to the department, the following documentation, as further described in the rules of the department, shall be required in order to demonstrate compliance with this code:

101.5.3.1 Professional statement. Any registered design professional or lead energy professional filing an application or applications for a new building or alteration project shall provide on a signed and sealed drawing a statement of compliance or exemption in accordance with the rules of the department.

101.5.3.2 Energy analysis. For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, an energy analysis shall be provided on a sheet or sheets within the construction drawing set. The energy analysis shall identify the compliance path followed, demonstrate how the design complies with this code and be in a format as prescribed in the rules of the department. The energy analysis shall meet the requirements of this code for the entire project. Projects that utilize trade-offs among disciplines shall use DOE-based energy modeling programs or other energy-modeling programs as prescribed in the rules of the department and shall be signed and sealed by a lead energy professional.

101.5.3.3 Supporting documentation. For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, supporting documentation shall be required in the approved construction drawings. See Section 103 for further requirements.

1 RCNY 5000-01

TABLE 1 – PROGRESS INSPECTIONS FOR ENERGY CODE COMPLIANCE – RESIDENTIAL BUILDINGS

Inspection/Test	Frequency (minimum)	Reference Standard (See ECC Chapter 6) or Other Criteria	ECC or Other Citation
IA Envelope Inspections			
IA1	Prior to backfill	Approved construction documents	303.2.1
IA2	As required to verify continuous enclosure while walls, ceilings and floors are open	Approved construction documents	303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table

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 commissioning required for compliance and determined whether commissioning is required.

Commissioning is required for applications where C408 or ASHRAE 90.1 Section 6.7.2.4 requires commissioning. Check one:

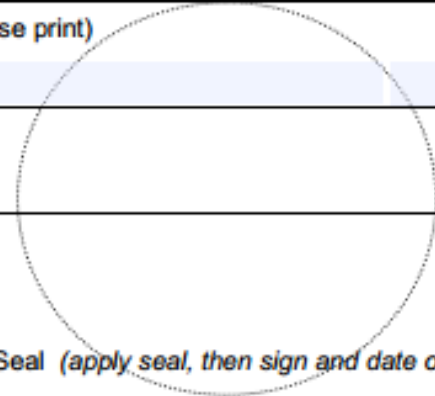
This project requires commissioning and a preliminary commissioning report certification will be provide prior to sign-off.

This project does not require commissioning.

Name (please print)

Signature

Date



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

Commissioning is required when:



- Total installed cooling capacity $\geq 480,000$ BTU/h; or
- Total installed heating capacity $\geq 600,000$ BTU/h; or

One City Built to Last GOAL:

**Reduce carbon emissions by 80%
by 2050 from 2005 levels**



NYC Built to Last

	Problem	Solution	Goals	Policies & Programs	The Plan	<input type="text" value="Search"/> 
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IN THE PLAN

City buildings will lead by example.

We will empower New Yorkers to act to improve the efficiency of their buildings.

We will ensure benefits are shared by New Yorkers in every neighborhood.

An aerial photograph of the New York City skyline, showing a dense cluster of skyscrapers and buildings. The image is framed by a light gray border. A semi-transparent white rectangular box is overlaid on the left side of the image, containing the title and date in blue text.

INVENTORY OF NEW YORK CITY GREENHOUSE GAS EMISSIONS

November 2014

Executive Summary

New York City reduced its greenhouse gas (GHG) emissions by 19 percent since 2005. Cleaner generation of electricity and steam were responsible for the majority of emissions reductions, and New Yorkers are using electricity and heating fuel more efficiently in their buildings.

This inventory reports on two inter-related sets of data: GHG emissions attributable to all activities occurring within the five boroughs of the City of New York, which are aggregated as the "citywide" GHG inventory (referred to as "community" in relevant GHG protocols), and the subset of GHG emissions attributable to operation of New York City's government, such as the energy used to heat schools and propel fire trucks, and fugitive GHG emissions that result from wastewater treatment and solid waste disposal, which are aggregated as the "City government" GHG inventory.

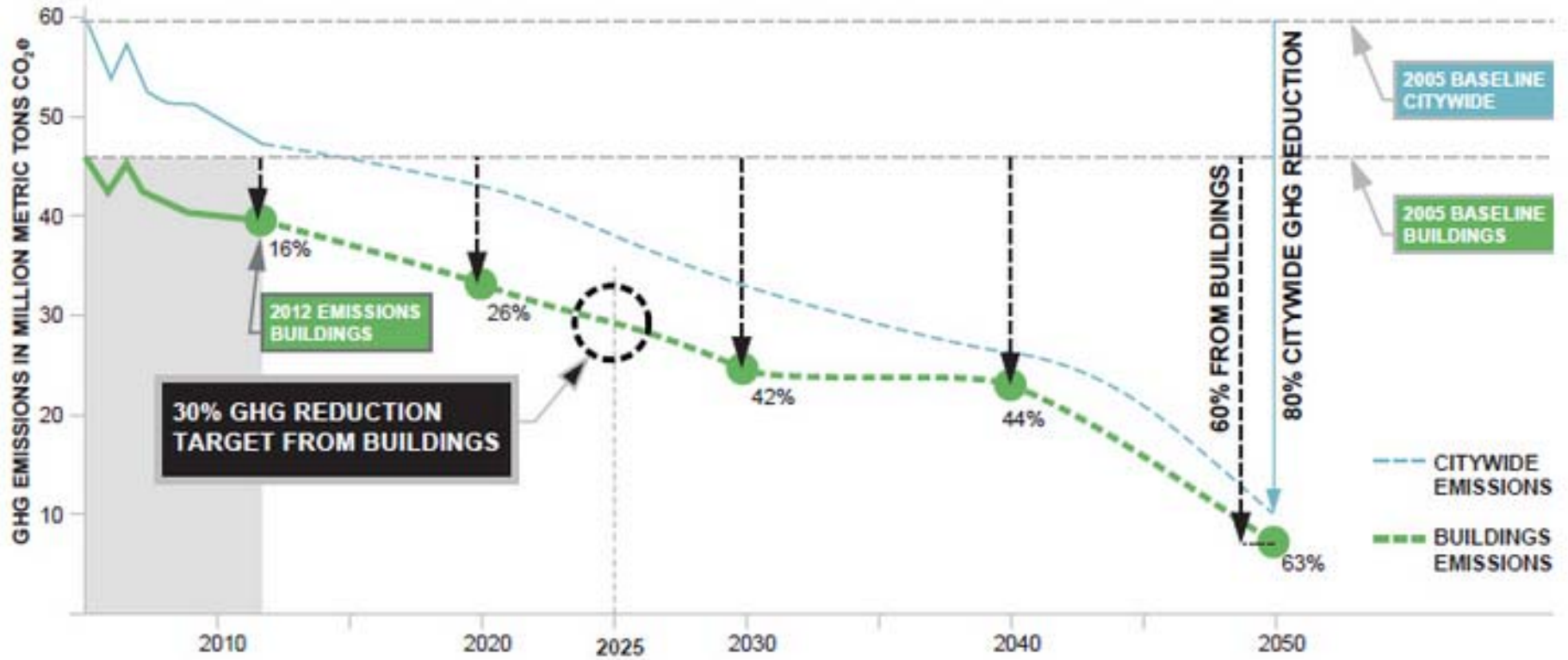
This inventory reports annual levels of GHG emissions and reports the causes of variations in emissions levels over time. By measuring and analyzing GHG emissions, the City is able to track the progress it is making toward achieving many of the sustainability policy measures outlined in PlaNYC, such as improving buildings' energy efficiency, cleaning the city's power supply, creating low-carbon transportation options, and reducing GHG emissions from City government buildings, wastewater treatment, solid waste disposal, and other sources.

Citywide emissions changes from 2005 to 2013:

- Citywide emissions were 19 percent lower in 2013 than 2005 (See Fig. 2)
- Reduced carbon intensity in the city's electricity supply was the largest driver of GHG emissions reduction, reducing GHG emissions by 6.58 million metric tons (or 11 percent)
- Reduced carbon intensity in the city's steam supply is a major

Reductions in energy use per unit of building area indicate New Yorkers used energy more efficiently in 2013 than in 2005, a sign that PlaNYC's initiatives have taken effect.

Electricity used in buildings (generated both in and out of the city) is the largest source of GHG emissions related to activities in New York City. Given this, the reduced carbon-intensity of the city's electricity supply was the largest overall driver of citywide GHG emissions reductions from 2005 to 2013. This reduction is the result of increased natural gas-fired generation displacing more carbon intensive oil- and coal-fired generation; investments in new and cleaner generation; the retirement of coal-fired and other inefficient generation in New York State; and several other factors. Market forces along with local, state and federal policies all contributed to the change in the fuel mix of the city's electricity supply since 2005.



**What will we look like
in 2050?**



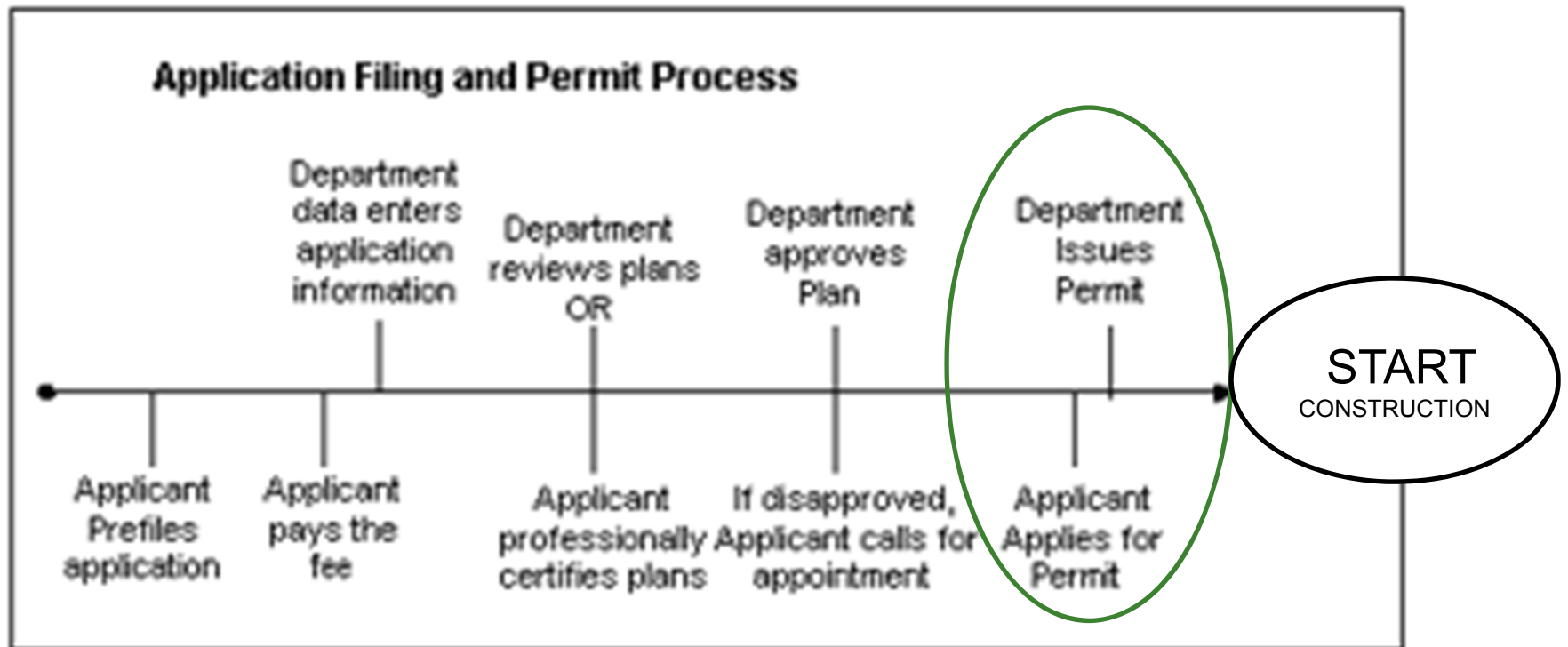
2014 New York City
Energy Conservation Code
(NYCECC)

Thank You for your time!

