

COURSE 204

Filing Representative Training
for

Class 2 Code and Zoning Representatives

Includes:

- Cranes and Derricks
- Elevators
- Antennas and Telecommunications Equipment
- NYC Landmarks Preservation Commission
- Signs

Introduction to Cranes & Derricks

C&D Regulations

Ashraf Omran, P.E.
Executive Engineer
Acting Executive Director
Cranes & Derricks

Cranes & Derricks Division

Who we are:

- **Plan Examiners**
- **Inspectors**
- **Administrative Support**

Cranes & Derricks Division

What we do:

- **Review Plans**
- **Issue Crane Certificates (Permits)**
- **Perform Site Inspections**
- **Perform Annual Inspections**
- **Enforcement**
- **Respond to Incidents/Accidents**
- **Adress Complaints**

Type of Devices

- Tower Cranes
- Mobile Cranes
- Crawler Cranes
- Pile Drivers
- Derricks
- Mast Climbers

Tower Cranes



Mobile Cranes



Crawler Cranes



Pile Drivers



Derricks



Mast Climbers



Certificate of Approval aka Prototype

- Certification from the engineer
- Affidavit of compliance from the manufacturer
- Operator's manual showing all configurations
- Load rating chart
- An advertising brochure or drawing
- Any supporting data, drawings, or calculations upon request.

Certificate of Operation - aka CD-2, CD, TCAO

NYC Buildings		Crane / Derrick / Mobile Work Platform Approval and Operation Application / Certificate		For Internal Use Only									
				CD Number	4321								
				Date Issued	3/23/15								
				Tag Price	\$1000								
				Invoice No.	12345678								
				2 CD Number	4321								
1. Application Type													
<input checked="" type="checkbox"/> Original <input type="checkbox"/> Renewal <input type="checkbox"/> Change <input checked="" type="checkbox"/> Mobile Crane <input type="checkbox"/> Fix / Clamber Lower Crane <input type="checkbox"/> Derrick <input type="checkbox"/> Work Platform													
3. Applicant Send correspondence to: <input type="checkbox"/> Applicant <input checked="" type="checkbox"/> Owner			Owner										
Name: BARNEY RUBBLE		Name: BARNEY RUBBLE											
Title: PRESIDENT E-mail: INFO@BRCRANES.COM		Title: PRESIDENT E-mail: INFO@BRCRANES.COM											
Company: BR CRANES INC.		Company: BR CRANES INC.											
Address: 1234 MAIN STREET		Address: 1234 MAIN STREET											
City: ANYWHERE State: NY Zip: 12345		City: ANYWHERE State: NY Zip: 12345											
Telephone: 212-555-0001 Fax: 212-555-1234		Telephone: 212-555-0001 Fax: 212-555-1234											
4. Crane / Derrick / Work Platform Information													
Prototype No.: P-603		Drums		Work Platform Information									
Manufacturer: ACME		Number of Drums: 2		Platform Type:									
Model: GR-1000XL-2 Model Year: 2014		No. Wire Rope Size		Single Mast									
Serial Number: 123456		1 3/4 in.		Twin Mast									
<table border="1"> <tr> <th>Transmission</th> <th>Power</th> </tr> <tr> <td><input checked="" type="checkbox"/> Hydraulic</td> <td><input type="checkbox"/> Gas</td> </tr> <tr> <td><input type="checkbox"/> Mechanical</td> <td><input checked="" type="checkbox"/> Diesel</td> </tr> <tr> <td></td> <td><input type="checkbox"/> Electric</td> </tr> </table>		Transmission	Power	<input checked="" type="checkbox"/> Hydraulic	<input type="checkbox"/> Gas	<input type="checkbox"/> Mechanical	<input checked="" type="checkbox"/> Diesel		<input type="checkbox"/> Electric	2 3/8 in.		Free Standing	
Transmission	Power												
<input checked="" type="checkbox"/> Hydraulic	<input type="checkbox"/> Gas												
<input type="checkbox"/> Mechanical	<input checked="" type="checkbox"/> Diesel												
	<input type="checkbox"/> Electric												
Capacity:		3 in.		Platforms I.D.'s:									
		4 in.											
5. Tower / Boom / Jib Section Information													
Maximum Configuration: Tower Crane: Tower: Boom: Jib: Total:			Lift Crane: Boom: Jib: Total:										
Tower/Mast Section I.D.		Latticed Solid											
Boom Section I.D.		X		1234G1-23', 1234G2-34'									
Jib / Sill / Leg Section I.D.		X											
6. Equipment Dimension													
Overall Carrier		Tower / Mast Property		Derrick Information									
Length: 47' 1" ft	Width: 10' 10" ft	Tower/Mast Depth:	ft	Type:									
Width With Outriggers Extended: 23' 11" ft	Tower/Mast Width:	ft	Chicago Boom:	Gay Derrick:									
Tailswing: 13' 8" ft	Tower/Mast Height:	ft	Gin Pole:	Stiffleg Derrick:									
7. Statement and Signatures													
<ul style="list-style-type: none"> The Owner certifies that he will comply with the requirements of § 15.0 of Reference Standards RS 19-2 of the Building Code regarding "Inspection Required by Owner for Cranes & Derricks." Falsification of any statement is a misdemeanor under § 205-124 of the Administrative Code and is punishable by a fine or imprisonment, or both. Falsification of any statement is a misdemeanor under § 205-124 of the Administrative Code and is punishable by a fine or imprisonment, or both. 													
Applicant's Signature		Date: 3-20-2015	Owner's Signature	Date: 3-20-2015									
For Internal Use Only				TCAO Issued For: 4321-2321-232 Total									
T TEMPORARY CERTIFICATE OF APPROVAL C TEMPORARY CERTIFICATE OF OPERATION A THIS CERTIFICATE SHALL BE KEPT ON MACHINE AT ALL TIMES O				<input type="checkbox"/> This Site Only Expiration Date: 6/23/15 \$5 Date: 3/23/15									
Issued by: JD	Date: 3/23/15	Approved by Cranes & Derricks: John Doe	Authorized Signature:	Date: 3/23/15									

Certificate of Operation - aka CD-2, CD, TCAO

For Internal Use Only		TCAO Issued For:	
	Not Approved unless stamped	<input type="checkbox"/> This Site Only	
		Expiration Date	
Issued by:	Date	Approved by Cranes & Derricks	Authorized Signature
			Date

Site Address If Site Specific (points to the 'This Site Only' checkbox)

Maximum Configuration (points to the 'TCAO Issued For:' label)

Expiration Date (points to the 'Expiration Date' field)

Certificate of Operation - CD-3


NYC Buildings		Crane Approval and Operation Application / Certificate		For Internal Use Only	
		For truck cranes with telescopic, hydraulic or folding booms, over 80 feet and not more than 136 feet with a maximum capacity of 3 tons or less. Please File 2 Copies Application Must Be Typewritten		CD Number 4321	
		Date Received 3/25/15	Fee Paid 800	Invoice No. 24688642	
1. Application Type			2 CD Number		
Original <input type="checkbox"/> Renewal <input checked="" type="checkbox"/> Change <input type="checkbox"/>			4321		
Boom / Jib Type: <input checked="" type="checkbox"/> Telescopic <input type="checkbox"/> Laced <input type="checkbox"/> Folding <input type="checkbox"/>					
3. Applicant Send correspondence to: <input checked="" type="checkbox"/> Applicant <input type="checkbox"/> Owner			Owner		
Name: BARNEY RUBBLE			Name: BARNEY RUBBLE		
Title: PRESIDENT			Title: PRESIDENT		
Company: BR CRANES INC.			Company: BR CRANES INC.		
Address: 1234 MAIN STREET			Address: 1234 MAIN STREET		
City: ANYWHERE State: NY Zip: 12345			City: ANYWHERE State: NY Zip: 12345		
Telephone: 212-555-0001 Fax: 212-555-1234			Telephone: 212-555-0001 Fax: 212-555-1234		
4. Crane Information					
Manufacturer: INTERSTATE		Drums		Carrier Information	
Model: G8R-MHA HI-REACH		Number of Drums:		Length 30 ft	
Model Year: 2007		Wire Rope Size		Width 8 ft	
Serial Number: FS-3899		1 3/8 in.		Width with Outriggers Extended 18' ft	
Transmission		2		Overall Weight 15,000 lb	
<input checked="" type="checkbox"/> Hydraulic		3		Make & Model of Carrier	
<input type="checkbox"/> Gas		4		BICOASTAL 5200	
<input type="checkbox"/> Mechanical					
Max. Capacity: 5900					
5. Boom / Jib Section Information					
Maximum Configuration: Boom: 85 ft Jib: 0 ft Total: 85 ft				How is boom extended?	
Boom Section I.D.				<input checked="" type="checkbox"/> Cable extension	
Jib Section I.D.				<input checked="" type="checkbox"/> Hydraulic piston	
Manually extended & pinned					
6. Statement and Signatures					
<ul style="list-style-type: none"> The Owner certifies that he will comply with the requirements of Section 15.0 of Reference Standards RS 10-2 of the Building Code regarding "Inspection Required by Owner for Cranes & Derricks." Falsification of any statement is a misdemeanor under section 20-124 of the Administrative Code and is punishable by a fine or imprisonment, or both. Bribery is a crime. A person who gives or offers a bribe to any employee of the City of New York or an employee who takes or solicits a bribe, is guilty of a felony punishable by imprisonment for 5 years or both. 					
Applicant's Signature		Date 3-20-2015		Owner's Signature	
For Internal Use Only					
<p style="text-align: center;">T C A O</p> <p style="text-align: center;">TEMPORARY CERTIFICATE OF APPROVAL TEMPORARY CERTIFICATE OF OPERATION</p> <p style="text-align: center;">THIS CERTIFICATE SHALL BE KEPT ON MACHINE AT ALL TIMES</p> <p style="text-align: center;">NO CERT. OF ON-SITE INSP. REQ'D. REF. 27-1057 [(a) (3)]</p>				TCD Issued For: 85' Tek. Boom Total	
				Expiration Date 3/9/16 RS	
Approved by Cranes & Derricks JD 1234				Authorized Signature John Doe	
				Date 3/25/15	

Certificate of Operation - CD-3

Mobile cranes, including jibs and any other extensions, exceeding 50 feet but not exceeding 135 feet in length, and with a manufacturer's rated capacity of 3 tons or less.