Permits

Martin Ramos
Borough Coordinator

- Introduction to forms for different types of permits including PW2, PW5 and the e-filing of permit forms
- Applicants for permits: General Contractor (GC), Fire Suppression Contractor (FSC), Master Plumber (MP), Oil Burner Installer (OBI), Sign Hanger (SH), Professional Engineer (PE), Registered Architect (RA), Homeowner
- Important data on form:
 - Tracking #, HIC # & License #
 - If Master Plumber also indicate if “Primary” or “Secondary”
 - If filing rep, basic information
 - Insurance including expiration dates
- Project Specific Liability Insurance / General Liability (PGL1 form)
- Certain jobs also require information on:
 - Construction Superintendent (BC Chapter 33) (BC 3301.3)
 - Demolition, Concrete, Concrete Safety subcontractors

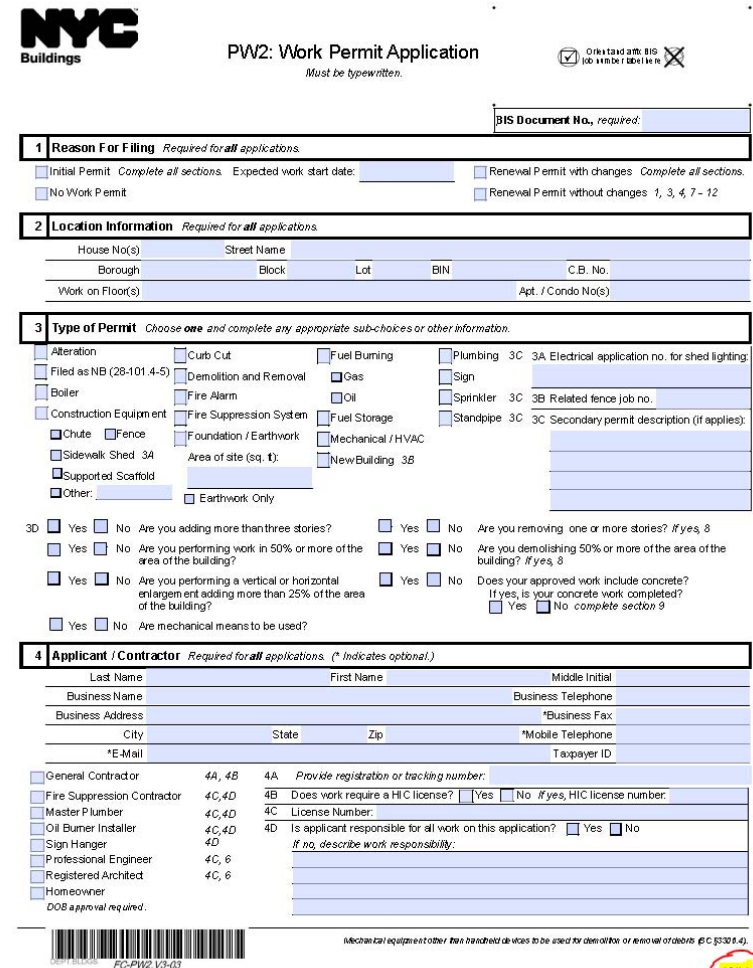


Type	Form / Agency	Who can pull a permit	Renewals
Alteration, Equipment (Shed and more), Demolition, Foundation (Earthwork), Mechanical & New Building	PW2 (e-filing of PW-2)	Owner, GC, PE or RA	YES, but Shed & Demolition applications need Borough Commissioner approval
Standpipe, Sprinkler , Gas Boiler & all Plumbing	PW2/ e-filing	Master Plumber Fire Protection Contractor (only sprinkler & standpipe)	
Curb Cut & No-Work	PW2/ e-filing	Owner, GC, PE or RA	NO
Oil Fired Fuel Burning, Fuel Storage & Boiler	PW2/ e-filing	OBI	YES
Sign	PW2/ e-filing	Sign Hanger, PE or RA	YES
Place Of Assembly	PW2/ e-filing	Owner, PE or RA	YES

Permit Type	DOB Form / Other Agency	Permit Applicant	Renewals
After Hours	PW5 / Online	GC	e-Filing
BPP/Fire Alarm/Fire Suppression	Other City Agencies: DOT & FDNY	Refer to instructions from the agency in question	n/a

...and there are other types of permits and associated procedures for Cranes & Derricks, Elevators, & Electrical work

- Use only latest version of form (12/14) or file electronically for some HUB jobs.
- Complete all required sections
- Before submitting the form to DOB, you need:
 - An **active approved job**
 - A **tracking number (insurance)**
 - **License** number
- Emergency Procedure also available



NYC Buildings PW2: Work Permit Application Or standard BIS job number (BIS) Must be typewritten.

BIS Document No., required: _____

1 Reason For Filing *Required for all applications.*

Initial Permit *Complete all sections.* Expected work start date: _____ Renewal Permit with changes *Complete all sections.*

No Work Permit Renewal Permit without changes 1, 3, 4, 7 - 12

2 Location Information *Required for all applications.*

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

3 Type of Permit *Choose one and complete any appropriate sub-choices or other information.*

Alteration Curb Cut Fuel Burning Plumbing 3C 3A Electrical application no. for shed lighting

Filed as NB (28-101.4-5) Demolition and Removal Gas Sign

Boiler Fire Alarm Oil Sprinkler 3C 3B Related fence job no. _____

Construction Equipment Fire Suppression System Fuel Storage Standpipe 3C 3C Secondary permit description (if applies): _____

Chute Fence Foundation / Earthwork Mechanical / HVAC

Sidewalk Shed 3A Area of site (sq. ft): _____ New Building 3B _____

Supported Scaffold _____

Other: _____ Earthwork Only _____

3D Yes No Are you adding more than three stories? Yes No Are you removing one or more stories? *if yes, 8*

Yes No Are you performing work in 50% or more of the area of the building? Yes No Are you demolishing 50% or more of the area of the building? *if yes, 8*

Yes No Are you performing a vertical or horizontal enlargement adding more than 25% of the area of the building? Yes No Does your approved work include concrete? *if yes, is your concrete work completed?*

Yes No Are mechanical means to be used? Yes No *complete section 9*

4 Applicant / Contractor *Required for all applications. (* Indicates optional.)*

Last Name	First Name	Middle Initial
Business Name	Business Telephone	
Business Address	*Business Fax	
City	State	Zip
*E-Mail	*Mobile Telephone	
	Taxpayer ID	

General Contractor 4A, 4B 4A *Provide registration or tracking number:* _____

Fire Suppression Contractor 4C, 4D 4B Does work require a HIC license? Yes No *if yes, HIC license number:* _____

Master Plumber 4C, 4D 4C License Number: _____

Oil Burner Installer 4C, 4D 4D Is applicant responsible for all work on this application? Yes No


Sign Hanger 4D *if no, describe work responsibility:* _____

Professional Engineer 4C, 6 _____

Registered Architect 4C, 6 _____

Homeowner _____

DOB approval required.

 FC-PW2 V3-03

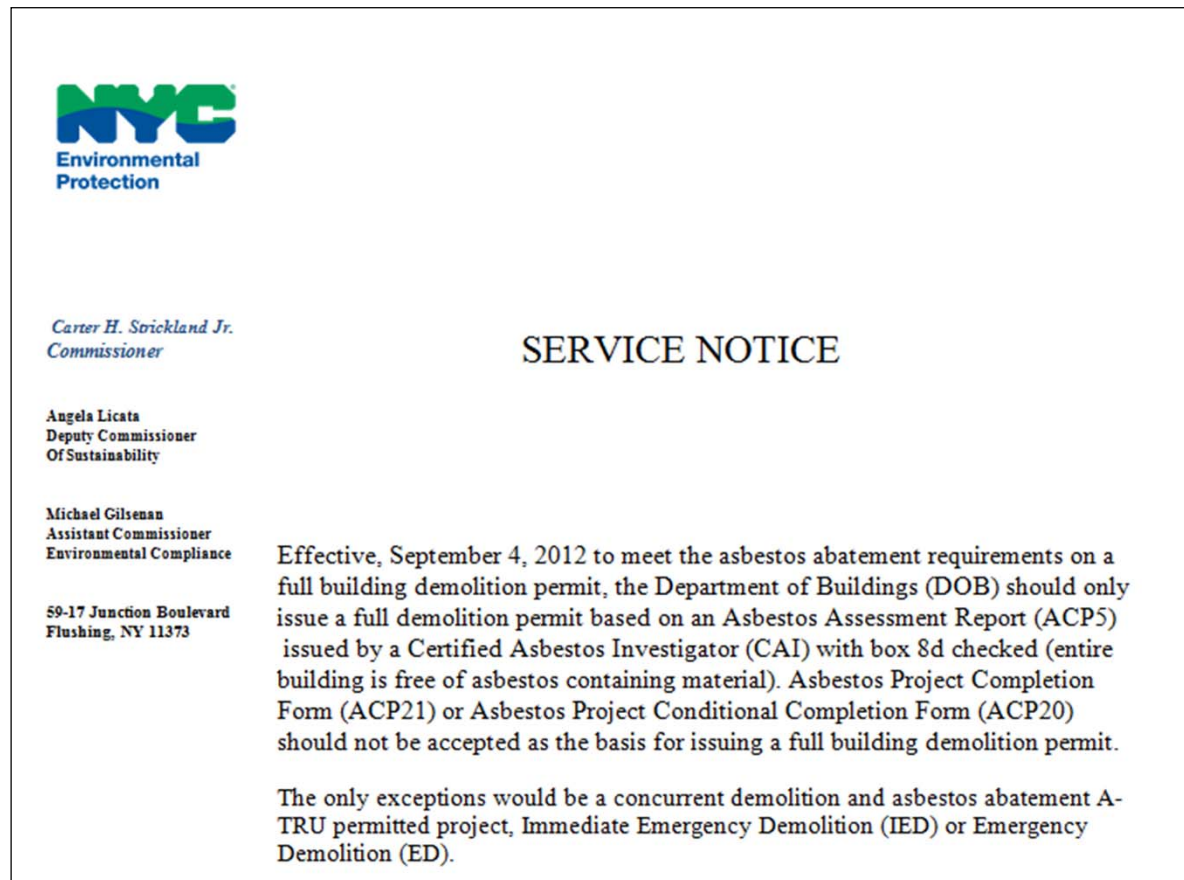
Mechanical equipment other than hand-held devices to be used for demolition or removal of walls (FC §320.6.4)

1214

Common mistakes on PW-2:

- Full Demolition permits need a DEP ACP5 form submitted indicating no asbestos as present – ACP21 and ACP20 forms are no longer accepted (**DEP Service Notice**)
- Check PGL1 expiration date of Insurance before renewing NB, ALT1, or DEMO permits

- An Asbestos Assessment Report (DEP ACP5) must be submitted prior to permit for full demolitions



- Project Specific General Liability Insurance (PGL1 form) is required on all demolition & major alteration applications
- The amount of insurance required is determined by:
 - Building type / height
 - Tower crane usage
 - Depth of excavation
 - Lot line proximity
 - Height of construction
 - Adjacent building size
 - Type of permit pulled

Additional information can be found on the Department's website (RCNY 101-08) (AC §28-103.15)



JUNE 2011

SERVICE UPDATE

General Liability Insurance - UPDATED

New General Liability (GL) insurance requirements for construction or demolition projects are now in effect. When pulling permits, contractors must provide proof that the new insurance requirements have been met. See [RCNY §101-08](#) for complete information.

Operational Changes

For projects requiring additional project-specific insurance, the following documentation must be submitted to the Department before a new or renewed permit will be issued:

- Project-Specific General Liability Insurance Summary and Affirmation (PGL1 form):** The [Project-Specific General Liability Insurance Tool](#) will automatically generate this form, based upon the information the user provides. You may also access this program in the Applications and Permits section of [nyc.gov/buildings](#). Once the PGL1 is generated, applicants must:
 - Print the PGL1;
 - Sign the form and have it notarized; and
 - Have an authorized insurance broker sign it.
- [Certificate of Liability Insurance \(ACORD\)](#)
- Expiration Date of Permits:** The permit's expiration may coincide with the expiration of the project-specific insurance. The permit expiration date will be the earliest of the following:
 - One year from date the permit was issued;
 - The expiration date of the project-specific general liability insurance policy that was provided as proof when the permit was obtained; or
 - The expiration date of the general liability insurance policy provided to the Department's Licensing Unit.

Permits that do not require project-specific general liability insurance will expire one year from the date the permit was issued or the day the general liability insurance policy expires, whichever is earlier.

Project Specific General Liability Insurance Tool

[Learn more about the additional project-specific insurance requirements when obtaining permits.](#)

Job Location

Please enter the following information about the Location where the work will take place.

*Borough	*House Number	*Street Name	
Pick a Borough	<input type="text"/>	<input type="text"/>	
*Block	*Lot	*BIN	CB No.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Project Specific Insurance

*Is a Tower Crane to be used? Yes No

*Is proposed construction on a 1 or 2 family home? Yes No

*Will depth of excavation be less than 12 feet? Yes No

*Is proposed construction on a lot line with existing structure? Yes No

*Is proposed height less than 35 feet? Yes No

Permit Type: Foundation Permits Full Demo Permits New Buildings/Major Alterations (includes Alteration Enlargements and Partial Demos)

Building height of the proposed construction: ft

Number of stories of the proposed construction:

*Building height of the tallest adjacent building: ft

*Number of stories of the tallest adjacent building:

*Project-specific GL insurance is not required for storage shed, garage, or similar accessory use to a residential structure.

Applicant Statement

*Applicant Name:

*Registration/Tracking Number:

The information in this application is correct and complete to the best of my knowledge and I assume responsibility for all statements on this form. I understand that if I am found after hearing to have knowingly or negligently made a false statement on this or any other document submitted to the Department, I may be subject to fine, imprisonment, and/or barred from filing further documents with the Department. I also understand 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.

Print PGL1 Form



JUNE 2011

SERVICE UPDATE

Exemptions to Rule §101-08

Project-specific general liability insurance is not required for jobs that are:

- A one- or two-family home; *and*
- The excavation is less than 12 feet deep; *and*
- The project is not on the lot line with an existing structure; *and*
- The project's height is less than 35 feet.

In addition, project-specific general liability insurance is not required for storage sheds, garages or similar accessory uses for residential structures.

Tower crane projects are not exempt from these insurance requirements.

Determining Insurance Requirements by Project

The insurance requirements are determined by: permit type; height and number of stories of the tallest adjacent building; and height and number of stories of the proposed construction.

The following page outlines the new insurance requirements; the table Use these tables to determine the amount of liability insurance the project must have.

Tower Crane Jobs

For every project that will use a tower crane, the project must have general liability insurance of \$80 million, regardless of the permit or scope of work.

Foundation or Full Demolition Permits

Tallest Adjacent Building	Foundation Permit	Full Demo Permit
Less than 7 Stories AND less than 75 ft	\$5 million	\$5 million
Between 7-14 stories AND less than 150 ft	\$10 million	\$15 million
Less than or equal to 14 stories AND between 75-150 ft	\$10 million	\$15 million
Greater than 14 Stories OR greater than or equal to 150 ft	\$15 million	\$25 million



JUNE 2011

SERVICE UPDATE

New Buildings and Major Alterations*


Tallest Adjacent Building	Proposed Construction			
	Less than 7 stories AND less than 75 ft	Between 7-14 stories AND Less than 150 ft	Less than or equal to 14 stories AND between 75-150 ft	Greater than 14 Stories AND greater than or equal to 150 ft
Less than 7 stories AND less than 75 ft	\$5 million	\$15 Million	\$15 Million	\$25 Million
Between 7-14 stories AND less than 150 ft	\$15 Million	\$15 Million	\$15 Million	\$25 Million
Less than or equal to 14 stories AND between 75-150 ft	\$15 Million	\$15 Million	\$15 Million	\$25 Million
Greater than 14 stories OR greater than or equal to 150 ft	\$25 million	\$25 million	\$25 million	\$25 Million

* A Major Alteration is defined as:

1. Alteration permit involving demolition of more than 50% of the floor area of an existing building
2. Work that will result in the removal of one or more floors of an existing structure
3. Horizontal or Vertical enlargement affecting the exterior envelop of an existing building.

- A temporary use permit may be issued for no more than 90 days (sometimes renewable) pursuant to Administrative Code (AC) Section 28-111.1.1
- To apply for a temporary use permit, an Alteration Type-2 application (non-Directive 14, inspections required) is filed for miscellaneous temporary uses
- Examples of temporary uses:
 - Temporary boilers
 - Temporary field office trailer for home sales

- After Hour Variance (PW5 form) dated (03/13) is required if work is to be performed:
 - Before 7:00 AM or after 6:00 PM
 - Weekends
 - City Holidays
- Up to 14 consecutive calendar days are allowed on one PW5 form
- As of July 2009, the following initial filing fees are required upon approval, in addition to, a daily fee of \$80.00 per day:
 - \$100 – up to 3 days
 - \$200 – 4 to 6 days
 - \$300 – 7 to 9 days
 - \$400 – 10 to 12 days
 - \$500 – 13 to 14 days
- Electronic filing is available through the NYC Development Hub



PW5: After Hours
Work Permit Application
Must be typewritten

Online with BIS
Job Number:

All information to be completed for review of this request. Incomplete applications will be returned to requester. The deadline to submit the completed request is Tuesday at 12:00 PM, and applications will not be granted for any day other than Saturday of the same week.

1 Initial Filing Status Information *Required for all applications. Check applicable box for application type.*

Work Permit No. _____ BIS Job Electrical Application Variance Type: Initial Renewal

2 Location Information *Required for all applications.*

House No(s) _____ Street Name _____

Borough _____ Block _____ Lot _____ BIN _____ CB No. _____

Work on Floor(s) _____ Apt./Condo No(s) _____

3 Contractor *Required for all applications. Business Fax and Email are optional.*

Last Name _____ First Name _____ Middle Initial _____

Business Name _____ Business Telephone _____

Business Address _____ Business Fax / Email _____

City _____ State _____ Zip _____ Mobile Telephone _____

License Number _____ License Type: GC Electrician MP FSC Other: _____

4 Please provide main point of contact information during AHV work *Required for all applications.*

Last Name _____ First Name _____

Mobile Telephone _____ Email _____

5 Variance Information *Required for all applications.*

Is a residence within 200 feet of the site? Yes No

Is all work being done within an enclosed building? Yes No

Does any of the work involve full or partial demolition? Yes No

Does any of the work involve crane use? Yes No **Total Number of Days Requested:** _____

	Days of Week	Date(s) Requested	Hours	Description of Work (Specify weekday vs. weekend work)
Weekday	Monday		to	
	Tuesday		to	
	Wednesday		to	
	Thursday		to	
	Friday		to	
Weekend	Saturday		to	
	Sunday		to	

Reason for Variance: _____

6 Statements and Signature *Required for all applications.*

The permit is to be posted to the public. Falsification of any statement is a misdemeanor and is punishable by fine or imprisonment or both. It is a misdemeanor to allow an employee, or to allow an employee to accept any bribe or gratuity or to allow the use of a permit by anyone other than the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both.

• I understand that I am not allowed to have knowledge or to sign any work permit or to have knowledge or to sign any permit or to have knowledge or to sign any permit, signed without an application, report or completion of the collection of all data required under the provisions of this code or other law, or any agency, may be obtained from this permit application or document with the Department.

• I have read and understand the terms and conditions of the permit and have agreed to pay for the fee for this permit as developed in accordance with Administrative Code § 24-219 through § 24-224 and that this permit is in compliance with the Department of Environmental Protection's job registration law.

Contractor or Authorized Representative Name (print) _____

Signature _____ Date _____

Internal Use Only

Approved Denied Limited Approval

Indicate days-of-week in boxes for electronic review

Limited to: _____

Borough Commissioner's Signature _____ Date _____

Filing Fee _____ Permit Fee _____

03/13

Thank You!



Home Improvement Contractors (HIC) Licenses

Richard Rosen
Senior Project Advocate

Code and Zoning Representative
Training Module 9.13

- The Department of Buildings (DOB) assists the Department of Consumer Affairs (DCA) in the enforcement of licensing for home improvement contractors (HIC)
- To ensure that home improvement work is done by HIC licensed contractors, the DOB requires contractors to submit their DCA HIC license number when obtaining a DOB work permit
- Reference DOB OPPN 3/2005 for further details.



NYC Department of Buildings
290 Broadway, New York, NY 10007
Patricia Lancaster, FAIA, Commissioner
(212) 566-5000, TTY: (212) 566-4769

Robert LiMandri
First Deputy Commissioner
Phone: (212) 566-3103
Fax: (212) 566-3784
E-mail: roberli@buildings.nyc.gov

Issuance # 661

Operations Policy and Procedure Notice # 3/05

TO: Distribution
FROM: Robert LiMandri
DATE: November 4, 2005

SUBJECT: Home Improvement Contractor's License Requirement for Certain Permits.

EFFECTIVE: November 15, 2005

SUPERSEDES: Operations Policy & Procedure Notice #17/90 and Departmental Memorandum dated September 30, 1968 (Local Law 21 of 1968)

OBJECTIVE: To confirm that applicants/contractors seeking work permits for certain types of work possess a New York City Department of Consumer Affairs ("DCA") Home Improvement Contractor's License (HIC license).

BACKGROUND:

To ensure that home improvement work is performed by licensed contractors, the Department of Buildings will require contractors to submit their DCA-issued HIC license or a copy thereof for certain work as set forth below.

APPLICATION and EXCEPTIONS:

This requirement applies to work being performed in a:

- 1, 2, 3 or 4-family residence, or
- individual co-op, condominium unit or rented apartment unit.

If the applicant/contractor is one of the following, an HIC license is not required.

- A Professional Engineer or a Registered Architect who does not have a Design-Build Contract
- A subcontractor
- A homeowner performing his or her own work
- A contractor for a new building or for work done to fulfill a guarantee of completion of a new building
- Performing work in a residence that is owned or controlled by a government agency
- Performing work in only the commercial portion of a building
- Performing work in a Multiple Dwelling Units building when hired by the building owner or Board of Directors

PROCEDURES:

DOB Plan Examination:

At the point of plan review, DOB plan examiners will review the submission to verify if a DCA HIC license is required. If a HIC license is required, the plan examiner will select the Required Item "HIC License or Affidavit" to be an Item Required "Prior to Permit" for the job. The Required Item can be satisfied by non-technical staff.

DEAR Processing for Professionally-certified jobs.

The professional will determine if a DCA HIC license is required. If a HIC license is required, the professional will select (or write-in) the Required Item "HIC License or Affidavit" to be an Item Required "Prior to Permit" for the job. The DEAR clerk will data enter the Required Item.

Applicant/Contractor:

The applicant/contractor must submit a Work Permit Application (PW-2).

As of April 7, 2005, the PW-2 form includes a question requiring the HIC license number. The following steps should be taken to complete the PW-2:

- In section 6 (Applicant Information) of the PW-2, the contractor must indicate either "Yes" or "No" to the question "Does the Work Permit applied for require an HIC license?" If "Yes", s/he must indicate the HIC license number on the form and will be asked to present the HIC license or a copy thereof to the Permit Clerk.
- If the contractor also has a DOB general contractor tracking number, s/he should also check the "General Contractor" box and provide the tracking number.
- If the work is on the commercial portion of a mixed-use building, it should be stated in the "Part A Job Description" portion of the PW-1 form, and the contractor does not need to check the HIC box on the PW-2 form.

DOB Permit Processing:

The Department's permit clerk will receive the PW-2 form and:

1. Check the Required Item list to determine if the Required Item "HIC License or Affidavit" is present.
2. If it is present, check the PW-2 to ensure the applicant/contractor completed the question "Does the Work Permit applied for require an HIC license?" If "Yes", s/he must indicate the HIC license number on the form and will be asked to present the HIC license or a copy thereof to the Permit Clerk.
3. Permit Clerk will confirm the existence of the HIC License. Clerk does not need to retain the document. At a future date, the HIC # may be recorded in BIS.
4. The Applicant may submit the HIC Affidavit (HIC-1) if the HIC License requirement does not apply. Is submitted, the Affidavit should be retained in the job folder.

Note: No HIC or Affidavit is required unless the Required Item is present on the Required Item list for the job.

Renewal Processing

The Department's Permit Clerk will check the Required Item list to determine if the Required Item "HIC License or Affidavit" is present. If it is present, follow same procedure as above. If it is not present, renew the permit. No HIC license or Affidavit is required unless the Required Item is present on the Required Item list for the job.

An HIC license is required by a contractor

- When performing Alteration Type 1, 2 or 3 application work, and
- When the contractor's contract involves any of the following:
 - ✓ a 1, 2, 3 or 4 family residence, or
 - ✓ a shareholder of a co-op unit, or
 - ✓ a condominium unit holder, or
 - ✓ a tenant of a rented apartment unit.

In General, the following entities need an HIC license:

- all types of contractors performing construction work, and
- professional engineers and registered architects performing design/build work,

but there are exceptions...

OPPN 3/05: Who Doesn't Need the HIC License?

- A registered design professional, professional engineer (PE) or registered architect (RA) who does not have a Design/Build contract
- A subcontractor (to a general contractor)
- A homeowner performing his or her own work
- A contractor for a new building; a contractor for work done to fulfill a guarantee of completion of a new building
- An applicant (contractor or registered design professional) performing work in a residence that is owned or controlled by a government agency
- A contractor or registered design professional performing work in only the commercial portion of a building
- A contractor or design professional performing work in a Multiple Dwelling Unit building, when hired by the building owner or Board of Directors

Affirmation of HIC Requirement

- Added as a non-technical “Required Item” that must be submitted “Prior to Permit” during plan examination.
- Applicant must produce their HIC ID at the borough office permit window

Proactive enforcement

- DOB performs random audits that include
 - ✓ reviews of plans and applications
 - ✓ site inspections
- DCA performs inspections of the site

When submitting a request for a work permit,

- the contractor must
 - ✓ *present a valid HIC license, or*
 - ✓ *if qualified for one of the exemptions previously discussed, an affidavit in lieu of the HIC license may be presented.*
 - *The form is available in the Forms section of the Department of Buildings website.*
- This requirement also applies to permit renewal requests for jobs filed on or after November 15, 2005.

How to file

In Section 6 of the PW-2, the contractor **must** respond to the “HIC License” question (*Does the Work Permit applied for require an HIC license?*). If “Yes”, the contractor must provide the HIC license number in the space provided **and** present the license or a copy to the permit clerk for validation. If applicable, you may present an *HIC Affidavit (HIC-1)* to have the requirement waived.