For Internal Use Only		
Not Approved unless stamped	TCO Issued For:	
	Expiration Date	
	Issued by:	Date
Approved by Cranes & Derricks	Authorized Signature	Date

Certificate of On-site Inspection - CN- CD-4



NYC
Buildings

CD4: Tower & Mobile Crane / Derrick / Mast Climber / Pile Driver
On-Site Inspection Application / Certificate

File 4 copies / Application must be typewritten

CN Number: **CN#0012/34**

1A Application Type	1B Equipment Type
<input checked="" type="checkbox"/> New <input type="checkbox"/> Renewal <input type="checkbox"/> Amendment	<input checked="" type="checkbox"/> Mobile Crane <input type="checkbox"/> Mobile Tower Crane <input type="checkbox"/> Fix / Climber Tower Crane <input type="checkbox"/> Derrick <input type="checkbox"/> Mast Climber <input type="checkbox"/> Pile Driver

2 Location Information

Borough: **BROOKLYN** Block: Lot: **56**

Address: STREET Job Number:

3A Crane / Derrick / Mast Climber / Pile Driver Information			
GD Number	Serial Number	Expiration Date	
1	F012-3456	7/24/15	
2	F078-9123	10/16/15	
3	F042-2693	9/16/15	
4			
5			
6			

3B Configuration / Phase Information				
	Mast (ft)	Boom (ft)	Jib (ft)	Total (ft)
1	N/A	221	72	293
2	N/A	221	72	293
3	N/A	221	72	293
4	N/A			
5	N/A			
6	N/A			

4 Applicant Information

Name: **WILLIAM C. NOONAN** E-Mail: **BSAFE@cityengineers.com**

Title: **P.E.** Lic #: **000000**

Business Name: **CITY ENGINEERS, P.C.**

Address: **3333 BUILDING DRIVE**

City: **YOUR CITY** State: **NY** Zip: **07759**

Phone: **212-555-4444** Fax: **212-555-5555**

5 Equipment User Information

Name: **DERRICK CRANE** E-Mail: **dcrane@mywayrigs.com**

Title: **PROJECT MANAGER**

Company: **MY-WAY RIGGING, INC.**

Address: **1664 HARNESS DRIVE**

City: **BOOMTOWN** State: **NY** Zip: **11119**

Phone: **212-555-1800** Fax: **212-555-1801**

6 Statement and Signature

The On-Site Inspection Certificate is required for the tower & mobile crane / derrick / mast climber / pile driver at the above mentioned site and conforms with approved plans. Fabrication of any part of the equipment is prohibited 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, for performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both. I understand that if an error or omission is found after the issuance of this certificate, I will be held responsible for the correction of the error or omission. I will be required under the provisions of this code or a rule of any agency, I may be barred from filing further applications or documents with this department.

6A Applicant's Statement

The applicant, having been authorized by the Chief of the Department of Buildings, hereby makes application for the issuance of a certificate for the use of the tower & mobile crane / derrick / mast climber / pile driver at the above mentioned site in accordance with the accompanying plans and specifications.

Name (please print): **William C. Noonan**

Signature: *[Signature]* Date: **4/27/15**

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

6B Equipment User's Statement

I hereby state that the above equipment will be used until a valid On-Site Inspection is obtained.

Signature: *[Signature]* Date: **4/27/15**

6C Crane Safety Coordinator's Statement

As a Professional Engineer or a person having at least five years of construction experience, I hereby certify that I will act as the designated safety coordinator and shall be responsible for the control of pedestrian and vehicular traffic within the designated hoist areas. I shall also supervise compliance with this On-site Inspection Certificate and its drawings.

Name: **JOHN SAFETY** License Number:

Address: **1664 HARNESS DRIVE**

City: **BOOMTOWN** State: **NY** Zip: **11120**

Phone: **212-555-1111** Fax: **212-555-1112**

Signature: *[Signature]* Date: **4-27-15**

6D Mast Climber Supervisor's Statement

I am a Professional Engineer or an experienced person qualified for the installation, dismantling, operation and maintenance of the equipment listed in section 3A above. I am aware that the equipment shall not be used as a personnel or material hoist. I will supervise the mast climber installation and operation for this project in accordance with NYC approved drawings, Manufacturer's recommendations and all applicable Federal, State and City laws, rules and regulations.

Name: **APPROVED** License Number:

Address: State:

City: **APR 00 2015** Zip:

Phone:

Signature: **THE CITY OF NEW YORK** Date:

DEPARTMENT OF BUILDINGS

PROVISION OF CRANES AND DERRICKS

Additional Information:

Internal Use Only

Date Received: 1/30/15	Invoice/Receipt Number: 	Fee Paid: 500
Examiner's Name (please print): 	Inspector's Name (please print): 	
Signature: <i>[Signature]</i> (Issuance) Date: 	Signature: <i>[Signature]</i> Date: 	
Expiration date: 04/00/16	Badge Number: 	

12/14

Certificate of On-site Inspection - CN- CD-4

3A Crane / Derrick / Mast Climber / Pile Driver Information			
	CD Number	Serial Number	Expiration Date
1			
2			
3			
4			
5			
6			

Internal Use Only			
Date Received	Invoice/Receipt Number		Fee Paid
Examiner's Name (please print)		Inspector's Name (please print)	
Signature	(Issuance) Date	Signature	Date
Expiration date		Badge Number	

CN – Technical Report - Statement of Responsibility

NYC Buildings CD8: Technical Report: Statement of Responsibility
File 2 copies / Application must be typewritten
 CN Number: **CN#0012/34**

1 Filing Status
 Identification of Responsibilities Certification of Completed Inspections / Tests Withdrawal of Responsibility Directive 14 Inspection Request

2 Location Information
 House No(s) 180 Street Name [REDACTED] STREET
 Borough BROOKLYN Block [REDACTED] Lot 56 BIN [REDACTED] Job Number [REDACTED]

3 Applicant Information
 Last Name NOONAN First Name WILLIAM M.I. C.
 Business Name CITY ENGINEERS, P.C. PE License # 000000
 Address 3333 BUILDING DRIVE
 City YOUR CITY State NY Zip 07759
 Phone 212-555-4444 Fax 212-555-5555 E-mail BSAFE@cityengineers.com

4 Crane Information *This application can only be used for ONE crane*

CD Number	Manufacturer	Model	Boom Length	Jib Length	Total
1234	WAIST-KING	F012-3456	221	72	293
5678	WAIST-KING	F078-9123	221	72	293
5023	WAIST-KING	F042-2693	221	72	293

5 Applicant's Statement
 Falsification of any statement is a misdemeanor under 28-211 of the 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. 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.

5A Applicant's Statement of Responsibility (10F)
 As a licensed Professional Engineer representing the owner or contractor, I hereby state that I designed the foundation for the above crane(s) and will be on-site to inspect the said equipment and support before the commencement of work. All inspection and test reports will be signed by me and filed with the Department promptly.

5B Applicant's Statement of Crane Foundation Inspection (10E)
 As a licensed Professional Engineer representing the owner or contractor, I hereby state that I have completed the foundation inspection on 4/27/15 and found that it conforms with all approved plans. I found no hazardous condition existed within the scope of the foundation.

CD# used: 000000
 Amendment Submitted? Yes No
 Name: [REDACTED]
 Signature: [REDACTED] Date: 4/27/15

Seal (apply seal, then sign and date over seal)
 Note: 1) If the field condition or actual setup differs from approved plans and the structural integrity of the foundation cannot be readily proven in the field, applicant may not sign off 10E until amendment on the alternate founding design is first submitted to and approved by Cranes & Derricks Division.
 2) For other minor deviations to approved plans, applicants may amend founding design in the field and leave 10E on site. The amended setup must be submitted with 10E to the Cranes and Derricks Division

12/14

CN – Technical Report - Statement of Responsibility

4 Crane Information <i>This application can only be used for ONE crane</i>					
CD Number	Manufacturer	Model	Boom Length	Jib Length	Total

5 Applicant's Statement

Falsification of any statement is a misdemeanor under 28-211 of the 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. 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.

5A Applicant's Statement of Responsibility (10F)

As a licensed Professional Engineer representing the owner or contractor, I hereby state that I designed the foundation for the above crane(s) and will be on-site to inspect the said equipment and support before the commencement of work. All inspection and test reports will be signed by me and filed with the Department promptly.

Name _____
 Signature _____ Date _____

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

Note: 1) If the field condition or actual setup differs from approved plans and the structural integrity of the foundation cannot be readily proven in the field, applicant may not sign off 10E until amendment on the alternate founding design is first submitted to and approved by Cranes & Derricks Division.

2) For other minor deviations to approved plans, applicants may amend founding design in the field and leave 10E on site. The amended setup must be submitted with 10E to the Cranes and Derricks Division

5B Applicant's Statement of Crane Foundation Inspection (10E)

As a licensed Professional Engineer representing the owner or contractor, I hereby state that I have completed the foundation inspection on _____ and found that it conforms with all approved drawings (see note). I also found no hazardous condition existed within the scope of this examination.

CD# used _____
 Amendment Submitted? Yes No
 Name _____

Signature _____ Date _____

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

Certificate of On-site Inspection aka Crane Notice (CN), CD-4

DOB Inspection

- Tower Cranes
- Derricks
- Mobile Cranes over 250 feet

Engineer Inspection

- Mobile Cranes up to 250 feet
- Mast Climbers

Hoisting Machine Operator (HMO) Licensing

Classifications:

- **Class A** – Basic license to operate cranes with total boom less than 200 ft in length
- **Class B** - Unlimited
- **Class C** - Special hoisting machine operator license to operate a specified class of hoisting machine of limited size and capacity

Hoisting Machine Operator (HMO) Licensing

There are three types of Class C licenses:

- **C1** for wheel-mounted mobile cranes with boom length not exceeding 200 feet and a capacity of 50 tons or less
- **C2** for crane-mounted boom trucks with boom length not exceeding 200 feet and a capacity of 50 tons or less
- **C3** for crane-mounted boom trucks with a boom length not exceeding 135 feet and a capacity of three tons or less

DOB Website

The screenshot shows the homepage of the NYC Department of Buildings Buildings Information System. At the top left is the NYC Buildings logo. At the top right, there are links for 'FAQs | Glossary' and the date 'Apr 2, 2013', along with the NYC.gov logo and the slogan 'always open'. A small link says 'CLICK HERE TO SIGN UP FOR BUILDINGS NEWS'. The main heading is 'NYC Department of Buildings Buildings Information System'. Below this is a welcome message and a 'BIS Web Internet Security Policy' notice. A section titled 'Using the BIS search feat' leads to a blue box labeled 'BIS Menu' containing a link for 'Building Information Search' with a note for modem/dial-up users.

NYC Buildings

FAQs | Glossary Apr 2, 2013

NYC.gov always open

CLICK HERE TO SIGN UP FOR BUILDINGS NEWS

NYC Department of Buildings
Buildings Information System

Welcome to the Department of Buildings online query system. You can search for general information on a property in the city including recorded complaints and violations, actions, applications, and inspections. You can also search for information about tradespeople licensed by the Department. The information provided here comes directly from the Department's Building Information System. Look for additional functionality to be added in the future. If you have any questions please review these [Frequently Asked Questions](#), the [Glossary](#), or call the 311 Customer Service Center by dialing 311 or (212) NEW YORK outside of New York City.

BIS Web Internet Security Policy: The Department has system devices installed to monitor many elements, including bandwidth utilization and any high traffic volume. The Department of Buildings may take steps to protect our information systems against unauthorized software programs that automatically extract data and compromise the delivery of information to millions of users each day.