<p>6 Applicant Information</p> <p>Please check which one of the following applies to the applicant for this permit (select one only)</p> <p><input type="checkbox"/> Licensee (Provide number and check off type): <input type="checkbox"/> P.E. <input type="checkbox"/> R.A. <input type="checkbox"/> MP <input type="checkbox"/> FSC <input type="checkbox"/> OBI <input type="checkbox"/> Sign Hanger Lic. No.: _____</p> <p><input type="checkbox"/> Does the Work Permit applied for require a H.I.C. license? <input type="checkbox"/> No <input type="checkbox"/> Yes (Provide H.I.C. # here if yes): _____</p> <p><input type="checkbox"/> General Contractor, Provide Tracking No. (mandatory): _____</p> <p><input type="checkbox"/> Demolition Contractor</p> <p><input type="checkbox"/> Home Owner (waiver of insurance from New York State Workman's Compensation Board required and Borough Commissioner's approval.)</p> <p>If MP, FSC, or OBI applicant, are you responsible for all work on this permit? <input type="checkbox"/> Yes <input type="checkbox"/> No If not, please describe type of work below:</p>

Required items Checklist for Professional Certification (PC-1)


PC1

PAGE 2

2 Required Items (Continued) *Required for all applications. Yes or no must be selected for every item.*

YES	NO	ITEMS REQUIRED PRIOR TO PERMIT	YES	NO	ITEMS REQUIRED PRIOR TO C OF O OR SIGNOFF (CONT.)
<input type="checkbox"/>	<input type="checkbox"/>	CPC: HUDSON YARDS FINAL CERTIFICATION	<input type="checkbox"/>	<input type="checkbox"/>	RPZ/DDCV TEST REPORT : GEN215B
<input type="checkbox"/>	<input type="checkbox"/>	JAMAICA: DEP SEWER CONNECTION APPROVAL	<input type="checkbox"/>	<input type="checkbox"/>	SEWER/HOUSE CON SIGNOFF: DEP HC 021
<input type="checkbox"/>	<input type="checkbox"/>	SITE SAFETY PLAN	<input type="checkbox"/>	<input type="checkbox"/>	FA - FDNY APPROVAL : FD-FAA
<input type="checkbox"/>	<input type="checkbox"/>	EXCAVATION OR DEMOLITION: 5-DAY NOTICE	<input type="checkbox"/>	<input type="checkbox"/>	FA LETTER OF DEFECT : FD-FALD
<input type="checkbox"/>	<input type="checkbox"/>	SIDEWALK SHED APPLICATION & PERMIT	<input type="checkbox"/>	<input type="checkbox"/>	FA SELF CERT DEFECT : FD-FASC
<input type="checkbox"/>	<input type="checkbox"/>	TEMPORARY FENCE APPLICATION & PERMIT	<input type="checkbox"/>	<input type="checkbox"/>	FIRE SUPP ANSUL APPROVL: FD-FSS
<input type="checkbox"/>	<input type="checkbox"/>	SCAFFOLD APPLICATION & PERMIT	<input type="checkbox"/>	<input type="checkbox"/>	FEMA FORM (81-31): ELEVATION CERTIFICATE
<input type="checkbox"/>	<input type="checkbox"/>	MICROFILM: INITIAL	<input type="checkbox"/>	<input type="checkbox"/>	CLINTON DIST: HPD CERT COMPLETION LOW-INCOME HOUSING
<input type="checkbox"/>	<input type="checkbox"/>	INSURANCE: WORKERS' COMPENSATION	<input type="checkbox"/>	<input type="checkbox"/>	HPD: INCLUSIONARY HOUSING ELIG. CERT
<input type="checkbox"/>	<input type="checkbox"/>	INSURANCE: WORKERS' COMP. WAIVER/AFFID	<input type="checkbox"/>	<input type="checkbox"/>	FEMA FORM (81-65): DRY FLOOD-PROOFING CERTIFICATE
<input type="checkbox"/>	<input type="checkbox"/>	INSURANCE: LIABILITY	<input type="checkbox"/>	<input type="checkbox"/>	CERTIFICATE OF OCCUPANCY
<input type="checkbox"/>	<input type="checkbox"/>	INSURANCE: DISABILITY	<input type="checkbox"/>	<input type="checkbox"/>	PLACE OF ASSEMBLY (PA) SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	DIR-14 ID OF RESPONSIBILITY (TR1)	<input type="checkbox"/>	<input type="checkbox"/>	SPRINKLER (SP) SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	MASONRY MANUFACTURER'S STATEMENT-FORM 10H	<input type="checkbox"/>	<input type="checkbox"/>	STANDPIPE (SD) SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	EQUIPMENT (EQ) PERMITS	<input type="checkbox"/>	<input type="checkbox"/>	ELEVATOR JOB SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	MICROFILM: ADDITIONAL REQUIRED	<input type="checkbox"/>	<input type="checkbox"/>	GASOLINE TANK SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	HIC LICENSE OR AFFIDAVIT	<input type="checkbox"/>	<input type="checkbox"/>	PILES: FINAL PILE PLAN/CREOSOTE LETTER
<input type="checkbox"/>	<input type="checkbox"/>	ELECTRICAL APPLICATION FOR SIDEWALK SHED LIGHTING	<input type="checkbox"/>	<input type="checkbox"/>	MARQUEE (OT) SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	ASBESTOS; COMPLETION OR CLOSEOUT (ACP20 OR 21)	<input type="checkbox"/>	<input type="checkbox"/>	MECHANICAL (MH) SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	STREET TREES: RECEIPT OF STREET TREES SITE PLAN	<input type="checkbox"/>	<input type="checkbox"/>	CURB CUT (CC) SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	ASBESTOS: VARIANCE (DEP FORM V5)	<input type="checkbox"/>	<input type="checkbox"/>	COST AFFIDAVIT: ACTUAL
<input type="checkbox"/>	<input type="checkbox"/>	JAMAICA: DEP SEWER CONNECTION APPROVAL	<input type="checkbox"/>	<input type="checkbox"/>	MICROFILM: ADDITIONAL REQUIRED
<input type="checkbox"/>	<input type="checkbox"/>	2008 TR1 REQUIRED FOR NEW/WAIVED INSPECTIONS	<input type="checkbox"/>	<input type="checkbox"/>	DETECTOR:SMOKE-CERT. OF INSTALLATION
<input type="checkbox"/>	<input type="checkbox"/>	TR3: CONCRETE DESIGN MIX TECHNICAL REPORT	<input type="checkbox"/>	<input type="checkbox"/>	EQUIPMENT USE PERMITS
<input type="checkbox"/>	<input type="checkbox"/>	PARTIAL DEMO: PLAN & DS1 (FOR AL/EW—OT PERMITS)	<input type="checkbox"/>	<input type="checkbox"/>	SITE SURVEY: FINAL
<input type="checkbox"/>	<input type="checkbox"/>	PARTIAL DEMO: 10-DAY NOTICE (FOR AL/EW—OT PERMITS)	<input type="checkbox"/>	<input type="checkbox"/>	RESTRICTION: EASEMENT AGREEMENT
<input type="checkbox"/>	<input type="checkbox"/>	STANDPIPE ALARM DRAWINGS 7 A11 (OR A11 PROOF)	<input type="checkbox"/>	<input type="checkbox"/>	RESTRICTION: DEED
<input type="checkbox"/>	<input type="checkbox"/>	STANDPIPE WORK PERMIT	<input type="checkbox"/>	<input type="checkbox"/>	FIRE SUPPRESSION SYSTEM (FP) SIGNOFF
<input type="checkbox"/>	<input type="checkbox"/>	OTHER: _____	<input type="checkbox"/>	<input type="checkbox"/>	FEES: PAY DEFERRED FEES
<input type="checkbox"/>	<input type="checkbox"/>	OTHER: _____	<input type="checkbox"/>	<input type="checkbox"/>	PLUMBING (PL) SIGNOFF
YES	NO	ITEMS REQUIRED PRIOR TO C OF O OR SIGNOFF	<input type="checkbox"/>	<input type="checkbox"/>	BOILER (BL) SIGNOFF

- The applicant submits the HIC-1 if the HIC License requirement does not apply. If submitted, the Affidavit should be retained in the job folder.



Job Number -Mandatory
(Affix Label)

**Home Improvement Contractor Affidavit
(Waiver of License Requirement)**

Please File 2 Copies

Job Number: _____ Document Number: _____

Location: _____
Address Zip Code

Borough: _____

I, _____ duly swear or affirm
(print name)
under penalty of perjury, that I am:

(select one only)

The owner of the above premises and will be performing the work wholly myself.

A contractor licensed by the Department of Buildings performing work exclusively within the scope of the craft, profession or business I am licensed to perform.

A Registered Architect or a Professional Engineer, and I do not have a Design-Build Contract.

A subcontractor for _____
(print name of prime contractor)

A contractor fulfilling a guarantee of completion of a new building.

A contractor performing work in a residence owned/controlled by a government agency.

A contractor performing work only in the commercial portion of the above referenced building.

A contractor performing work in a multiple dwelling building hired by the Owner/Board of Directors of the building, not by an apartment owner or tenant.

Please sign where applicable.

Contractor	<small>Print Name</small>	<small>Signature & Date</small>
Professional	<small>License Number</small>	<small>Signature & Date</small>



Home Improvement Contractors Licenses (HIC)

Thank You!



Builders Pavement Plan (BPP)

Frank Marchiano
Deputy Borough Commissioner

- General Overview
- Filing Procedure and Fees
- Required Items
- Forms Required
- Waivers
- DOT Rules and Regulations
- Inspection
- Sign-off Requirements

- Required by Section 36 of the General City Law
 - The Builders Pavement Plan (BPP) is an Engineering Drawing that depicts the Public Right of Way area abutting the property.
 - Plan is designed to show curbs, curb cuts, trees, utility locations, sidewalks and roadway improvements in accordance w/ DOT standards and specifications
 - Article 108 of the 2014 NYC Administrative Code (AC) establishes exceptions on filing a BPP application for Alterations
 - Required for the issuance of a Certificate of Occupancy per AC 28-118.7
 - All Public infrastructure work shall be designed in accordance w/ DOT Rules and Regulations.
-

The Builders Pavement Plan was also established to avoid the following undesirable conditions:

- Ponding and Icing – inadequate drainage
- Vehicular Skidding – inadequate roadway crown
- Slipping and Sliding – overly steep roadways or sidewalks
- Tripping and Falling – resulting from abrupt changes of grade
- Hazards for persons with disabilities – provide Code compliant accessibility
- Vehicular Hazards – obstructions & non-complying clearances

Undesirable Conditions



**Ponding and Icing –
inadequate drainage**



**Vehicular Skidding –
inadequate roadway crown**

Undesirable Conditions



Slipping and Sliding –
overly steep roadway or sidewalk



Tripping and Falling – resulting
from abrupt changes of grade

Undesirable Conditions



Hazards for persons with disabilities – provide Code compliant accessibility



Vehicular Hazards – obstructions & non-complying clearances

- Application must be filed as an Alteration Type-3
- A Professional Engineer or a Registered Architect must sign and stamp the submitted applications
- A BPP cannot be filed as a Directive 14
- Alteration to be processed through Application Processing and Plan Exam through Approval
- Filing Fee is \$8 per linear foot of property frontage, with a minimum of:
 - \$130 for 1- & 2-family dwelling; and
 - \$195 for all other buildings, plus management fees

BUILDINGS BULLETIN 2009-016
Operational

Supersedes: None

Issuer: Fatma Amer, P.E.
First Deputy Commissioner



Issuance Date: September 1, 2009

Purpose: This document clarifies that all applications that involve altering the existing horizontal curb alignment of the street must be reviewed by the New York City Department of Transportation (DOT)

Related Code/Zoning Section(s):	General City Law 36 (2)	AC 28-108.2	AC 28-108.3	AC 19-113	FC 503.8.2	19-115
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Subject(s): Builder's Pavement Plan; curbs, horizontal alignment

- Buildings Bulletin 2009-016

The Department of Buildings (DOB) administers the Builders Pavement Plan (BPP) program to ensure that construction or alteration work on a building or the issuance of a certificate of occupancy (CO) include curb, sidewalk and roadway improvements in accordance with the Department of Transportation's (DOT) standards and specifications. These standards and specifications are set forth in the current versions of DOT publications: *Standard Details of Construction*; *Standard Specifications*, and *Instructions for Filing Plans & Guidelines for the Design of Sidewalks, Curbs, Roadways and Other Infrastructure Components*. These publications include requirements that a property owner must maintain the existing horizontal curb alignment of the street upon which his/her property fronts.