Using the BIS search feat

BIS Menu

A [Building Information Search](#)
[\(Modem/Dial-Up Users Click Here if Above Link Fails\)](#)

DOB Website

DOB BISWeb

NYC Department of Buildings
Building Information Search

[Property Search](#) | [Complaints / Violations](#) | [Applications](#) | [Boiler Search](#) | [Fire Service](#)
[Power Authorizations](#) | [Elevator Devices](#) | [Cranes & Derricks](#)

Search by Property

1 Pick a Borough House No: Street:

2 Pick a Borough Block: Lot:

3 Building Identification Number (BIN):

Browse Block and Lot

4 Pick a Borough Block: Lot (optional):

[Back to top](#)

Search for Complaint or Violation

DOB Website

Searchable Fields

Cranes & Derricks

27

CD Number:

GO

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CN Number:

GO

29

Limited Use Number:

GO

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DOB Website

Certificate of Operation (aka CD)

NYC Department of Buildings
Cranes & Derricks CD

CD NUMBER: [REDACTED] RECORD NO.: 04 MANUFACTURER: GROVE
EQUIPMENT TYPE: MOBILE CRANE - TRUCK MODEL: GMK 3055-5A 2005
SERIAL NUMBER: 35-9174

[Payment History](#)

[Certificate of Operation](#)

Current Status: APPROVED FOR USE 11/15/2012

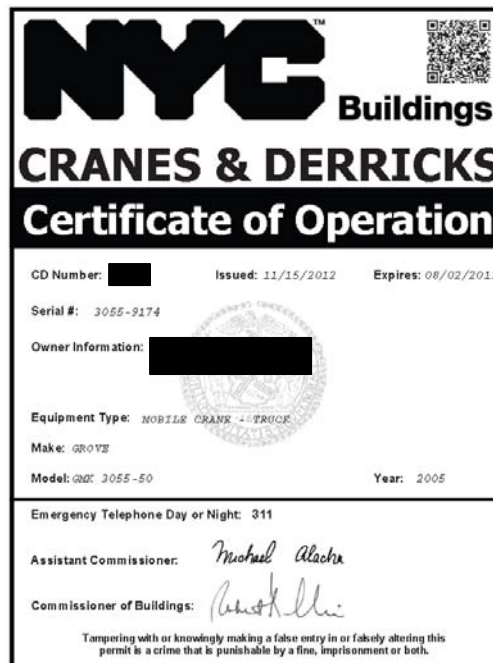
Filing Information

Filing Status: RENEWAL - APPROVED FOR USE ON 11/15/2012
Filed: 06/28/2012 Certificate of Operation Expiration Date: 08/02/2013
Fee Paid: \$250.00 Invoice Number: 61133045 Fee Expiration Date: 08/02/2013


Applicant

DOB Website

Pintable CD Certificate



The image shows a 'Certificate of Operation' for cranes and derricks issued by the NYC Buildings Department. The certificate includes a QR code in the top right corner. The main title is 'NYC Buildings CRANES & DERRICKS Certificate of Operation'. Below the title, it lists the CD Number (redacted), Issued date (11/15/2012), and Expires date (08/02/2013). The Serial # is 3055-9174. The Owner Information is redacted. The Equipment Type is MOBILE CRANE - TRUCK, Make is GROVE, and Year is 2005. The Emergency Telephone Day or Night is 311. The Assistant Commissioner is Michael Alach and the Commissioner of Buildings is [Signature]. A warning at the bottom states: 'Tampering with or knowingly making a false entry in or falsely altering this permit is a crime that is punishable by a fine, imprisonment or both.'

NYC Buildings	
CRANES & DERRICKS	
Certificate of Operation	
CD Number: [REDACTED]	Issued: 11/15/2012 Expires: 08/02/2013
Serial #: 3055-9174	
Owner Information: [REDACTED]	
Equipment Type: MOBILE CRANE - TRUCK	
Make: GROVE	Year: 2005
Model: GRC 2055-50	
Emergency Telephone Day or Night: 311	
Assistant Commissioner: Michael Alach	
Commissioner of Buildings: [Signature]	
Tampering with or knowingly making a false entry in or falsely altering this permit is a crime that is punishable by a fine, imprisonment or both.	

DOB Website

Property Address Crane information

	Total	Open
Complaints	56	0
Violations-DOB	54	0
Violations-ECB (DOB)	121	1
Jobs/Filings	88	
ARA / LAA Jobs	0	
Total Jobs	88	
Actions	106	

OR Enter Action Type:

OR Select from List:

Select..

AND

Other Agency Violations	Total
-------------------------	-------

Only FDNY and DEP Asbestos violations issued on or after January 1, 2008 are available on BISWeb


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




DOB Website

Property Crane information

BIS Menu | Bldg Info Search | Property Profile | Crane Query by Bin | Back FAQs | Glossary Jun 16, 2011





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NYC Department of Buildings
Cranes & Derricks Query by Bin

Page: 1 of 1

Premises: **BROADWAY MANHATTAN** [View Limited Use \(0\)](#) BIN: **██████** Block: **████** Lot: **31**

CN	Filed Date	Expiration Date	Status	Equipment Type	Job
██████	08/25/2010		OBJECTION ISSUED	MOBILE TOWER CRANE - TRUCK	██████
██████	09/08/2010	10/08/2011	APPROVED FOR USE	MOBILE CRANE - COMMERCIAL TRUCK	██████
██████	01/10/2011	09/24/2011	APPROVED FOR USE	MOBILE CRANE - CRAWLER	██████
██████	10/12/2010	10/13/2011	APPROVED FOR USE	MOBILE CRANE - COMMERCIAL TRUCK	██████

If you have any questions please review these [Frequently Asked Questions](#), the [Glossary](#), or call the 311 Citizen Service Center by dialing 311 or (212) NEW YORK outside of New York City.

[BIS Menu](#) | [Bldg Info Search](#) | [Property Profile](#) | [Crane Query by Bin](#) | [Back](#)

DOB Website

Certificate of On-Site Inspection (aka CN, CD-4)

BIS Menu | Bldg Info Search | Crane Notice | Back FAQs | Glossary | Apr 13, 2011

NYC Buildings **NYC.gov**
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NYC Department of Buildings
Cranes & Derricks Crane Notice

CN NUMBER: [REDACTED] LOCATION: [REDACTED] STREET MANHATTAN
EQUIPMENT TYPE: MOBILE CRANE BIN: [REDACTED] BLOCK: [REDACTED] LOT: 66
CD'S: [REDACTED] BIS Job No: [REDACTED]

[Components](#) [Objections](#) [On-Site Inspection Certificate](#) [Payment History](#)

Filing Information

Application Status: APPROVED FOR USE 01/10/2011 Filing Type: INITIAL
Filed: 09/27/2010 Expires: 10/27/2011
Invoice Number: 60924851 Fee Paid: \$150.00
Foundation Plans Received: Foundation inspected on: 01/06/2011
CD8 Filing Status: Date of 10E: 01/07/2011 Date of 10F:

Maximum Length Per Phase

PHASE	MAST HEIGHT	BOOM LENGTH	JIB LENGTH	TOTAL COMBINED LENGTH
1		127FT	30FT	157FT

Applicant

Name: [REDACTED] Title: PRINCIPLE
License: [REDACTED] License Type: PE
Business Name: [REDACTED]

DOB Website

Certificate of On-Site Inspection (aka CN, CD-4)

Cranes & Derricks Crane Notice



CN NUMBER: [REDACTED]	LOCATION: [REDACTED] MANHATTAN		
EQUIPMENT TYPE: MOBILE CRANE	BIN: [REDACTED] BLOCK: [REDACTED] LOT: 66		
CD'S: [REDACTED] (swo)	BIS Job No: [REDACTED]		
Components	Objections	On-Site Inspection Certificate	Payment History

Filing Information

Application Status: APPROVED FOR USE 01/10/2011	Filing Type: INITIAL
Filed: 09/27/2010	Expires: 10/27/2011
Invoice Number: 60924851	Fee Paid: \$150.00
Foundation Plans Received:	Foundation inspected on: 01/06/2011
CD8 Filing Status:	Date of 10F:
Date of 10E: 01/07/2011	

DOB Website

Printable Certificates for Jobsite Posting

NYC TM Buildings			
CRANES & DERRICKS			
On-Site Certificate (CN)			
CN Number: [REDACTED]	Job Number: [REDACTED]	Issued: 09/28/2010	Expires: 10/27/2011
Address: [REDACTED] STREET MANHATTAN			Applicant: [REDACTED]
Equipment Type: MOBILE CRANE			
Emergency Telephone Day or Night: 311			
Assistant Commissioner: <i>Michael Alacha</i>		Commissioner of Buildings: <i>[Signature]</i>	
Tampering with or knowingly making a false entry in or falsely altering this permit is a crime that is punishable by a fine, imprisonment or both.			

Mast Climber Forms

MC1: Mast Climber Prototype Application

MC2: Mast Climber Device Application

MC3: Mast Climber Installer or Remover Form

MC4: Mast Climber Notice Application

MC5: Mast Climber Certificate of On-Site Inspection

MC1: Mast Climber Prototype Application



MC1: Mast Climber Prototype Application
File 4 copies / Application must be type written

Prototype Number: _____

1	Application Type
<input type="checkbox"/>	New
<input type="checkbox"/>	Amendment
2	Mast Climber Information

5 Attachments *(Make sure to include all information in the attachments indicated below)*

Owner's Manual	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Operator's Manual	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Capacity Chart(s)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Annual Inspection Checklist	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Advertising Brochure(s)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Free Standing Height Information	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Tie-In Spacing Information	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Wind Speed Information	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Listing of Safety Devices	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Additional Points of Contact	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Other	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

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 certify that I am a corporate officer of the manufacturer of the above mentioned mast climber and have been authorized by such manufacturer to submit this application. I certify that the information contained in the application and attached documents is complete and correct in accordance with 1 RCNY §3314-01 subdivision (d)(1). On behalf of the manufacturer, I further certify that the mast climber was designed in accordance with and meets the requirements of ANSISIAA92.9-1993 or later year _____. On behalf of the manufacturer, I further certify that the manufacturer will provide to the department the manufacturer's safety bulletins and recall notices related to the above mentioned mast climber within five (5) business days of issuance.

Name (please print) _____

Signature _____ Date _____

Internal Use Only _____

Date Received _____ Invoice/Receipt Number _____

Examiner's Name (please print) _____

Signature _____ (Issuance) Date _____

MC1 06/12

MC4: Mast Climber Notice Application



MC4: Mast Climber Notice Application

File 4 copies / Application must be type written

CN Number: _____

Position Number: _____

1	Application Type				
	<input type="checkbox"/> New	<input type="checkbox"/> Renewal	<input type="checkbox"/> Amendment	Site Safety Project	Yes <input type="checkbox"/> No <input type="checkbox"/>
2	Location Information				
	Job Number	Address			
	Borough	Block	Lot	BIN	
3	Mast Climber Information				
	Make	Model	Prototype #	Total Mast Height	Platform Length



Expiration date _____

MC4 0512

MC2: Mast Climber Device Application

NYC Buildings

MC2: Mast Climber Device Application
File 4 copies / Application must be type written

CD Number:

1 Application Type
 New Renewal Amendment

2 Location Information

NYC Buildings

MC2: Mast Climber Device Application
File 4 copies / Application must be type written

7 Statements and Signatures
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 true, correct or a violation required under the provisions of this code or a rule of any board, I may be

6
Attachments
TextField1

Inspection Checklist	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
List of Critical Components	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Photos	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Disclosure of History	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Letter Identifying Service Support Contact	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Letter Identifying Technical Support Contact	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Other	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

Internal Use Only	
Date Received	Invoice/Receipt Number
Inspector's Name (please print)	
Signature	(Issuance) Date

MC2 05/12 MC2 05/12

MC3: Mast Climber Installer or Remover Form

6A Owner's Statement

I certify that I am the owner or duly authorized corporate officer of the company that owns the above mentioned mast climber, and I authorize _____ (individual name) to install or remove the mast climber as required by 1 RCNY §3314-01 subdivision (h)(1).