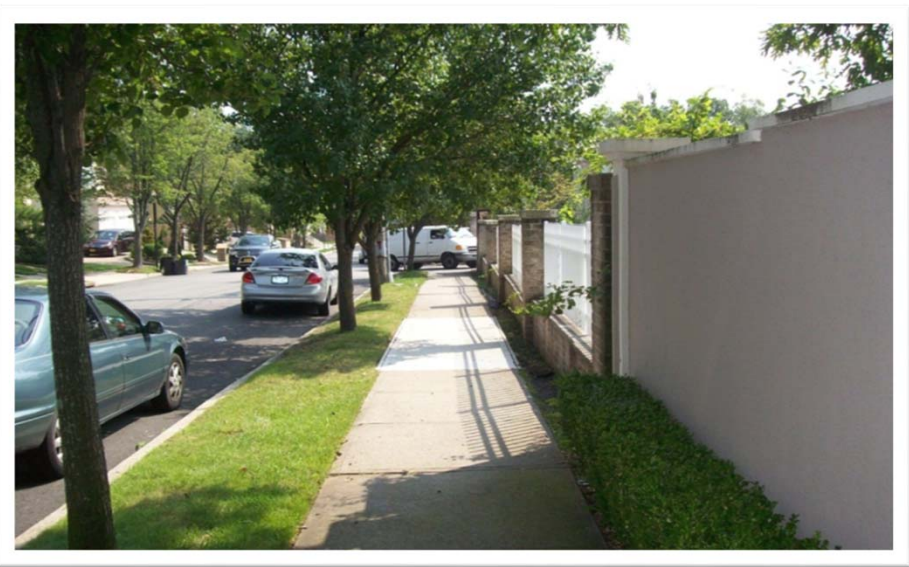
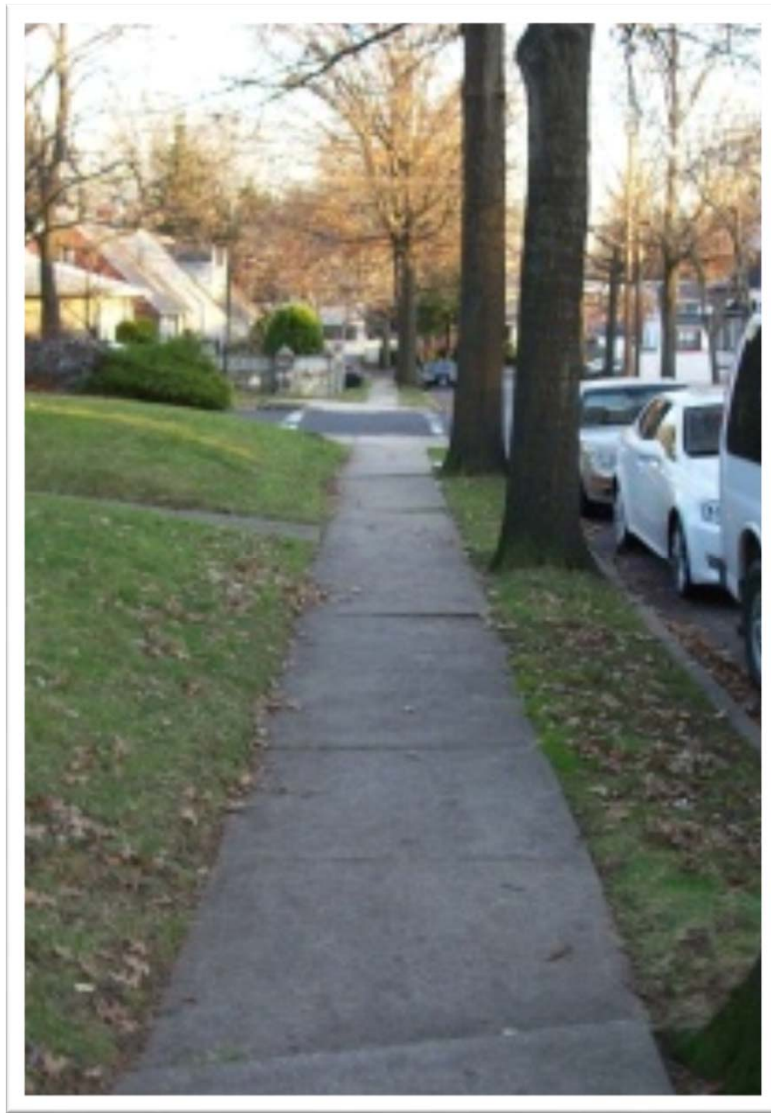
Therefore, all BPP applications submitted to the DOB that seek to waive the above requirement and propose alterations to the existing horizontal curb alignment of the street upon which the lot fronts, whether the intent is to widen or narrow the street, must be reviewed and approved by DOT prior to the approval of the BPP.

- Engineering Drawings
 - Must show existing conditions and proposed design
 - DOT format and size (24x36)
- Topographical Survey of existing conditions
 - Required for all BPP jobs
 - Must be within 12 months of initial filing
- Photos - Signed, Sealed and Dated
 - Required for all BPP Jobs
 - Site plan to indicate location and direction
 - Free of debris, snow, leaves and/or any other obstruction

Unacceptable Photos - Examples



Acceptable Photos - Examples



The screenshot shows the NYC Buildings website interface. At the top left is the NYC Buildings logo. Below it is a navigation menu with categories like Home, About the Buildings Department, Buildings Information, Development, Safety & Enforcement, Community Partnerships, Homeowners & Tenants, Sustainability, Codes & Reference, and News & Services. The 'Development' category is expanded, showing links to NYC Development Hub, Applications & Permits, Forms, Licensing, and 3D Site Safety Plans. The 'Forms' section is highlighted with a blue header. Below this header is a list of form categories, including Amusement Rides, Appointments, Boilers, Builders Pavement Plan, Certification & Material Acceptance, Cranes & Derricks, Easements & Restrictive Declarations, Electrical, Elevators, Energy Code, Facade, Licensing, Local Laws, PENS, Padlock, Plan/Work & Permits, Plumbing, Public Challenges, Signs, Tax Abatement, Technical, Unsafe Buildings, Violations, and Waterfront. A yellow callout box with the text 'Look Here' and an arrow points to the 'Builders Pavement Plan' link. To the right of the forms list is a blue sidebar with a white text box containing the announcement: 'Special Inspection Agency Registration Deadline Extended'. The text in the sidebar states: 'The Department has extended the deadline to register as a special inspection agency to May 13, 2013. Click here to learn more about how to register and the extension.' Below the sidebar is a blue button with a white right-pointing arrow.

The screenshot displays the NYC Buildings website interface. At the top left is the NYC Buildings logo. A navigation menu on the left includes links for Home, About the Buildings Department, Buildings Information, Development (with sub-links for NYC Development Hub, Applications & Permits, Forms, Licensing, and 3D Site Safety Plans), Safety & Enforcement, Community Partnerships, Homeowners & Tenants, Sustainability, Codes & Reference, News & Services, and Contact the Buildings Department. At the top right, there are utility links for Newsletter Sign-up, Weather Advisories, Owner's Bill of Rights, Printer Friendly, and Translate To. The main content area is titled "Builders Pavement Plan" and lists several forms with descriptions and "Download Form" links:

- BPP-1 Checklist for Alt-3 in lieu of plans**: This is a checklist for Alt-3 in lieu of plans. Submit this form as part of the Builders Pavement Plan application. [Download Form - Rev. 11/04](#)
- BPP-5 Authorization to the Department of Transportation Form**: Use this form to give authorization to the Department of Transportation to issue a Construction Permit for the Builders Pavement Plan Work. Submit this form as part of the Builders Pavement Plan application. [Download Form - Rev. 10/03](#)
- BPP-8 Request items for Builders Pavement Plan Signoff**: Use this form to request a Builders Pavement Signoff. [Download Form - Rev. 10/03](#)
- BPP-9 Request for Builders Pavement Field Inspection**: Use this form to request a Builders Pavement Field Inspection. Submit this form as part of the Builders Pavement Plan application. [Download Form - Rev. 10/03](#)
- BPP-11 Affidavit as to Roadway Pavement and/or Sidewalk and Curb Construction**: This form is required to obtain a signoff of a BPP application. It must be prepared by an architect or engineer. [Download Form - Rev. 9/03](#)
- BPP-15 Application for Waiver of Builders Pavement Requirements**: Applicable to some jobs requiring waivers of all improvements or partial improvements. At pre-filing, an architect/engineer should file these forms with the AI-1 form for justification as part of the BPP application. [Download Form - Rev. 8/04](#)
- BPP-16 Application for Waiver of Curb Alignment and/or Sidewalk and Curb**: Applicable to some jobs requiring waivers of all improvements or partial improvements. At pre-filing, an architect/engineer should file these forms with the AI-1 form for justification as part of the BPP application. [Download Form - Rev. 8/04](#)

On the right side of the main content area, there is a "Post-Storm Information" box with a right-pointing arrow and text: "Click here to find the latest information on the Department's response to Hurricane Sandy as well as help information for homeowners and licensed professionals performing repair work."

**Adobe
Acrobat
Format**

BUILDINGS Builders Pavement Plan Checklist for Alt-3 in lieu of plans

BIS job number _____

1. Project location

Borough	Block	Lot(s)
Street address		
Total extent of public roadway frontage (measured along lot lines) ...		LF

2. Existing conditions *Mark every box that applies with an "X" - Answer A or B, not both*

A. For small projects only (total lot frontage 100' or less)

There is existing adjacent curb and sidewalk, both sides of the lot in question	
Roadway is fully paved in front of the lot	

B. For all projects greater than 100' total frontage - For every street that is fully built up, there are:

Existing curbs, both sides of street for full block	
Existing sidewalks, both sides of street, full block	
Roadway is paved curb to curb for full block	
Sidewalk cross slope is greater than 1% at every surveying station along the frontage	
Gutter slope is greater than 0.5% between any two adjacent surveying stations	
Drainage - There is an existing drainage inlet at the low point	
Sidewalk - There are no abrupt breaks in the longitudinal grade	

3. Proposed work *Mark every box that applies with an "X"*

Obtain existing sidewalk and/or curb - repair or replace as required	
Replace existing sidewalk and/or curb with new work - same grades	
Install new sidewalk and/or curb - different alignment or grades. Submit 8 1/2 X 11 sketch and profiles	
Install a non-standard sidewalk material or scoring pattern. Submit distinctive sidewalk required items	
Provide flush access to a new building entrance. Submit grade study	
Make an existing building handicapped accessible. Submit grade study	
Adjust IA grades. Submit letter from IA	
Install new corner quadrant. Submit sketch showing all utilities	
Install new driveway(s). Submit sketch showing clearances to all poles / trees / hydrants / etc.	
Adjust existing roadway grades. Submit sketch and grade study	
Modify or relocate an existing drainage structure. Submit a scaled sketch	
Remove an existing tree. Caution: Do not cut without permission from Parks Department. Submit copy	
Plant new trees. Submit permits from Parks Department	
Install or relocate UP or LP. Submit letter from owner of utility	
Install or relocate a fire hydrant. Submit required letters from DEP and FDNY	
Install a sidewalk encroachment. Submit permission from DOT Revocable Consent	
For small jobs only - Install new sidewalk - none existing. Submit sketch	
For small jobs only - Install new curb - none existing. Submit sketch	
Other proposed work - specify in this space	

4. PE / RA / LS / RIA Applicant data

Last name	First name	MI
Business name		
Business address:		
City	State	ZIP
New York State License No. PE / RA / LS / RIA (circle one)		
Professional's signature		

Seal

BPP-1 (Rev.11/04)

BUILDINGS BUILDERS PAVEMENT PLAN

AUTHORIZATION TO THE DEPARTMENT OF TRANSPORTATION
To Issue Construction Permit for the Builders Pavement Plan Work

BPP#	BIS#	Permit#
Project Lead Address:		<input type="radio"/> BK <input type="radio"/> BX <input type="radio"/> MN <input type="radio"/> QS <input type="radio"/> SI
Block	Lot	
Owner's Name:		
Telephone Number:	E-mail Address:	

Street Number 1:
Between (Provide cross streets) _____ and _____

New Curb	Linear Feet	
New Concrete Walk	Linear Feet	
New Roadway Pavement*	Linear Feet	by _____ Feet wide

Street Number 2:
Between (Provide cross streets) _____ and _____

New Curb	Linear Feet	
New Concrete Walk	Linear Feet	
New Roadway Pavement*	Linear Feet	by _____ Feet wide

Street Number 3:
Between (Provide cross streets) _____ and _____

New Curb	Linear Feet	
New Concrete Walk	Linear Feet	
New Roadway Pavement*	Linear Feet	by _____ Feet wide

* Department of Transportation permits include an asphaltic repair strip in the roadway next to the new curb.

Professionals Signature * _____ Date _____

Department of Buildings Representative _____ Date _____

*A registered architect or licensed engineer is required to submit form.

BPP-5 (Rev. 10/03)

- **BPP1 - Checklist for Alt-3 in lieu of plans**
 - Filed only for small jobs that were previously built up

- **BPP5 – Authorization to DOT to Issue permit**
 - Required for all BPP jobs



BUILDERS PAVEMENT PLAN

REQUIRED ITEMS FOR BUILDERS PAVEMENT PLAN SIGNOFF

BPP#	BIS#	Permit#
Project Lead	<input type="radio"/> BK <input type="radio"/> BX <input type="radio"/> MN <input type="radio"/> QNS <input type="radio"/> SI	
Address		
Block	Lot	
Owner's Name:		
Telephone Number:	E-mail Address:	
Street name for this sheet:		
House Number(s) these requirements apply to:		
House Number (s) required for this specific signoff:		
Required if checked:		
<input type="checkbox"/> Certificate of Inspection for New Drainage Structure		
<input type="checkbox"/> Concrete Delivery Tickets		
<input type="checkbox"/> Department of Transportation (DOT) Work Permits (Sidewalk/Curb/Roadway)		
<input type="checkbox"/> Engineer's Affidavit		
<input type="checkbox"/> Final Survey		
<input type="checkbox"/> Parks Department Permit to Remove Tree (s)		
<input type="checkbox"/> Parks Department Permit to Plant New Tree (s)		
<input type="checkbox"/> Roadway Pavement Cores		
<input type="checkbox"/> Sidewalk Concrete Cores		
<input type="checkbox"/> Waiver of Curb Alignment/Sidewalk/Curb		
<input type="checkbox"/> Waiver of Legal Grade		
<input type="checkbox"/> Other		
Plan Examiner	Date	

BPP-8 (Rev. 10/03)



BUILDERS PAVEMENT PLAN

REQUEST FOR BUILDERS PAVEMENT FIELD INSPECTION

BPP#	BIS#	Permit#
Project Lead	<input type="radio"/> BK <input type="radio"/> BX <input type="radio"/> MN <input type="radio"/> QNS <input type="radio"/> SI	
Address		
Block	Lot	
Owner's Name:		
Telephone Number:	E-mail Address:	
Provide complete address for buildings to be inspected:		
<input type="checkbox"/> Copies of Department of Transportation Curb/Sidewalk/Roadway work permits attached		
<input type="checkbox"/> No new infrastructure was installed under this project		
<input type="checkbox"/> Photographs showing finished work attached		
<input type="checkbox"/> Large job requires a Department of Buildings site plan showing house numbers attached		
Date:		
Name of person requesting inspection:		
Affiliation:		
Telephone Number	E-mail Address:	

BPP-9 (Rev.10/03)

- **BPP8 – Required Items for Signoff**
 - Required for all BPP jobs

- **BPP9 – Request for Field Inspection**
 - Required for all BPP jobs

**AFFIDAVIT AS TO ROADWAY PAVEMENT
AND/OR SIDEWALK AND CURB CONSTRUCTION**

State of New York)
City of New York) ss:
County of _____

_____ being duly sworn, deposes and says:

- I am a duly licensed professional engineer/architect/surveyor/landscape architect and I have my office at _____
- I have been retained by _____ residing at or having a principal office at _____ for the purpose of inspection of installed roadway pavement and/or sidewalks and curbs at the location indicated below, per paving plan _____
- I have inspected the installed concrete sidewalk having dimensions _____ feet by _____ feet, curb in the length of _____ lineal feet and roadway pavement _____ feet by _____ feet by _____ feet abutting premises _____ and known by the tax description as Block _____, Lot _____ in the Borough of _____ and which premises are the subject of an application to the Building Department # _____
- I have reviewed the Core Evaluation Reports for the above construction as furnished by Approved Testing Laboratory _____
- I hereby certify that said roadway pavement and/or sidewalks and curbs were constructed in accordance with the specifications set forth in the Rules and Regulations of the Department of Highways relating to the construction of roadway pavement and/or sidewalks and curbs, unless otherwise modified under the terms of the permit for construction of the same.
- I have reviewed the "As Built" survey of the above construction as furnished by Licensed Land Surveyor _____
- I further certify that said roadway pavement and/or sidewalks and curbs were constructed to be legally established lines and grades unless otherwise modified under the terms of the permit for construction of the same.
- All new drainage structures required by the Builders Pavement filing have been installed. All existing drainage structures have been cleaned and are functioning properly.