Name (please print) _____

Signature _____

Date _____

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

6B Installer's Statement

I certify that I will personally supervise the installation or removal of the mast climber and will ensure compliance with the requirements of 1 RCNY §3314-01 subdivision (h).

Signature _____

Date _____

The mast climber shall not be installed until the MC2 and MC3 forms have been accepted by the department, the mast climber plans have been approved by the department, and this form has been submitted to the department.

Signature Date _____
The mast climber shall not be installed until the MC2 and MC3 forms have been accepted by the department, the mast climber plans have been approved by the department, and this form has been submitted to the department.

Internal Use Only	
Date Received	

MC3 05/12

MC5: Mast Climber Certificate of On-Site Inspection

NYC Buildings MC5: Mast Climber Certificate of On-Site Inspection
File 4 copies / Application is not to be type written

CN Number: _____
 Position Number: _____

1 Application Type
 In Installation In Repair or Maintenance Altered Site Safety Project Yes No

2 Location Information
 Job Number _____ Address _____
 Borough _____ Block _____ Lot _____ BIN _____

3 Mast Climber Information
 Make _____ Model _____ CD# _____ Total Mast Height _____ Platform Length _____

4 Mast Climber Owner Information
 Name _____ Title _____
 Business Name _____
 Address _____ Phone _____ Fax _____
 City _____ State _____ Zip _____
 E-Mail _____

5 Owner's Authorized Inspector Information
 Inspector Name _____ Inspector Title _____
 Business Name _____
 Address _____ Phone _____ Fax _____
 City _____ State _____ Zip _____
 E-Mail _____

6 Mast Climber Engineer Information
 Name _____ Title _____
 Business Name _____
 Address _____ Phone _____ Fax _____
 City _____ State _____ Zip _____
 E-Mail _____

7 Owner's Inspection Checklist

ITEM	PASS	FAIL	N/A	ITEM	PASS	FAIL	N/A
Controls (Operating and Emergency)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Sections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Placards, Warnings, and Control Markings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Extensions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manual/Load Charts Stored on Platform	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Free of Obstacles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety/Emergency Devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Brakes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Runs Soudly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Limit Steps (High and Low)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Attachments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Horizontal Leveling Device (where required)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guardrail System	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Emergency Lowering Means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mast Guards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Drive System/Chassis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Outriggers, Stabilizers, and Other Structures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Machinery Frame	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Tires and Wheels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Air, Hydraulic, and Fuel Lines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Lubrication of All Moving Parts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cables and Wiring Harnesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chain and Cable Mechanisms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Attachments Included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fasteners, Pins, Bolts, Nuts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Notes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Critical Components Match Those Listed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photographs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Locking Devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Mast Sections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

MC5 05/12

NYC Buildings MC5: Mast Climber Certificate of On-Site Inspection
File 4 copies / Application is not to be type written

8 Engineer's Inspection Checklist

ITEM	PASS	FAIL	N/A	Attachments Included?
Installed in Accordance with Approved Plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Survey for Plumbness <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Tie-in Connections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Torque Report(s) <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Anchorage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pullout Test Report(s) <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ground Condition/Footing/Foundation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photographs <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Structural Support(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pull out Test(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Plumbness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

9 Statements and Signatures

This On-Site Inspection Certificate will only be used for the mast climber at the above mentioned site. 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 to be knowingly or negligently making 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.

9A Owner's Statement
 I certify that I am the owner or duly authorized corporate officer of the company that owns the abovementioned mast climber, and I authorize _____ (individual name) to inspect the mast climber as required by 1 RCVNY §3314-01 subdivision (f)(4)(A).

Name (please print) _____ Date _____
 Signature _____

9B Owner's Authorized Inspector Statement & Signature
 I certify that I have inspected the abovementioned mast climber on behalf of the owner of the mast climber in accordance with 1 RCVNY §3314-01 subdivision (f)(4)(A), that the mast climber has passed failed such inspection, and that information reported in section 7, along with any submitted attachment(s), is correct and complete.

Name (please print) _____ Date _____
 Signature _____

9C Engineer's Statement
 I certify that I have inspected supervised the inspection of the abovementioned mast climber in accordance with 1 RCVNY §3314-01 subdivision (f)(4)(B), that the mast climber has passed failed such inspection, and that information reported in section 7, along with any submitted attachment(s), is correct and complete.

Name (please print) _____ Date _____
 Signature _____
 Seal (apply seal, then sign and date over seal)

The mast climber shall not begin operation until the mast climber has passed the required inspections and this form and all attachments have been completed, signed, dated, and sealed. A completed, signed, dated, and sealed copy of this form and all attachments must be kept onsite at all times. The original copy of this form and all attachments must be submitted to the Department of Buildings within two business days following successful passage of the inspections.

Internal Use Only
 Date Received _____ Invoice/Receipt Number _____
 Inspector's Name (please print) _____ (Issuance) Date _____
 Signature _____

MC5 05/12

MC5: Mast Climber Certificate of On-Site Owner's Inspection

7 Owner's Inspection Checklist								
ITEM	PASS	FAIL	N/A	ITEM	PASS	FAIL	N/A	
Controls (Operating and Emergency)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Sections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Placards, Warnings, and Control Markings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Extensions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Manual/Load Charts Stored on Platform	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Free of Obstacles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Safety/Emergency Devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Brakes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Platform Runs Soundly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Limit Stops (High and Low)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Attachments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Horizontal Leveling Device (where required)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guardrail System	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Emergency Lowering Means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mast Guards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Drive System/Chassis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Outriggers, Stabilizers, and Other Structures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Machinery Frame	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Tires and Wheels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Air, Hydraulic, and Fuel Lines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Lubrication of All Moving Parts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Cables and Wiring Harnesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Chain and Cable Mechanisms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Attachments Included?				
Fasteners, Pins, Bolts, Nuts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Notes	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Critical Components Match Those Listed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photographs	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Locking Devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
Mast Sections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					

MC5: Mast Climber Certificate of On-Site Engineer's Inspection

8 Engineer's Inspection Checklist							
ITEM	PASS	FAIL	N/A	Attachments Included?			
Installed in Accordance with Approved Plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Survey for Plumbness	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Tie-in Connections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Torque Report(s)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Anchorage(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pullout Test Report(s)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Ground Conditions/Footing/Foundation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photographs	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Structural Support(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Pull out Test(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Plumbness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

This concludes this presentation

Elevators Forms and Standard Operating Procedures


Juan L. Maldonado
Administration Service Manager

- Elevator Applications
- Elevator Category 1, 3 & 5 Mandated Inspection Reports
- Elevator Affirmation of Correction – Category 1 Corrections
- Elevator Affirmation of Corrections – PVT
- Elevator Issuance of Temporary or Final Certificate of Occupancy

- ELV1 Form – standard elevators and devices associated with elevators
- ELV1A - permanent amusement rides
- Elevator Applications are categorized in 3 different ways based on the scope of elevator work.
 - Elevator Application (EA)
 - Elevator Building Notice (EBN)
 - Elevator Building Notice/Policy and Procedure Notice (EBN/PPN)

Filing an Elevator Application (ELV1 Form)

- Completing the Elevator Application Form
- Filing the Elevator Application Form
- Elevator Applications Filing Fee
- Elevator Applications Form and Additional Documents



ELV1: Elevator Application
Please file four (4) copies
Application must be typewritten

Internal Use Only

Application Number _____

Date Received _____

1 Filing Status

New Building Application Number

New Installation Alteration

Seismic Compliance Yes No

Replacement / Modification

Dismantle Remove

Select One:

Electrical Application Number

No Electrical Filing Required

Permit Renewal Permit Reinstatement

Permit Withdrawal

2 Location Information

Borough: _____

Address: _____

Block: _____

Lot: _____

BN: _____

City: _____

State: _____ Zip: _____

Occupancy Group: _____

3 Applicant Information

Performing Agency
Director's Name: _____

License Number: _____

Business Name: _____

Address: _____

City: _____

State: _____ Zip: _____

Phone: _____

4 Owner Information

Name: _____

Title: _____

Business Name: _____

Address: _____

City: _____

State: _____ Zip: _____

Phone: _____

5 Device Information

Elevator Plan Numbers	NYC Elevator Numbers	Elevator Plan Numbers	NYC Elevator Numbers

Machine Type: Hydro Traction Other

Device Type: Passenger Freight Escalator Sidewalk

Moving Walk Wheelchair Lift Personnel Hoist Dumbwaiter

Private Residential Elevator Conveyor Other

6 Description of Work For more space, please use A11 Additional Information

5/12

ELV1 PAGE 2

7 Location Information Please provide the same information as in section 2

Borough _____ Address _____

Block _____ Lot _____ Application Number (if applicable) _____

8 General Information

Types of Motive Power

Elevator AC DC Main Supply AC DC

Travel from Floor: _____ to floor: _____

Total travel: _____ feet: Number of Stops: _____

Capacity: _____ Lbs. Speed: _____ F.P.M.

Elevator Control

Resistance Multi-Voltage

Generator Field Control Solid State

Mode of Operation Automatic P.B. Constant Pressure

Hoistway New Old

NYC Handicap Provisions

Fire Emergency Service Phase I & II

9 Cars and Counterweight

Car Inside Dimensions: feet in by feet in

Car Inside Area: _____ Sq. feet

Car Safety Type:

Instantaneous Flexible Guide Gradual WC

Counterweight Safety Type:

Instantaneous Flexible Guide Gradual WC

Top Emergency Exit : Min Area sq. in Min Side in

Car Opening:

Door Gate

Operation:

Manual Power

Contact Type Manufacturer

10 Hoistway Opening

Door Gate

1 1/2 Hr Fire Rated Construction Type

Operation Manual Power

Self Closing Facias

Vision Panel with Grilles Vision Panel

Interlocks Locks & Contacts

Interlocks Type: _____ Manufacturer: _____

Number of Openings:

Front Side Total: _____

Rear Total: _____

Self Closing Emergency Doors in Blind Hoistway

Interlock in Blind Hoistway

11 Pit and Buffers

Car Buffer:

Engagement Speed: _____ F.P.M. Stroke _____ feet in

Manufacturer: _____

Type: Spring Oil

Counterweight Buffer:

Engagement Speed: _____ F.P.M. Stroke _____ feet in

Manufacturer: _____

Type: Spring Oil

Compensation Chain Length _____ ft.

Compensation Rope Length _____ ft.

Counterweight Screen Yes No

Occupied Space Below Yes No

12 Machine and Machine Room

Location of Machine: _____ Manufacturer: _____

Machine Type: OH Worm Gear Traction Basement Worm Gear Traction Gearless

Oil Hydraulic Drum Drum w/Stack Cable Switch

Quantity	Size	Ultimate Strength	Material		
Hoist Ropes			<input type="checkbox"/> Iron	<input type="checkbox"/> Steel	<input type="checkbox"/> Ultrastrength Steel
Car Counterweight Ropes			<input type="checkbox"/> Iron	<input type="checkbox"/> Steel	<input type="checkbox"/> Ultrastrength Steel
Machine Counterweight Ropes			<input type="checkbox"/> Iron	<input type="checkbox"/> Steel	<input type="checkbox"/> Ultrastrength Steel
Car Governor Ropes			<input type="checkbox"/> Iron	<input type="checkbox"/> Steel	<input type="checkbox"/> Ultrastrength Steel
Counterweight Governor			<input type="checkbox"/> Iron	<input type="checkbox"/> Steel	<input type="checkbox"/> Ultrastrength Steel

Car Governor Location: _____ Tripping Speed _____ F.P.M. Type Fly Ball Centrifugal

Counterweight Gover- Location: _____ Tripping Speed _____ F.P.M. Type Fly Ball Centrifugal

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PAGE 3

13	Location Information	<i>Please provide the same information as in section 2</i>		
	Borough	Address		
	Block	Lot	Application Number (if applicable)	
14	Fee Information			
	Estimated Cost: \$	<input type="checkbox"/> Fee Exempt (Proof Required):		
15	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.</small></p>			Applicant Name
				Signature
				Date
	<p><input type="checkbox"/> Replacement / Modification Statement <small>I am filing this Replacement/Modification Application for consideration under Operations Policy and Procedures Notice # 26/80. I certify that no electrical or mechanical tests need to be performed in conjunction with this work.</small></p> <p><small>I have assumed responsibility for making inspections during the progress and upon completion of the indicated work. Upon completion I will file Form ELV3 to sign off on the completed work and to remove all applicable violations.</small></p>			<p>P.E. / R.A. Name (please print)</p> <p>Signature</p> <p>Date</p>
				P.E. / R.A. Seal (apply seal, then sign and date over seal)
16	Insurance Information			
	<small>Compensation insurance has been secured in accordance with the requirements of the Workman's Compensation Law as follows:</small>			
	<input type="checkbox"/> Insurance Certificates/Policies on file with the Department of Buildings		<input type="checkbox"/> Insurance Certificates/Policies submitted with this application	
	Insurance Company	Certificate/Policy No.	Expiration Date:	
Internal Use Only				
Fee Estimator				
	Amount Due: \$	Fee Estimator Name:		
	Amount Paid: \$	Signature:	Date:	
Approvals				
Examined and Recommended for Approval:			Approved:	
Examiner Name:	Assistant Commissioner's Signature:			
Signature:	Date:			



ELV1A Amusement Ride Application

Please File 4 Copies. Must be typewritten.
2 Copies of all manuals pertaining to the amusement device
must accompany this application.

Internal Use	
Application Number	
Date Received	

1 Filing Status <input type="checkbox"/> New Installation <input type="checkbox"/> Relocate <input type="checkbox"/> Dismantle <input type="checkbox"/> Remove Select One: <input type="checkbox"/> Electrical Application Number: <input type="checkbox"/> No Electrical Filing Record	2 Location Information Borough _____ Address _____ BIN _____ Block _____ Lot _____ Occupancy Group _____
3 Application Information Name _____ Title _____ License Number: _____ Business Name _____ Address _____ City _____ State _____ ZIP _____ Phone _____	4 Owner Information Name _____ Title _____ License Number: _____ Business Name _____ Address _____ City _____ State _____ ZIP _____ Phone _____
5 Device Information NYC Ride Number _____ Name of Ride _____ Serial Number _____ Device Type: <input type="checkbox"/> Adult <input type="checkbox"/> Kiddies	6 Manufacturer Name _____ Address _____ City _____ State _____ Zip _____ Country _____ Phone _____
7 Description of Work _____ _____ _____ _____	
8 General Information Power Supply: _____ Type of Control: _____ Speed: _____ NDT Required: _____ Total Capacity: _____ Capacity Per Car: _____ Number of Cars: _____	
9 Fee Information Estimated Cost: \$ _____ <input type="checkbox"/> Fee Exempt (Proof Required):	
10 Statements and Signature I hereby state that all of the above information is complete and correct to the best of my knowledge. Name (please print) _____ <small>False certification is a criminal misdemeanor under sections 28-203.1.1 and 28-211.1 of the NYC Administrative Code, punishable by up to 1 year imprisonment and/or a fine of up to \$25,000. It is also punishable with a civil penalty of up to \$25,000.</small> <small>It is unlawful to give a city employee, or for a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment of fine or both.</small> Signature _____ Date _____ P.E. / R.A. Seal (apply seal; then sign and date over seal)	

ELV1A

11 Location Information Borough _____ Address _____ Block _____ Lot _____	12 Insurance Information Compensation Insurance has been secured in accordance with the requirements of the Workman's Compensation Law as follows: <input type="checkbox"/> Insurance Certificates / Policies on file with the Department of Buildings <input type="checkbox"/> Insurance Certificates / Policies submitted with the application Insurance Company: _____ Certificate / Policy No: _____ Expiration Date: _____
13 Internal Use Amount Due: \$ _____ Fee Estimator Name: _____ Amount Paid: \$ _____ Signature: _____ Date: _____	
14 Approvals Examined and Recommended for Approval: _____ Approved: _____ Examiner's Name: _____ Assistant Commissioner's Signature: _____ Signature: _____ Date: _____	

ELV-15 Elevator Applications Affidavit of Professional Certification

AFFIDAVIT OF PROFESSIONAL CERTIFICATION

The following statement of responsibility shall be signed by the P.E. or R.A. certifying the Elevator Application or Elevator Building Notice is complete and in compliance with with [ASME 17.1-2000/RS A.17.1b-2003 with supplements Chapter 30 and Appendix K.] all applicable sections of the Building Code (2003) or New Construction Code (2007)

"I hereby state that I have exercised a professional standard of care in certifying that the filed application is complete and in accordance with applicable laws as of this date. I am aware the Commissioner will rely upon the truth and accuracy of this statement. If noncompliance is disclosed I agree to notify the owner of the remedial measures which must be taken to meet Department of Buildings' requirements. I further realize that any misrepresentation or falsification of facts made knowingly or negligently by me, my agents or employees or additionally, by others with my knowledge will render me liable for legal or disciplinary action by the Department of Buildings and other appropriate authorities, including but not limited to termination of participation in all Professional Certification Programs at the Department of Buildings and revocation of professional certification, limited supervisory check privileges and/or suspension or revocation of any Department of Buildings issued license held by me."

Elevator Application Number: _____ / _____

This application is being filed to legalize an existing condition. YES NO

Address of Premises: _____

Borough: _____

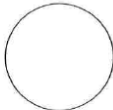
Block: _____ Lot: _____

Name of P.E./R.A.: _____ License #: _____

P.E./R.A. Address: _____

Telephone () _____

Signature: _____ Date: _____

Seal: 

Fabrication of any statement is a misdemeanor under Section 28-211.1, 28-201.2.1.2, 28-203.1.1 of the Administrative Code and is punishable by a fine or imprisonment or both. It is unlawful to give a city employee, or for a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both.

ELV15 (Rev 7/08)

ELV 14 Elevator Application Index Sheet



ELV-14 INDEX SHEET

APPLICATION NO. _____ 20 BLOCK _____ LOT _____

LOCATION _____ BORO _____

Page	ITEMS	ACTION
1	Application Filed	
2	Specifications	
	ELV-1	

3/09

- Filing Paperwork
- Duplicate / Original / Copy
- Plan Examination
- The Issuance of a Work Permit



ELV1: Elevator Application
INSTRUCTIONS

Definitions

- Elevator Application (EA) is required for the installation of new devices or major alterations, substantial upgrades, total replacement/modernization, change of classification (i.e. freight elevator to a passenger elevator) or work involving structural changes for an existing device.
- Elevator Building Notice (EBN) is required for the removal or dismantling, minor alteration, repair or replacement of equipment for an existing device.
- Elevator Building Notice/Policy and Procedure Notice (EBN/PPN) is a self-certification under Policy & Procedure 26/90 for replacement/modernization. OPFN 26/90 authorizes a contractor to sign off minor alterations that do not require a test to be performed in the presence of a DOB inspector.
- Amendments are a revision to an open application that is filed after the Elevator Division has approved an elevator work permit. Amendments may include, but are not limited to, scope of work, address, weight change of the device, plan change, etc.
- Note: Please refer to ELV1A Supplemental Form if you are submitting a permanent amusement ride application.

New Installation under EA

- Sections 1 through 9 must be filled in completely and sections 10 and 11 must be filled in unless not applicable for the device(s).
- Sections 12 through 16 must be filled in; the Application, the Additional Information form and the Affidavit of Professional Certification form must have a P.E. or R.A. signature and seal affixed; the address for the location where the work is being performed must be recorded on all Plans; a Plot Plan must be included showing where the device is located in the building; the filing fee and 4 copies (1 duplicate & 3 copies) of the application and supporting documents must be attached to the original application.

Alterations, Replacements/Modification under a EA & EBN

- Sections 1 through 8 must be filled in completely and sections 9 through 11 require either "Not Applicable" or "Existing" where applicable or fill in the appropriate fields within these sections that are being altered, replaced or modified.
- Sections 12 through 16 must be filled in; the Application, the Additional Information form and the Affidavit of Professional Certification form must have a P.E. or R.A. signature and seal affixed; the address for the location where the work is being performed must be recorded on all Plans; a Plot Plan must be included showing where the device is located in the building; the filing fee and 4 copies (1 duplicate & 3 copies) of the application and supporting documents must be attached to the original application.
- Note: Section 6 must include Reference Part 8 Rules in the description of work, when applicable.

Replacement/ Modification "Door Operator" under EBN

- Sections 1 through 8 must be filled in completely, and sections 9 through 11 require either "Not Applicable" or "Existing" where applicable or fill in the appropriate fields within these sections that are being replaced or modified.
- Sections 12 through 15 must be filled in. However, an Affidavit of Professional Certification and P.E. or R.A. seal is not required.

Replacement/ Modification under EBN/PPN

- Sections 1 through 8 must be completely filled in, and sections 9 through 11 require either "Not Applicable" or "Existing" where applicable or fill in the appropriate fields within these sections that are being replaced or modified.
- Sections 12 through 15 must be filled in. However, an Affidavit of Professional Certification and P.E. or R.A. seal is not required.

Dismantle of Device under EBN Application

- Sections 1 through 15 must be filled in. However, an Affidavit of Professional Certification and P.E. or R.A. seal is not required.

Removal of Device under EBN Application

- Sections 1 through 15 must be filled in. However, an Affidavit of Professional Certification and P.E. or R.A. seal is not required.
- Note: All EBN applications to legalize the "removal or dismantling" of a device, which requires payment of 14 times the filing fee, must have an Affidavit of Professional Certification (sealed and signed by a P.E. or R.A.) attached to the application indicating that the owner is legalizing the existing condition.