Sworn to before me this ____ day of ____ 20____

(Notary Public)

BPP-11 (Rev. 3/04)



Builders Pavement Plan (BPP)

Application for waiver of builders pavement requirements

This application is for upper floor additions, small back yard additions, garages or similar structures

Block _____ Lot _____

Street address _____

Type and extent of proposed work _____

I hereby certify that the property listed above currently has the appropriate street infrastructure in place in the right-of-way. I also certify that the proposed work specified above will not have any impact on this existing infrastructure.

Name (print) _____

Signature _____ Date _____

PER/R/L/V/L/S seal _____

BPP-15 (2004)

- **BPP11 – Affidavit as to Roadway Pavement and/or Sidewalk & Curb Construction**
 - Certification by Engineer

- **BPP15 – Application for Waiver of Requirements**
 - Permissible on applications for upper floor additions, small backyard additions, garages or similar structures



NYC BUILDINGS

Builders Pavement Plan (BPP)

Application for waiver of curb alignment and/or sidewalk and curb

This application is filed in connection with Builders Pavement Plan RP _____)

Applicant's Name _____

Street address _____

Phone _____ Fax _____

Signature of authorized representative _____

List the names of the streets for which the waiver of curb alignment is sought:

List the names of the streets for which the waiver of a sidewalk and/or curb is sought:

Applicants must file a copy of the Department of Buildings form AI-1 Additional Information stating the full justification for the requested waivers.

For self-certification of BPP projects, applicants cannot self-certify a waiver of alignment, sidewalk or curb. These waivers are granted on a reconsideration by the Borough Commissioner only after a review and recommendation from the Department of Transportation's Borough Commissioner.

BPP-16 (06/06)

- **BPP16 – Application for waiver of Curb Alignment and/or Sidewalk and Curb**
 - Required on Jobs where DOT waiver is warranted, based on width of mapped street

Waiver of Legal Grade

- Required when existing adjacent curb at the lot line is three (3) inches or greater above or below legal grade
- Filed and Recorded with the County Clerk's Office

Waiver of Improvements

- Property owner or Applicant may request a waiver of Sidewalks, Curbs, Pavement and/or Curb Alignment
- Supplementary materials to accompany submittal to support waiver request
- Form must be approved by DOT and DOB Borough Commissioners

NEW YORK CITY
DEPARTMENT OF TRANSPORTATION
 BUILDERS PAVEMENT UNIT
 55 WATER ST. 7TH FLOOR NEW YORK, NY 10041
 PHONE: 212-839-8990
WAIVER OF IMPROVEMENTS

B.P.P. Plan #: _____ Inspection Date: _____
 Location(s): _____
 Intersection: _____
 Block(s): _____ Lot(s): _____

Consideration for: (Check all that apply)	Granted	Not Granted	N/A
<input type="checkbox"/> Sidewalks	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Curbs	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Pavement	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Curb Alignment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> All Improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Notes: _____

PREPARED BY _____ DATE: _____
 REVIEWED BY _____ DATE: _____
 D.O.T. B.C. _____ DATE: _____
 D.O.B. B.C. _____ DATE: _____

\del\fs5w\del\user\home\drive\my\rich\My Documents\waiver\DOT WAIVER APPROVAL
 Page 1 of 1
 FORM hard copy.doc

http://www.nyc.gov/html/dot/html/motorist/traffic_rules.shtml

Look Here

NEW YORK CITY
DOT

SEARCH

Home
 About DOT
Motorists & Parking
 Alternate Side Parking
 Traffic Advisories
 Street Parking Rates & Rules
 Municipal Lots
 Real Time Traffic Cameras
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 Disability Parking Permits
 Ferries & Buses
 Bicyclists
 Pedestrians & Sidewalks
 Bridges
 Signs, Signals & Streetlights
 City Programs
 Parks & Franchises

Motorist Highway & Traffic Rules

New York City Highway Rules
 The [New York City Highway Rules \(pdf\)](#) comprise Chapter 2 of Title 34 of the Rules of the City of New York. It includes permits for street construction, schedules of fees, requirements for sidewalk, curb and roadway work, permits for street furniture, rules regarding newsstands, and other information.

DOT has enacted an amendment to the highway rules regarding [pedestrian traffic managers \(pdf\)](#). This amendment will go into effect on January 7, 2013.

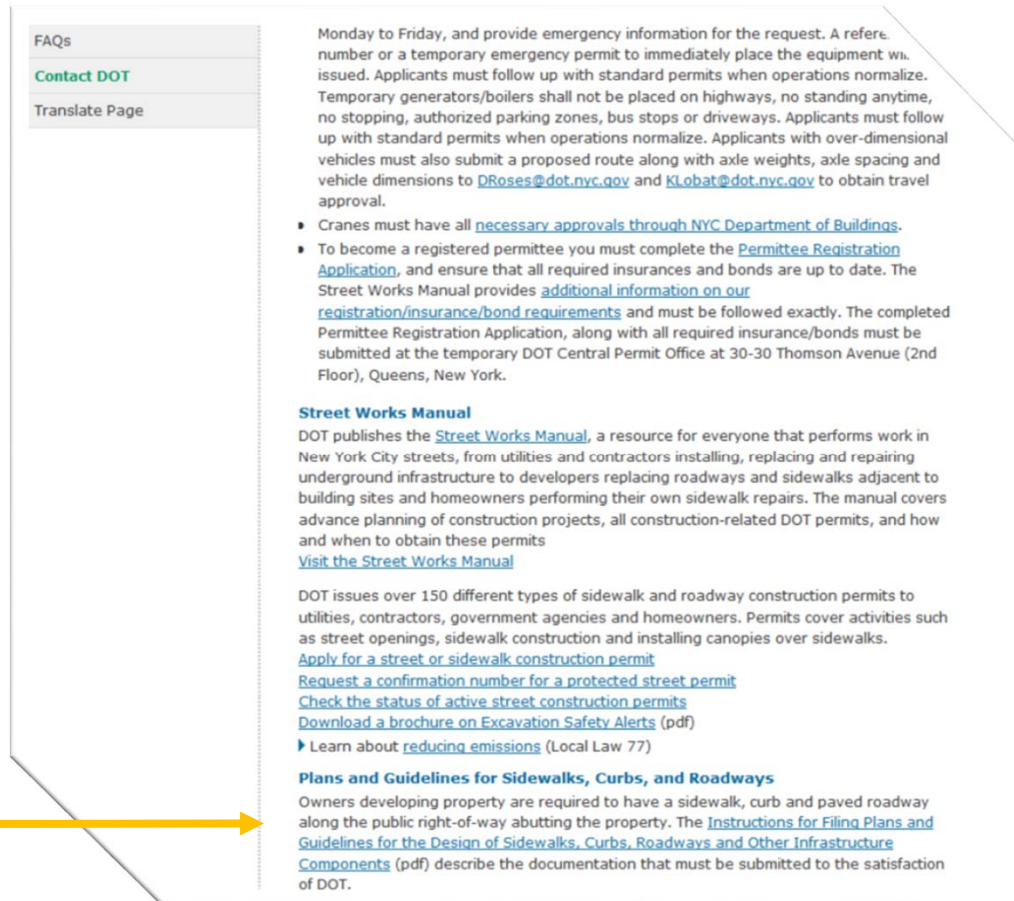
New York City Traffic Rules
 The [New York City Traffic Rules and Regulations \(pdf\)](#) comprise Chapter 4 of Title 34 of the [Rules of the City of New York](#). It includes rules on traffic signals; pedestrians; restrictions on turns; speed restrictions; other restrictions on movement; rules for parking, stopping, and standing; rules for buses, taxis and for-hire vehicles; truck routes; rules pertaining to parkways and parks; limitations upon dimensions and weight of vehicles; and other information.
[Learn more about City Rules](#)

The Traffic Rules include a complete listing of [designated truck routes](#). This listing appears in Section 4-13, which begins on page 65 of the Rules.

Non-Functioning Traffic Signals
 Motorists are advised that the New York City Traffic Rules require that vehicular traffic facing a signal that is not working shall stop before entering the crosswalk on the near side of the intersection or, if none, then before entering the intersection and shall proceed with caution through the intersection. See Section 4-03(a)(7) of the Traffic Rules for more information.

DOT Guidelines for Design of Sidewalks, Curbs & Roadways

<http://www.nyc.gov/html/dot/html/permits/permits.shtml>



FAQs
Contact DOT
Translate Page

Monday to Friday, and provide emergency information for the request. A refer. number or a temporary emergency permit to immediately place the equipment w. issued. Applicants must follow up with standard permits when operations normalize. Temporary generators/boilers shall not be placed on highways, no standing anytime, no stopping, authorized parking zones, bus stops or driveways. Applicants must follow up with standard permits when operations normalize. Applicants with over-dimensional vehicles must also submit a proposed route along with axle weights, axle spacing and vehicle dimensions to DRoses@dot.nyc.gov and KLobat@dot.nyc.gov to obtain travel approval.

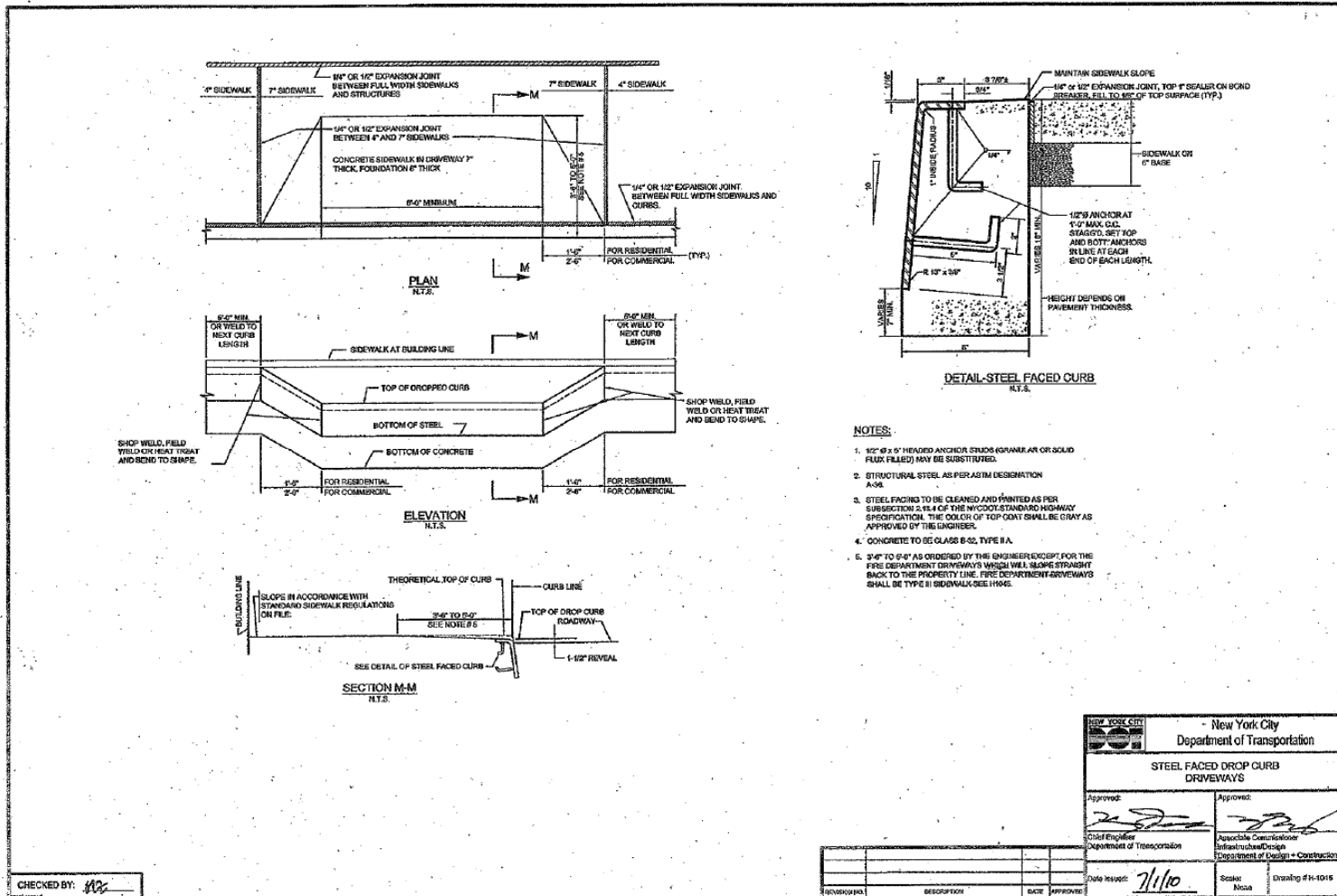
- Cranes must have all [necessary approvals through NYC Department of Buildings](#).
- To become a registered permittee you must complete the [Permittee Registration Application](#), and ensure that all required insurances and bonds are up to date. The Street Works Manual provides [additional information on our registration/insurance/bond requirements](#) and must be followed exactly. The completed Permittee Registration Application, along with all required insurance/bonds must be submitted at the temporary DOT Central Permit Office at 30-30 Thomson Avenue (2nd Floor), Queens, New York.