Please make sure that each page is sealed by the Registered Architect or Professional Engineer

All completed work permitted under an EA/EBN requires a final test inspection for an application sign off. For an appointment contact the following:

Lower Manhattan & Midtown, up to 51 st Street	(212) 566 - 5524
Manhattan above 51 st Street and the Bronx	(212) 566 - 5519
Queens, Brooklyn and Staten Island	(212) 566 - 5512
Outside Hoist (all 5 boroughs):	(212) 566 - 5519

ONLY ORIGINAL ELEVATOR APPLICATIONS WILL BE ACCEPTED FOR PROCESSING. CORRECTION FLUID OR TAPE, WRITTEN EDITING/CORRECTION OR CROSSING OUT IS PROHIBITED.

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ELV-1A Elevator Applications Instruction Sheet



ELV1A
INSTRUCTIONS

Definitions

- Elevator Application (EA) is required for the installation of new devices, major alterations, substantial upgrades, total replacement/modernization, change of classification or work involving structural changes for an existing device.
- Elevator Building Notice (EBN) is required for the removal or dismantling, minor alteration, repair or replacement of equipment for an existing device.
- Elevator Building Notice/Policy and Procedure Notice (EBN/PPN) is a self-certification under Policy & Procedure 26/90 for replacement/modernization. OPN 26/90 authorizes a contractor to sign off minor alterations that do not require a test to be performed in the presence of a DOB inspector.
- Amendments are a revision to an open application that is filed after the Elevator Division has approved an elevator work permit. Amendments may include, but are not limited to, scope of work, address, weight change of the device, plan change, etc.

ELV-1A Supplement – Amusement Ride Application

- The ELV1A Supplemental form is only to be filed when submitting an elevator application to install a permanent amusement ride. (Do not submit ELV1 Elevator Application.)
- Please submit four copies of the application.
- Please attach two copies of all manuals pertaining to the amusement device.
- Complete fields 1 through 12. (Do not complete fields 13 and 14.)

ONLY ORIGINAL ELEVATOR APPLICATIONS WILL BE ACCEPTED FOR PROCESSING. CORRECTION FLUID OR TAPE, WRITTEN EDITING/CORRECTION OR CROSSING OUT IS PROHIBITED. CORRECTION FLUID OR TAPE, WRITTEN EDITING/CORRECTION OR CROSSING OUT IS PROHIBITED.

Amendment Form

- An Amendment Form can be used to specify changes in plans or scope of work that will now become part of the original application.
- An amendment can be filed on any elevator application that has been reviewed and approved by plan exam

Filing an Amendment Form

- An Amendment Form (B Form 10) must be prepared by an Approved Licensed Elevator Inspection Agency
- An Amendment Form requires a \$100 filing fee



B Form 10: Elevator Amendment
Amendment must be TYPEWRITTEN and filed in TRIPPLICATE.

APPLICATION NO. _____ BLOCK _____ LOT _____
(N.B., Alt., Elev., Ebn.)

LOCATION _____
House Number Street

BOROUGH _____ Date _____ 20 ____

Application is hereby made to the Commissioner for approval of the following AMENDMENT to the specifications and plans filed with the above numbered application, with the stipulation that this amendment is to become a part of the aforesaid original application and subject to all the conditions, agreements and statements therein contained.

Applicant _____ Signature _____

Address _____

Device Num _____

Estimated Cost: This Amendment \$ _____ Fee Required \$ _____ Verified by _____

Fee Paid _____

NOTE: The applicant must not use the back of this sheet. If more space is needed, additional sheets must be used. No item must be contained over to another sheet, but each item must be complete in the sheet on which it appears. Only those items that appear above the endorsement at the bottom of the page can be considered.

EXAMINED AND RECOMMENDED

FOR APPROVAL ON _____ 20 _____
Examiner

APPROVED _____ 20 _____
Borough Commissioner

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NYC
Buildings

B Form 10: Elevator Amendment
INSTRUCTIONS

Application is hereby made to the Commissioner for approval of the following amendment to the specifications and plans filed with the numbered application, with the stipulation that this amendment is to become a part of the aforesaid original application and subject to all condition, agreements and statements therein contained.

- This amendment form must be typewritten and filed in triplicate.

Instructions:

Please complete the following fields:

- Application Number (EA, EBN, New Building, Alteration)
- Block and Lot
- Location
- Borough (Do not use borough code numbers)
- Date and Year
- Applicant Name & Signature
- Address (Location of device)
- Device Number
- In the open space below device number, please type all pertinent information regarding the need to submit amendment. If more space is needed please use the back of the form.

Note: If requested by office personnel, a copy of amended plans must accompany this form.

Do not complete any information below the area explaining the reason for the amendment.

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- Category 1 – Annual Inspections
 - Building Classifications Types
 - Private Residential Buildings
 - All Other Building Types
- Category 1 – Inspection Cycles
- Category 1 – Inspection Requirement
- Category 1 – Filing Fees

- Category 3 & 5 –
Building Classifications Types
 - Private Residential Buildings
 - All Other Building Types
- Category 3 & 5 – Inspection Cycles
- Category 3 & 5 – Inspection Requirement
- Category 3 & 5 – Filing Fees

- Category 1 – Affirmation of Correction

Building Classifications Types

- Private Residential Buildings
 - All Other Building Types
-
- Category 1 – Affirmation of Correction Filing Requirement
-
- Category 1 – Affirmation of Correction Inspection Requirement
-
- Category 1 – Affirmation of Correction Filing Fees

- Affirmation of Correction - PVT
 - Building Classifications Types
 - Private Residential Buildings
 - All Other Building Types
- Requesting a PVT Dismissal
- Affirmation of Correction Filing Fees



Elevator Civil Penalties – Late Filing & Failure to File Fines

BUILDINGS WITH 1-2 RESIDENTIAL UNITS		
	LATE FILING (PER ELEVATOR)	FAILURE TO FILE* (PER ELEVATOR)
INSPECTION & TEST REPORTS (ELV3 & ELV3A)	\$50 PER MONTH	\$1,000
AFFIRMATION OF CORRECTION (ELV29)	\$50 PER MONTH	\$1,000
ALL OTHER BUILDINGS		
	LATE FILING (PER ELEVATOR)	FAILURE TO FILE* (PER ELEVATOR)
INSPECTION & TEST REPORTS (ELV3 & ELV3A)	CATEGORY 1: \$150 PER MONTH CATEGORY 3 OR 5: \$250 PER MONTH	CATEGORY 1: \$3,000 CATEGORY 3 OR 5: \$5,000
AFFIRMATION OF CORRECTION (ELV29)	CATEGORY 1: \$150 PER MONTH	CATEGORY 1: \$3,000 CATEGORY 3 OR 5: \$5,000

*If the inspection/test report or affirmation of correction is not filed within 12 months of the deadline, the failure to file penalty will be imposed instead of the late penalties.

These penalties must be paid at:

Elevator Division
280 Broadway, 4th Floor
New York, NY 10007

ELV 3A Elevator Inspection/ Test Report



ELV3A: Elevator Inspection / Test Report
Additional Devices
(Continued from ELV3)
Must be typewritten

1 Location Information Repeat information provided in Section 1 of ELV3 form.

Address _____ Application Number (if applicable) _____
Borough _____ Block _____ Lot _____ BIN _____ CB No. _____

2 Test Information List each device individually. Device types marked with an asterisk (*) require Section 11 to be completed on ELV3 form.

Device Number	Inspection Test Date	Conveyor	Dumbwaiter	Elevator*	Fingert*	Musical*	Material Lift	Wholesale Lift	Passenger*	Rescue Hoist	Primary Elevator	Secondary Elevator	Other	File Number(s) (Rescue Hoist Only)	Category 1 Satisfactory	Category 2 Unsatisfactory	Category 3 N/A	Category 4 N/A
6.																		
7.																		
8.																		
9.																		
10.																		
11.																		
12.																		
13.																		
14.																		
15.																		
16.																		
17.																		
18.																		

* Must complete Section 11 for all devices with unsatisfactory results. ** Applies to Commercial Only. *** Only Satisfactory results accepted for Category 3 and Category 4.

3 Unsatisfactory Devices Refer to Page 3 of ELV3 form for Elevator Part, Violation Condition, and Suggested Remedy codes.

6.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
7.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
8.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
9.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		

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ELV3A

3 Unsatisfactory Devices (Continued from Page 1)

10.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
11.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
12.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
13.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
14.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
15.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
16.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
17.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		
18.	Device #:		Comments:
	Elevator Part		
	Violation Condition		
	Suggested Remedy		

4 Location Information Repeat information provided in Section 1 of ELV3 form.

Address _____ Application Number (if applicable) _____
Borough _____ Block _____ Lot _____ BIN _____ CB No. _____

NOTE: Hazardous Conditions / Cease Use items shall not be reported on this form. These items shall be corrected immediately.

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Definitions

1 Year Test (Annual Inspection) / Category 1

- Category 1 (Annual Inspection) is an inspection/test performed between January 1st and December 31st of each calendar year.
- Category 1 (Annual Inspection) report shall be submitted within **45 days from the date of inspection** with satisfactory inspection results for each listed device.
- Unsatisfactory items – identified defects must be corrected within **45 days following the date the inspection report was submitted** to the elevator division. Additionally, a certification (ELV29) must be filed **within 15 days following completion of repairs**.
- Select the appropriate box in **Section #2**.
- Note:** Notification is required for Category 1 (Annual Inspection) on all **escalators only** by indicating the date in the appropriate box of the "Date DOB notified of" box in the top right corner of the ELV3 form and completing an ELV36 Form.

3 Year Test - Water Hydraulic / Category 3

- Category 3 is an inspection/test performed every 3 years **only** on water hydraulic type elevators.
- Category 3 (Water Hydraulic Elevators Only) shall be submitted when inspection/test has been completed with only satisfactory inspection results for each listed device.
- Select the appropriate box in **Section #2**.
- Note:** A report for a category 3 inspection must not be submitted without providing proper notification by indicating the date in the appropriate box of the "Date DOB notified of" box in the top right corner of the ELV3 form and completing an ELV36 Form.

5 Year Test / Category 5

- Category 5 is an inspection/test performed every 5 years on all applicable devices, as per NYC Building Code, Appendix K, Table N1.
- Category 5 shall be submitted when inspection/test has been completed with **only satisfactory** inspection results for each listed device.
- Select the appropriate box in **Section #2**.
- Note:** A report for a Category 5 inspection must not be submitted without providing proper notification by indicating the date in the appropriate box of the "Date DOB notified of" box in the top right corner of the ELV3 form and completing an ELV36 Form.

Test Tags

- As per NYC Building Code, Appendix K, Section 8.11.1.6 - A metal test tag with the test date, the category number requiring the test, the name of the person or firm performing the test, and the Approved Agency License number, shall be installed in the machine room and at the vicinity of the lower starting station of escalators and moving walks for all Category 1, 3 and 5 tests.

Inspection Certificates

- As per NYC Building Code, Section 28-304.6.4 - After each inspection or test, the inspector shall affix the inspection date and his or her signature over a stamp identifying his or her approved agency name and his or her approval number on the Inspection Certificate issued by the department.

Section 1 – Location Information

- Complete all applicable fields.
- Borough name must be typed out. (Do not use borough code numbers.)