Street Works Manual
DOT publishes the [Street Works Manual](#), a resource for everyone that performs work in New York City streets, from utilities and contractors installing, replacing and repairing underground infrastructure to developers replacing roadways and sidewalks adjacent to building sites and homeowners performing their own sidewalk repairs. The manual covers advance planning of construction projects, all construction-related DOT permits, and how and when to obtain these permits
[Visit the Street Works Manual](#)

DOT issues over 150 different types of sidewalk and roadway construction permits to utilities, contractors, government agencies and homeowners. Permits cover activities such as street openings, sidewalk construction and installing canopies over sidewalks.
[Apply for a street or sidewalk construction permit](#)
[Request a confirmation number for a protected street permit](#)
[Check the status of active street construction permits](#)
[Download a brochure on Excavation Safety Alerts](#) (pdf)
▶ Learn about [reducing emissions](#) (Local Law 77)

Plans and Guidelines for Sidewalks, Curbs, and Roadways
Owners developing property are required to have a sidewalk, curb and paved roadway along the public right-of-way abutting the property. The [Instructions for Filing Plans and Guidelines for the Design of Sidewalks, Curbs, Roadways and Other Infrastructure Components](#) (pdf) describe the documentation that must be submitted to the satisfaction of DOT.

Look Here



NYC Zoning Resolution

- Governs the widths, distances between curbs cuts & allowable number of curbs cuts along a property frontage in a particular zoning district

Building Code (BC 406.7.6, pertaining to open parking lots)

- Regulates the location, size of curb cuts and distance from lot lines

- All BPP inspections are to be performed by the Department's Construction Division, standard process in all Boroughs
- Applicant must submit BPP9 form with a Final BPP Survey (sealed by licensed surveyor) to the Borough Construction Division
- Upon receipt of completed form and necessary documentation, the Construction Unit will schedule an Inspection

- BPP8
- Engineer's Affidavit
 - ✓ Verifies work performed by contractor
- Final Survey
 - ✓ Verifies that as-built conditions comply with approved plans
- DOT Work Permit
 - ✓ Required prior to any BPP construction work
- Roadway/Pavement and/or Sidewalk Concrete Cores
 - ✓ Required for street frontages equal to or in excess of 100 feet

The following requirements must be fulfilled as dictated by the BPP project:

- Department of Parks permit to remove and/or plant trees
- Waiver of Legal Grade
- Utility Companies approval to relocate utility pole(s)
- DOT approval to relocate bus stop(s)
- DEP approval to relocate and/or install catch or seepage basins and the relocation of fire hydrants

Thank You!

Limited Alteration Application
and
Permit Renewals

Gathfeny Sanders
Director, LAA/Permit Renewals

Overview

- The Limited Alteration Application (LAA1) form is utilized for plumbing work, fire suppression piping replacement and repairs, and oil burner installations which does not include construction work. With the implementation of the 2014 Code Revision the LAA1 now includes:
 - a) **Category 1** which is limited to an estimated cost of **\$35,000** per licensee within a 12 month period.
 - b) **Category 2** *No estimated cost limitation or time period restriction.*
- Generally, the work is restricted to repairs and/or replacements of existing equipment and does not require a Registered Architect or Professional Engineer.



LAA1: Limited Alteration Application for Plumbing, Oil Burning, or Fire Suppression

Must be typewritten and double-sided. Select one category and one work type per Limited Alteration Application.

Orient and affix BIS job number label here for all filings except initial filings.

1 Filing Status Required for all applications. Choose only one.

Initial Filing Amendment Emergency Work Notification Approval #: _____
 Renewal Withdrawal Superseding Job Application #: _____

2 Location Information Required for all applications.

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

3 Fee Assessment Required for all initial applications.

3A Building Characteristics, choose one: 1, 2 Family House 3 Family House Other

3B Estimated Cost (Required for all filings, choose only one. Categories are based on 2014 Administrative Code section: §28-101.5)
 Category 1 — Estimated Cost of Limited Work \$ _____
 Category 2 — Estimated Cost of Unlimited Work \$ _____
 35k limit per building including appliance and labor in any 12 month period. Must include all appliance and labor costs.

3C Legalization of Work. add details in section 9. Remove Violation(s): Are you resolving a violation for illegal work?
 Yes No If yes, list violation no.(s) in section 9.

3D Fee Exempt Applications choose only one (if applicable):
 The deed holder is a corporation or association organized and operated exclusively for the purposes indicated in §28-112.1, Exception Item 1, of the New York City Administrative Code, and the property is used exclusively by such entity for such purposes.
 This is a Federal, New York State, NYC or other government-owned property.

4 Applicant Information Required for all applications. Fax and mobile telephone are optional information.

Last Name _____ First Name _____ Middle Initial _____
 Business Name _____ Business Telephone _____
 Business Address _____ Business Fax _____
 City _____ State _____ Zip _____ Mobile Telephone _____
 E-Mail _____ License Number _____
 License Type Select only one: Master Plumber (LMP) Oil Burner Installer (OBI) Fire Suppression Contractor (FSC)

5 Plumbing Alteration (LMP) Only select only one Category of either Gas Plumbing Work or Water Plumbing Work not both.

Category 1: (Estimated Cost \$35,000 or Less)
 Water Plumbing Work includes the following:
 • New Fixtures • Repair/Replace SD • Installing New Sprinkler Heads • Plumbing Piping Systems
 • Rearrangement of Sprinkler Heads

Gas Plumbing Work (Requires section 5A) includes the following:
 • Gas Piping

Category 2:
 Water Plumbing Work includes the following:
 • Rerouting of Plumbing Piping • Relocation of Plumbing Fixtures • Replacement of Sprinkler Heads
 • Primary Backflow Preventer • Sanitary/Storm Systems • Other Water Plumbing Work

Gas Plumbing Work (Requires section 5A) includes the following:
 • Relocation of Gas Heating Appliance • Direct Vent Appliance • Replacement of Gas Boiler/Burner • Dryer
 • Temporary Gas Heating Appliance • Oil to Gas Conversion • Reroute Gas Piping • Other Gas Work

5A Gas Usage Select all that apply: Heat Cooking Water Heater Dryer Boiler Pilot HVAC Direct Vent
 Other (specify here): _____ Locations - Floors/Apts. (list all): _____
 No. of Meters: _____ Locations - Floors/Apts. (list all): _____
 No. of Risers Tested: _____ Locations - Floors/Apts. (list all): _____

LAA1
6 Oil Burner Installers (OBI) Only Select only one Category, not both.

Category 1: (Estimated Cost \$35,000 or Less)
 Oil Work includes the following: Oil Tank Oil Piping
 Fuel Grade Change? Yes No If yes, is the Firing Rate changing? Yes No
 * An amendment must be filed with DEP for change in Firing Rate

Category 2:
 Oil Work includes the following:
 • Oil Boiler / Burner • Temporary Heating Appliance • Relocate Oil Fired Heating Appliance

7 Fire Suppression Contractors (FSC) Only Select only one Category, not both.

Category 1: (Estimated Cost \$35,000 or Less)
 Fire Suppression Work includes the following:
 • Relocate Aux Hose Cabinets • Repair/Replace Sprinkler System • Rearrangement of Sprinkler Heads
 • Relocation of Piping (SP / SD) • Repair/Replace Parts of SD • Install New Sprinkler Heads

Category 2:
 Fire Suppression Work includes the following: • Replacement of Sprinkler Heads

8 Appliance Data Required for all fuel burning appliances.

Total Number of Appliance(s)	Floor Location of Appliance	Manufacturer Name	Listing Agency Name and Certification #	Model Number	Input BTU/hr

9 Proposed Work Summary Required. Please include all information such as the length and width of pipe for all piping related work.

10 Asbestos Abatement Compliance. (choose one):

The scope of work is an asbestos project as defined in the regulations of the NYC Department of Environmental Protection (DEP).
 The scope of work is not an asbestos project as defined in the regulations of the NYC DEP.
 ACP# DEP Control # _____ CAIR# _____ (both required)
 The scope of work is exempt from the asbestos requirement as defined in the regulations promulgated by the NYC DEP (15 RCNY 1-23(b)) or is an alteration to a building constructed pursuant to plans submitted for approval on or after April 1, 1987, in accordance with §28-106.1.

11 Applicant's Statements and Signatures Required for all applications. Must be licensee named in section 4 (MP, OBI, or FSC).

I hereby state that the information above is correct and complete to the best of my knowledge. I hereby assume responsibility for all statements applying to the applicant/contractor on this application. Falsification of any statement is a misdemeanor punishable by a fine, imprisonment, or both. It is a crime to offer or give to a city employee, or for a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for property performing the job or in exchange for special consideration. A conviction of offering of a bribe or gratuity is punishable by imprisonment, fine or both.

• In accordance with §28-104.8 of the NYC Administrative Code, I hereby declare that I am authorized by the owner of the above referenced premises to make this application for a permit to perform the work described herein. I hereby state that I have complied with all the relevant sections of the NYC Administrative Code as well as the rules and regulations of the New York City Department of Buildings, whether specified or not.

• If applicable, I certify that all new or replacement boilers comply with efficiency requirements in NYC EOC Table C403.2.3(5), fluid piping associated with boilers insulated in accordance with either Section EOC C403.2.9 or C403.3, and/or service water piping is insulated in accordance with either Section 403.4 or C404.5.

• If applicable, I certify the above-referenced ACP-F covering the work proposed with this application was submitted to DEP by the Certified Asbestos Investigator.

Name (please print) _____
 Signature _____ Date _____



Licensed Master Plumbers can utilize the LAA1 form to perform minor plumbing work consisting of replacement or repair work, and in some cases add items which should be filed as the following:

Category 1

- Rearrange up to 20 sprinkler heads.
- Add up to 5 sprinkler heads.
- Installing gas fired appliances.
- Installation of up to five new fixtures.

Category 2

- Perform oil to gas conversions.
- Re-route existing plumbing or gas piping.
- Install back flow preventers.
- Replace up to 30 sprinkler heads.
- In kind replacement of gas fired appliances.

Oil Burner Installers can use the LAA1 form to file for the following work utilizing the appropriate category:

Category 1

- Install replacement oil tanks
- Perform fuel grade conversions

Category 2

- May replace oil boilers up to 1 million *BTU's*
- Install Oil burners up to 2.8 million *BTU's*
- Installation of temporary oil fired mobile boilers.

Fire Suppression Contractors may make the following changes to an existing system:

Category 1

- Install up to 5 new sprinkler heads
- Rearrange up to 20 sprinkler heads
- Replacement of parts of a combined standpipe.
- Replace hose cabinets

Category 2

- Replace Sprinkler heads

Please be aware that any time a fire suppression system will be turned off for more than 8 hours, a Fire Department variance letter is required

Please Note:

- Any outstanding items for jobs submitted manually will be noted on a checklist.
- The job status of a given LAA may be found on the Buildings website with the latest updates and may be tracked by address or the BIS job number.
- In the event that a change is required on an approved LAA due to the addition of equipment, error in filing or a response to an objection, an Amendment may be filed.

Please Note:

- On occasions when a licensee cannot file a LAA, but has to respond to an emergency or hazardous condition, the contractor may file an Emergency Work Notification (EWN).
- A Superseding LAA may be filed to replace a contractor or business that is currently on record.

Limited Alteration Application Electronic Filings

- Licensed Contractors can enroll in the Departments Electronic filing program. The licensee will need to go to the Department of Buildings website www.nyc.gov/buildings in order to enroll.
- Once an accurate and completed Authentication form has been approved by our office. The licensee can electronically file Limited Alteration Applications
- There are some restrictions on which type of Limited Alteration Application work can be filed electronically. Please visit our website for some examples of work that cannot be filed electronically.