Section 2 – Report Type

- Must not remain blank. Select a type by marking "X" on the appropriate field.
- If "Elevator Inspection / Test" is selected, please select a subtype by marking "X" on the appropriate field(s).
- Mark **all** appropriate Category Test(s) being reported on this form. One addition test (Category 3 or 5) may be reported along with Category 1 results.
- If "Personnel Hoist Inspection / Test" is selected, provide the "Badge # and select a subtype by marking "X" on the appropriate field.
- Note:** Personnel Hoist Inspection / Test filings shall only be submitted to the Elevator Window located on the 4th floor of 293 Broadway.

Section 3 – Fee Status

- Must not remain blank. Select a type by marking "X" on the appropriate field.
- If "Fee Exempt with Proof Enclosed" is selected, indicate the type of proof being provided by marking "X" on the appropriate field.

Section 4 – Applicant Information

- All fields shall be completed by the agency performing the inspection.

Section 5 – Owner Information

- All fields shall be completed by the Property Owner.

Section 6 – Test Information

- List the device number and inspection/test date.
- Select a device type, inspection result, and category by marking "X" in the appropriate box.
- Tests for the same device performed on different dates require separate lines.
- Satisfactory and Unsatisfactory results **only** apply to Category 1 tests. **Unsatisfactory results are not accepted for Category 3 or Category 5 tests**.
- Floor numbers affected must be provided for Personnel Hoists **only**.
- Only 5 devices may be listed on document ELV3. Refer to document ELV3A to list additional devices.
- You must complete Section 8 for all unsatisfactory Category 1 test results.
- Note:** Hazardous Conditions / Cease Use items shall not be reported on this form. These items shall be corrected immediately.

Section 6A - Affirmation of Correction

This section of the form is optional - not mandatory.

Please complete this section, if you are submitting a **current** Category 1 inspection/test report and have not supplied an Elevator Affirmation of Correction for defects noted in prior Category 1 inspection/test report.

Section 7 – Location Information

- Provide the same information as in section 1 in the event paperwork is separated.

Section 8 – Unsatisfactory Devices

- Refer to page 3 for elevator part, violation condition, and suggested remedy codes.
- Refer to document ELV3A to list additional devices.

Sections 9 – Property Owner's Statements and Signatures

- This section shall **always** be reviewed and completed by the Property Owner.

Sections 10 – Inspecting Agency's Statements and Signatures

- This section shall **always** be reviewed and completed by the Inspecting Agency.

Sections 11 – Witnessing Agency's Statements and Signatures

- This section is **not** required if the following device types reported on this form: Private Residential Elevators, Conveyors, Dumbwaiters, and Material Lifts.
- This section shall be reviewed and completed by the Witnessing Agency if required.

Sections 12 – Elevator Part Codes

- Refer to listed Elevator Part Codes when completing Section 8.

Sections 13 – Violating Condition Codes

- Refer to listed Violating Condition Codes when completing Section 8.

Sections 14 – Suggested Remedy Codes

- Refer to listed Suggested Remedy Codes when completing Section 8.

ELV29 Elevator Affirmation of Correction of Correction



ELV29: Elevator Affirmation of Correction
Must be typewritten.

PLEASE CHECK ONE:	
<input type="checkbox"/>	PVT Violation
<input type="checkbox"/>	Annual Periodic Test / Category 1 (ELV3) Unsatisfactory Item

Instructions:
Approved Inspection Agency Elevator Inspectors and Directors must use this form to certify that all unsatisfactory items identified during an annual periodic inspection (Category 1) have been corrected within 45 days following the date the inspection report was submitted to the elevator division. Additionally, this certification must be filed within 15 days following the completion of repairs. **These rules are not applicable when certifying corrections of a PVT violation.**

The form may be submitted in person or mailed to the NYC Department of Buildings, Elevator Division, 4th floor, 280 Broadway, New York NY 10007.

1 Place of Occurrence	
House No(s)	Street Name
Borough	Zip Code
2A PVT Violation Device Information <i>(Do not use for Category 1 corrections—See 2B)</i>	2B Annual Periodic Test Device Information <i>(Do not use for PVT Violation information—See 2A)</i>
REQUIRED:	REQUIRED:
1. I have attached a sworn/affirmed statement describing the work done to correct the violating condition(s). In addition, I have attached a copy of all permits, bills, receipts, photographs and/or other documentary proof that the violating condition(s) has/have been corrected or have been explained in my statement why such are not available.	1. I have attached a sworn/affirmed statement describing the work done to correct the violating condition(s). In addition, I have attached a copy of all permits, bills, receipts, photographs and/or other documentary proof that the violating condition(s) has/have been corrected or have been explained in my statement why such are not available.
2. I have attached a copy of PVT Violation.	2. I have attached a copy of my initial ELV-3 form.
Device Number: _____	Device Number: _____
Date Violation Issued: _____	Date Report Filed: _____
PVT Violation Number: _____	Date of Inspection: _____
3 Statements and Signatures	
I, _____, a certified elevator inspector working for _____, duly (Print Name of Elevator Inspector) (Approved Elevator Agency Name)	
Swear under penalty of perjury, that I have reviewed and inspected the device listed on violation and/or annual periodic test report on _____/_____/_____, and that all conditions listed have been corrected. (date)	
_____ (Inspector Signature)	_____ (Certification #)
Sworn to under penalty of perjury	Notary Stamp:
Before me this _____ day of _____	
_____ (Notary Public Signature)	
False certification is a criminal misdemeanor under sections 28-203.1.1 and 28-211.1 of the NYC Administrative Code, punishable by up to 1 year imprisonment and/or fine of up to \$25,000. It is also punishable with a civil penalty of up to \$25,000.	
Owner's Name / Print: _____	Agency Directors Name / Print: _____
Owner's Signature: _____	Agency Directors Signature: _____
Address: _____	Agency Director License Number: _____
Telephone Number: _____	Address: _____
	Telephone Number: _____

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ELV29: Elevator Affirmation of Correction INSTRUCTIONS

Approved Inspection Agency Elevator Inspectors and Directors must use this form to certify that all unsatisfactory items identified during an annual inspection/test (Category 1) have been corrected within 45 business days following the date the inspection report was submitted to the elevator division. Additionally, this certification must be filed within 15 business days following the completion of repairs. (These instructions are not applicable when certifying corrections of a PVT violation). *A PVT Violation will not be dismissed with a "Satisfactory--Category 1 Test Report" or a "Category 1 Affirmation of Correction."*

The form may be submitted in person or mailed to the NYC Department of Buildings, Central Filing and Billing Unit, 8th floor, 280 Broadway, New York, NY 10007.

Section 1—Place of Occurrence

- Complete all the fields
- Borough name must be typed out. (Do not use borough code numbers)

Section 2A—Annual Periodic Test Device Information

- Must complete the device number, date report filed and date of inspection.
- Please review and provide documents listed under item 1.
- Do not complete this section to correct a PVT violation.

Section 2B—PVT Violation Device Information


- Must complete the device number, date violation issued and PVT violation number.
- Please review and provide documents listed under items 1 and 2.
- Do not complete this section to correct a Category 1 correction.

Section 3—Statements and Signatures

- Must print name of elevator inspector.
- Must print name of approved elevator agency name.
- Must complete date of inspection.
- Must complete signature and certification number.
- Must complete all owners information and agency directors fields.
- Form must be notarized.

09/10

ELV 29 Elevator Affirmation of Correction PVT Violation



NYC Buildings

ELV29: Elevator Affirmation of Correction
Must be typewritten.

PLEASE CHECK ONE:

PVT Violation

Annual Periodic Test / Category 1 (ELV3) Unsatisfactory Item

Instructions:
Approved Inspection Agency Elevator Inspectors and Directors must use this form to certify that all unsatisfactory items identified during an annual periodic inspection (Category 1) have been corrected within 45 days following the date the inspection report was submitted to the elevator division. Additionally, this certification must be filed within 15 days following the completion of repairs. **These rules are not applicable when certifying corrections of a PVT violation.**
The form may be submitted in person or mailed to the NYC Department of Buildings, Elevator Division, 4th floor, 280 Broadway, New York NY 10007.

1 Place of Occurrence

House No(s) _____ Street Name _____

Borough _____ Zip Code _____

2A PVT Violation Device Information
(Do not use for Category 1 corrections—See 2B)

REQUIRED:

- I have attached a sworn/affirmed statement describing the work done to correct the violating condition(s). In addition, I have attached a copy of all permits, bills, receipts, photographs and/or other documentary proof that the violating condition(s) has/have been corrected or have been explained in my statement why such are not available.
- I have attached a copy of PVT violation.

Device Number: _____

Date Violation issued: _____

PVT Violation Number: _____

2B Annual Periodic Test Device Information
(Do not use for PVT Violation information—See 2A)

REQUIRED:

- I have attached a sworn/affirmed statement describing the work done to correct the violating condition(s). In addition, I have attached a copy of all permits, bills, receipts, photographs and/or other documentary proof that the violating condition(s) has/have been corrected or have been explained in my statement why such are not available.
- I have attached a copy of my initial ELV-3 form.

Device Number: _____

Date Report Filed: _____

Date of Inspection: _____

3 Statements and Signatures

I, _____, a certified elevator inspector working for _____, duly
(Print Name of Elevator Inspector) (Approved Elevator Agency Name)

Swear under penalty of perjury, that I have reviewed and inspected the device listed on violation and/or annual periodic test report on _____/_____/_____, and that all conditions listed have been corrected.
(date)

(Inspector Signature) (Certification #)

Sworn to under penalty of perjury _____ Notary Stamp:
Before me this _____ day of _____

(Notary Public Signature)

False certification is a criminal misdemeanor under sections 28-203.1.1 and 28-211.1 of the NYC Administrative Code, punishable by up to 1 year imprisonment and/or fine of up to \$25,000. It is also punishable with a civil penalty of up to \$25,000.

Owner's Name / Print: _____	Agency Directors Name / Print: _____
Owner's Signature: _____	Agency Directors Signature: _____
Address: _____	Agency Director License Number: _____
Telephone Number: _____	Address: _____
	Telephone Number: _____

ELV 29 Elevator Affirmation of Correction PVT Violation



ELV29: Elevator Affirmation of Correction INSTRUCTIONS

Approved Inspection Agency Elevator Inspectors and Directors must use this form to certify that all unsatisfactory items identified during an annual inspection/test (Category 1) have been corrected within 45 business days following the date the inspection report was submitted to the elevator division. Additionally, this certification must be filed within 15 business days following the completion of repairs. (These instructions are not applicable when certifying corrections of a PVT violation). A PVT Violation will not be dismissed with a "Satisfactory—Category 1 Test Report" or a "Category 1 Affirmation of Correction."

The form may be submitted in person or mailed to the NYC Department of Buildings, Central Filing and Billing Unit, 6th floor, 280 Broadway, New York, NY 10007.

Section 1—Place of Occurrence

- Complete all the fields
- Borough name must be typed out. (Do not use borough code numbers)

Section 2A—Annual Periodic Test Device Information

- Must complete the device number, date report filed and date of inspection.
- Please review and provide documents listed under item 1.
- Do not complete this section to correct a PVT violation.

Section 2B—PVT Violation Device Information

- Must complete the device number, date violation issued and PVT violation number.
- Please review and provide documents listed under items 1 and 2.
- Do not complete this section to correct a Category 1 correction.

Section 3—Statements and Signatures

- Must print name of elevator inspector.
- Must print name of approved elevator agency name.
- Must complete date of inspection.
- Must complete signature and certification number.
- Must complete all owners information and agency directors fields.
- Form must be notarized.