AUTHENTICATION FORM

Instructions:

In order to participate in Buildings' electronic filing program, you must accurately complete this form. Please sign the form, have it notarized, and stamp it with your professional seal (if applicable). **Any false or misleading statement(s) provided herein will result in the applicant's disqualification from being able to renew permits electronically and may lead to criminal prosecution.**

APPLICANT INFORMATION

E-mail Address:	LAA-PR@BUILDINGS.NYC.GOV	Date:	1/8/2013
Last Name:	PERMIT RENEWAL	First Name:	LAA
Business Address:	280 BROADWAY	MI:	
City:	NY	State:	NY
Contact Tel:	212-566-4579	Zip:	10007
		Mobile Phone:	--

LICENSES AND TRACKING NUMBERS

Please list all licenses and tracking numbers issued to you by DOB and associated business information		
Master Plumber	License Number:	
	Business Name:	
Fire Suppression & Piping Contractor	License Number:	
	Business Name:	
Oil Burner Installer	License Number:	
	Business Name:	
Sign Hanger	License Number:	
	Business Name:	
General Contractor	Tracking Number:	
	Business Name:	
Electrical Contractor	License Number:	
	Business Name:	
Professional Engineer	License Number:	999997
	Business Name:	LAA TEST
Registered Architect	License Number:	
	Business Name:	

LAA Audits

A diagram showing a vertical stack of three rectangular sections. The top section is white with the text 'Audit Banner'. The middle section is white with the text 'Resolving Open Issues'. The bottom section is white and empty. To the left of these sections is a large blue semi-circle with a yellow arc inside it, partially overlapping the left edge of the sections.

Audit Banner

Resolving Open
Issues

NYC Department of Buildings
LAA Application Details

Premises: 1300 MOCKINGBIRD LANE MANHATTAN
BIN: 0000000 Block: 0000 Lot 00
LAA #: 120000000

[Documents Collected](#) | [Plumbing Insp](#) | [Payment History](#) | [Virtual Job Folder](#)



OPEN ISSUES on 08/22/2014

[Printable \(PDF\) version of Permit](#)

Last Action: APPROVED - 07/02/2014 (E)

Pre-Filed: 07/02/2014 Building Type: 1-2 FAMILY Estimated Total Cost: \$6,500.00
Approved: 07/02/2014 Electronically Filed: Yes
Expiration: 07/02/2015 Fee Structure: STANDARD

[Work Description](#)

Location Information (Filed At)

House No(s): 1300 Street Name: MOCKINGBIRD
Borough: MANHATTAN Block: LANE Lot: 50 BIN: 0000000 CB No: 211
Work on Floor(s): CEL Apt/Condo No(s): 1

Additional Information

Applicant of Record

Name: John Doe Business Phone: 718-555-5555
Business Name: John Doe Plumbing & Heating Business Fax: 718-555-5555
Business Address: 280 Broadway, New York, NY 10007
License Type: Master Plumber
License Number: 000000
Applicant Insured By: Borough Insurance Insurance Expires: 12/24/2014

Work Detail

Plumbing: GAS EQUIPMENT/PIPING

Description of Work:

TO INSTA A NY BOILER MDL#CG-30DNIG2 MEA#4094-E 62,000 BTU'S 49,600 OUTPUT & A RHEEM HWH MDL#PROG40E8N MEA# 284-
Adding an AO Smith Hot Water Heater, 75 Gallon, 68,000 BTUS and a Weil McClain Boiler, 295 BTU's. Test existing gas line to stoves in cellar and on 1st floor.

Additional Gas Information

Meters: 1 CELLAR
Risers: 1 CELLAR THRU 1ST FLOOR (EXISTING)
Gas Uses: Heat Cooking Water Heater

Open Issues Banner

✓ Contact the LAA Unit to resolve “open issues”



LAA-AUDITS@BUILDINGS.NYC.GOV

NYC Department of Buildings

LAA Application Details

Premises: 1300 MOCKINGBIRD LANE MANHATTAN
BIN: 0000000 Block: 0000 Lot 00
LAA #: 120000000
BIN: 1004245 Block: 2119 Lot: 128 LAA #: 140231176

[Documents Collected](#) | [Plumbing Insp](#) | [Payment History](#) | [Virtual Job Folder](#)

[Printable \(PDF\) version of Permit](#)

Last Action: APPROVED - 08/08/2014 (E)

Pre-Filed: 08/08/2014 **Building Type:** OTHER **Estimated Total Cost:** \$9,000.00
Approved: 08/08/2014 **Electronically Filed:** Yes
Expiration: 08/08/2015 **Fee Structure:** STANDARD

[Work Description](#)

Location Information (Filed At)

House No(s): 1300 **Street Name:** MOCKINGBIRD LANE
Borough: MANHATTAN **Block:** 0000 **Lot:** 128 **BIN:** 0000000 **CB No:** 000
Work on Floor(s): CEL 001 thru 006

Additional Information

Administrative Notes: 081414- PAA APPROVED
Audit Results: [ACCEPTED on 08/14/2014](#)

Applicant of Record

Name: John Doe
Business Name: John Doe Plumbing & Heating **Business Phone:** 718-555-5555
Business Address: 280 Broadway, New York, NY 10007
License Type: Master Plumber
License Number: 000000
Applicant Insured By: MERCHANTS MUTUAL INS CO **Insurance Expires:** 09/14/2014

Work Detail

Plumbing: GAS EQUIPMENT/PIPING

Description of Work:

REPLACING APPROXIMATELY 400FT OF 3/4"BLACK PIPE & FITTINGS FOR COOKING GAS TO APT 1F, 2F, 2H, 3E, 4B, 4J, 6A, 6B, 6H, THE FIRE STOPPING WILL NOT BE COMPROMISE. WE ARE ALSO PERFORMING INTEGRITY TEST ON EXISTING GAS LINES TO APTS 2G, 4G, 5J, BOILER PILOT, SUPER APT. BUILDING HAS A TOTAL OF 72 APARTMENT AND THIS APPLICATION IS DONE IN CONJUNCTION WITH LAA 140231176. ONLY APT 6A REQUIRES REPAIRS OUT OF 60 APT FILE UNDER LAA 140231176 WITH 5 APTS STILL TO B E TESTED.

Additional Gas Information

Filing Representative Training Curriculum:

Permit Renewals

Which Form is Required?

- To renew a permit, a completed PW2 work permit application is required with a standard \$100.00 filing fee. Applications may be mailed into our central processing unit, submitted at our customer service window or dropped off in the 5th floor waiting area drop off box.
- Similar to the LAA's, a permit checklist will be attached to the PW2 indicating any outstanding items that must be resolved, prior to approval of the work permit application for manual submissions.



PW2: Work Permit Application

Must be typewritten.

Orient and affix EIS job number label here

BIS Document No., required:

1 Reason For Filing Required for all applications.

Initial Permit Complete all sections. Expected work start date: _____ Renewal Permit with changes Complete all sections.
 No Work Permit Renewal Permit without changes 1, 3, 4, 7 - 12

2 Location Information Required for all applications.

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

3 Type of Permit Choose one and complete any appropriate sub-choices or other information.

<input type="checkbox"/> Alteration	<input type="checkbox"/> Curb Cut	<input type="checkbox"/> Fuel Burning	<input type="checkbox"/> Plumbing 3C	<input type="checkbox"/> 3A Electrical application no. for shed lighting;
<input type="checkbox"/> Filed as NB (28-101.4-5)	<input type="checkbox"/> Demolition and Removal	<input type="checkbox"/> Gas	<input type="checkbox"/> Sign	
<input type="checkbox"/> Boiler	<input type="checkbox"/> Fire Alarm	<input type="checkbox"/> Oil	<input type="checkbox"/> Sprinkler 3C	<input type="checkbox"/> 3B Related fence job no.
<input type="checkbox"/> Construction Equipment	<input type="checkbox"/> Fire Suppression System	<input type="checkbox"/> Fuel Storage	<input type="checkbox"/> Standpipe 3C	<input type="checkbox"/> 3C Secondary permit description (if applies):
<input type="checkbox"/> Chute <input type="checkbox"/> Fence	<input type="checkbox"/> Foundation / Earthwork	<input type="checkbox"/> Mechanical / HVAC		
<input type="checkbox"/> Sidewalk Shed 3A	Area of site (sq. ft): _____	<input type="checkbox"/> New Building 3B		
<input type="checkbox"/> Supported Scaffold				
<input type="checkbox"/> Other: _____	<input type="checkbox"/> Earthwork Only			

3D Yes No Are you adding more than three stories? Yes No Are you removing one or more stories? If yes, 8

Yes No Are you performing work in 50% or more of the area of the building? Yes No Are you demolishing 50% or more of the area of the building? If yes, 8

Yes No Are you performing a vertical or horizontal enlargement adding more than 25% of the area of the building? Yes No Does your approved work include concrete? If yes, is your concrete work completed? Yes No complete section 9

Yes No Are mechanical means to be used?

4 Applicant / Contractor Required for all applications. (* Indicates optional.)

Last Name	First Name	Middle Initial
Business Name	Business Telephone	
Business Address	*Business Fax	
City	State	Zip
*E-Mail	*Mobile Telephone	
	Taxpayer ID	

<input type="checkbox"/> General Contractor	4A, 4B	4A Provide registration or tracking number:
<input type="checkbox"/> Fire Suppression Contractor	4C, 4D	4B Does work require a HIC license? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, HIC license number:
<input type="checkbox"/> Master Plumber	4C, 4D	4C License Number:
<input type="checkbox"/> Oil Burner Installer	4C, 4D	4D Is applicant responsible for all work on this application? <input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Sign Hanger	4D	If no, describe work responsibility:
<input type="checkbox"/> Professional Engineer	4C, 6	
<input type="checkbox"/> Registered Architect	4C, 6	
<input type="checkbox"/> Homeowner		

DOB approval required:



Mechanical equipment other than hand-held devices to be used for demolition or removal of debris (EC §3306.4)

licant specified in section 3. (* Indicates optional.)

First Name	Middle Initial
Business Telephone	
*Business Fax	
Zip	*Mobile Telephone
Registration Number	

permits)

Compensation Insurance* Disability Insurance*

inator, Site Safety Manager Required if applicable. (* Indicates optional.)

ork filed under this permit application requires: (choose one)

Site Safety Coordinator Site Safety Manager

First Name	Middle Initial
Telephone	
*Fax	
Zip	*Mobile Telephone
Registration Number	

r, all of the functions required of a Construction Superintendent, or Site Safety set forth in the Department of Buildings rules and regulations.

ion
New York, County of: _____ Notary Seal

or affirmed under penalty of perjury

day of 20

gnature

Indicates optional.)

ction four performing the demolition work for this permit? If no, complete this section.

First Name	Middle Initial
Telephone	
*Fax	
Zip	*Mobile Telephone
Registration Number	

r, all of the functions required of a Demolition Subcontractor as set forth in the

ion
New York, County of: _____ Notary Seal

or affirmed under penalty of perjury

day of 20

gnature

-choices.

9B Yes No Does your approved work include 2,000 cubic yards or more of concrete? If yes, 10 and 11

ional.)

performing the concrete work for this permit? If no, complete this section.

Middle Initial
Telephone
*Fax
*Mobile Telephone
Registration Number

functions required of a Concrete Subcontractor as set forth in the

County of: _____ Notary Seal

under penalty of perjury

20

ditional.)

Middle Initial
Telephone
*Fax
*Mobile Telephone
Registration Number

functions required of a Concrete Safety Manager (identified above) as set

County of: _____ Notary Seal

under penalty of perjury

20

ed for all applications.

wledge and I assume responsibility for all statements on this form. I understand that if rt on this or any other document submitted to the Department, I may be subject to fine. t. I also understand it is unlawful to give to a city employee, or for a city employee to orming the job or in exchange for special consideration.

be requirements, and, in addition.

e Safety Manager, Demolition Subcontractor, Concrete Subcontractor, or Concrete ldual listed herein he or she is designated as such and hereby certify he or she is

representative, Construction Superintendent, Site Safety Coordinator, Site Safety ork as originally filed or as officially amended.

am authorized by the owner of the above-referenced premises to make this with Rule 101-16, I will post the permit in a conspicuous and visible location.

ent property insurance.

d if not licensee)

County of: _____ Licensee Seal or Notary Seal

under penalty of perjury

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Is Electronic Filing Available?

- General contractors, licensed contractors and licensed professionals may enroll in the Department of Buildings electronic filing program.
- Once the Authentication form has been mailed or dropped off to our unit, it is reviewed for activation. Upon activation, a confirmation email is sent and the enrollee may now file and make payments online to obtain electronic approval from their home or office.

Insurance?

- In cases where a new construction project requires General Liability Insurance, a signed, notarized and updated PGL1 form: Project Specific General Liability Insurance tool sheet with the associated Accord insurance form must be submitted.

Controlled Inspections?

- Prior to issuing a permit renewal on jobs that require concrete testing a TR2 : Concrete Sampling and Testing Technical Report and TR3: Concrete Design Mix Technical Report must be submitted with the appropriate signature and seal.

Site Safety?

- To ensure construction sites are managed by proper individuals, a Site Safety Coordinator or Site Safety Manager is required on all initial construction jobs that are over 10 stories.

Sidewalk shed permits are different?

- If you are renewing a permit for Shed equipment, a signed and sealed letter is required from a Registered Architect or Professional Engineer.

- The L2 form is used to request an override, reduction or waiver of a Work Without Permit violation.
- A L2 form must be submitted along with your Permit Renewal Application or Limited Alteration Application if there is an open Work Without Permit violation(s) on the premises accompanied by copies of all of the open work without permit violations.
- The completed signed and notarized form should be accompanied by documentation that supports the request along with the application. Applicants must submit separate L2 forms for each Work Without Permit violation. However, if you have the same L2 violation request for several violations then the applicant may use one L2 form for all applicable violations. Just be sure to list each violation number in the designated area.

Contact Information

Limited Alteration Application / Permit Renewal Unit

<http://www1.nyc.gov/site/buildings/business/laa.page>

New York City Department of Buildings

280 Broadway, 5th Floor

New York, NY 10007

9am - 4pm (M - F)

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