09/10

- Requesting a Temporary or Final Certificate of Occupancy
- Service Level
- Required Items

- Approvals for waiver requests on temporary or final certificate of occupancies are provided when the following items have been reviewed :
 - Category 3 or 5 Inspection/Test
 - Open LL10/81, VCAT1, EVCAT, JVIOS, ACC1 & ACJ1 Violations
 - Open PVT Violations
 - Open EA or EBN Elevator Application Filings
 - Elevator devices in “W – Work in Progress”
- In addition, the following items are considered along with written justification provided in the waiver request:
 - The waiver request is filed by the owner or tenant in the establishment.
 - Approved plans clearly show that there are no elevators within the space that has applied for TCO or FCO.
 - None of the elevators are accessible from the space that has applied for TCO or FCO.

Thank You!

Cellular Antennas & Telecommunications Equipment

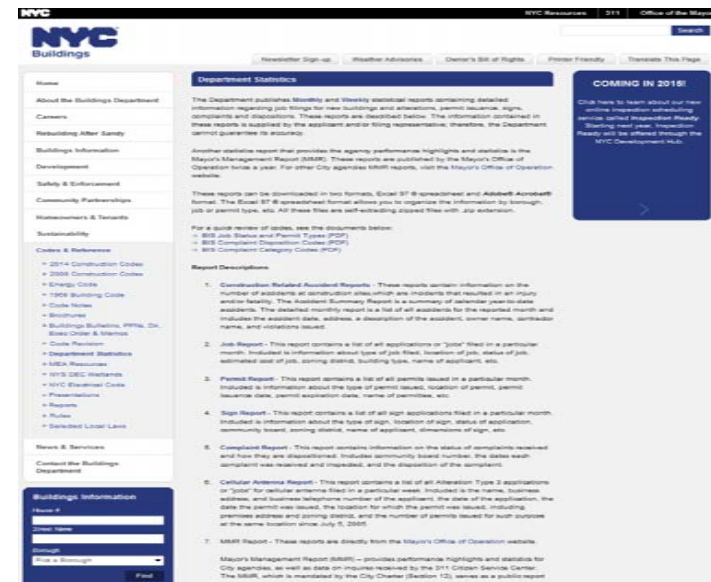
Patricia Aldea, RA
Code & Zoning Specialist, Bronx

DOB recognizes that cellular telephony has become a prevalent form of communication essential to the public interest. As such, those companies wishing to erect cellular antennas and install related equipment are to be treated with the deference afforded other public utilities.

Currently, the installation of cellular antennas require an **Alt-3 application for tracking purposes (Administrative Code §28-103.14.1)**. Other related equipment, including structural support, requires the filing of an **alteration ALT-2 application and the issuance of a permit**.

All submitted applications are subject to Zoning, Building Code, and Fire Code requirements unless specific and special waivers are applicable.

§28-103.14.1 List of permits for cellular antenna. The commissioner shall maintain a separate list of alteration permits issued for the erection or placement of antennae used to provide cellular telephone or similar service or any structure related to such service which shall, at a minimum, set forth the name, business address and business telephone number of the applicant, the date of the application, the date the permit was issued, the location for which the permit was issued, including the premises address and the zoning district, whether residential, commercial, or manufacturing, and the number of permits issued for such purpose at the same location. Such list shall be made available to the public upon request between regular business hours and shall be available to the public in electronic format on a 24-hour basis on the department's website.



6. **Cellular Antenna Report** - This report contains a list of all Alteration Type 3 applications or "jobs" for cellular antenna filed in a particular week. Included is the name, business address, and business telephone number of the applicant, the date of the application, the date the permit was issued, the location for which the permit was issued, including premises address and zoning district, and the number of permits issued for such purpose at the same location since July 5, 2005.

Department Statistics

**LOCAL LAWS
OF
THE CITY OF NEW YORK
FOR THE YEAR 2005**

No. 28

Introduced by Council Members Vallone Jr., Addabbo Jr., Gerson, Koppell, Nelson, Recchia, Yassky, Moskowitz, Gallagher, Quinn, Martinez, Monserrate, Gentile, Fidler, Avella, Liu, Weprin, Sears, Oddo and The Speaker (Council Member Miller).

A LOCAL LAW

To amend the administrative code of the city of New York, in relation to maintenance of records regarding the issuance of alteration permits for cellular telephone antennas and equipment.

Be it enacted by the Council as follows:

Section 1. Article 19 of subchapter one of chapter one of title 27 of the administrative code of the city of New York is amended by adding a new section 27-191.1 to read as follows:

§27-191.1 List of permits for cellular antenna to be maintained. The commissioner shall maintain a separate list of alteration permits issued for the erection or placement of antennae used to provide cellular telephone or similar service or any structure related to such service which shall, at a minimum, set forth the name, business address and business telephone number of the applicant, the date of the application, the date the permit was issued, the location for which the permit was issued, including the premises address and the zoning district, whether residential, commercial, or manufacturing, and the number of permits issued for such purpose at the same location since the effective date of this section. Such list shall be made available to the public upon request between regular business hours and shall be available to the public in electronic format on a 24-hour basis on the department's website.

§2. This local law shall take effect ninety days after its enactment into law and shall apply to permits issued on and after such effective date.

**Administrative Code
§28-103.14.1 taken from
1968 Code §27-191.1,
based on LL 28/2005**

ZONING REQUIREMENTS:

In some instances, antennas may be classified as **Use Group 6 "communication equipment structures,"** and as such permitted as of right in commercial & manufacturing zoning districts, and may require a special permit (BSA) in residence districts pursuant to ZR 22-21.

ZONING REQUIREMENTS:

(continued)

In other instances when located in **residential districts**, antennas and antenna support equipment are not strictly regulated by the zoning resolution.

TPPN 5/1998 was issued to clarify zoning and code requirements for antenna applications. If the proposed antenna installation application does not meet the requirements of TPPN 5/1998, a special (BSA) permit will be needed.

Summary of TPPN 5/1998 requirements:

1. Antennas must be attached to a building or other structure that has a use independent of supporting the antennas.
2. Antennas may not extend higher than six (6) feet above the height of the roof or roof parapet on the roof, or six feet above any penthouse or bulkhead, if placed on such penthouse or bulkhead.

TPPN 5/1998 requirements:

(continued)

3. Each Antenna shall have an area no more than 8.45 square feet or one meter in diameter.
4. Related cellular equipment must not occupy more than 5% of the floor area on a zoning lot or 400 square feet.

TPPN 5/1998 requirements:

(continued)

In order to demonstrate compliance with TPPN 5/1998 the plans must show cellular equipment and antennas already **EXISTING and located in or on the building, and show the following for new work:**

- The location, size & height of all proposed cellular equipment and antennas;
- Structural support & mounting details of all cellular equipment & antennas;
- A calculation of the cumulative floor area and the dimensions of existing and proposed cellular equipment in the building.

2014 & 2008 Building Code

1968 Building Code

27-494 through 496

Applicable for radio & television towers & antennas more than 20 ft high, but not applicable for telecommunications antennas & equipment

27-338 (Roof Structures)

Telecommunications antennas & equipment are not included

SECTION BC 3108 RADIO, TELEVISION, AND TELECOMMUNICATIONS TOWERS AND ANTENNAS

3108.1 General. Subject to the provisions of Chapter 16 and the requirements of Chapter 15 governing the fire-resistance ratings of buildings for the support of roof structures, radio, television, and telecommunications towers and antennas shall be designed and constructed as herein provided. All such towers and antennas shall be collectively referred to as "towers" for the purposes of this section. Towers shall be designed and constructed in accordance with the provisions of TIA-222.

3108.2 Location and access. Towers shall be located and equipped with step bolts and ladders so as to provide ready access for inspection purposes. Guy wires or other accessories shall not cross or encroach upon any street or other public space, or over aboveground electric utility lines, or encroach upon any privately owned property without written consent of the owner of the encroached upon property, space or above-ground electric utility lines. Towers shall be equipped with climbing and working facilities in compliance with TIA-222. See applicable OSHA, FCC and EPA regulations relating to limitations on access to tower sites.

3108.3 Construction. Towers shall be constructed of approved corrosion-resistant noncombustible material. The minimum type of construction of isolated radio towers not more than 100 feet (30 480 mm) in height shall be Type IIB.

3108.4 Loads. Towers shall be designed to resist wind loads in accordance with TIA/EIA-222. Consideration shall be given to conditions involving wind load on ice-covered sections.

3108.4.1 Dead load. Towers shall be designed for the dead load plus ice load.

3108.4.2 Wind load. Towers shall be provided with adequate foundations and anchorage designed to resist two times the calculated wind load.

3108.5 Grounding. Towers shall be permanently and effectively grounded in accordance with the *New York City Electrical Code*.

Note: side lined 2014 BC updates to 2008 BC

2014 Fire Code (FC) requirements:

504.4 Rooftop access and obstructions. The rooftops of buildings 100 feet (30 480 mm) or less in height, except rooftops with a slope exceeding 20 degrees (0.35 rad) from the horizontal, shall be designed, installed, operated and maintained in accordance with this section and in a manner that avoids or minimizes obstructions that impede firefighting operations such as vertical ventilation of heat and smoke, surveillance of rear yards and courtyards, and rooftop-aided rescues. For purposes of this section only, “rooftop” shall include rooftops of building setbacks, and “obstruction” shall mean any fixture or other item that is not readily movable by one person without the use of tools or equipment, including air conditioning systems, billboards and other signs, cellular antenna equipment, columns and girders, cooling towers, fuel oil storage tanks, generators, heating systems, planters, solar panels, ventilation system ducts, intakes and exhausts, and window cleaning equipment, but shall not include nonmetallic decking that is readily cut by standard power tools.

Fire Code (FC) requirements:

(continued)

504.4.1 Rooftop access. Access to building rooftops shall be provided for fire operations by providing unobstructed access to the rooftop, including unobstructed passage across the building parapet, perimeter fence or other obstructions, and a safe landing. Such rooftop access shall be provided in compliance with the following required clearances:

1. For each 12 linear feet (3658 mm) of building perimeter accessible from the frontage space of the building and from any other exposure accessible to fire apparatus, a minimum clearance of 6 feet (1829 mm) in width and 6 feet (1829 mm) in depth from any obstruction shall be provided at the parapet wall or other perimeter of the rooftop.
2. Where such building perimeter is 24 linear feet (7315 mm) or greater, but less than 36 linear feet (10 973 mm), the required clearance openings shall be separated by a distance of not less than 12 linear feet (3658 mm).

Fire Code (FC) requirements:

504.4.1 Rooftop access (continued)

3. Where such building perimeter is 36 linear feet (10 973 mm) or greater, the required clearance openings may be contiguous, provided, however, that such contiguous openings shall not exceed 12 linear feet (3658 mm) and shall be separated from other required clearance openings by a distance of not less than 12 linear feet (3658 mm).
4. Each exposure accessible by fire apparatus may be treated separately for purposes of locating clearance openings and otherwise complying with the requirements of this provision.
5. Awnings, sun control devices, solar panels or other structures affixed to an exterior building wall below the roof line shall not obstruct fire apparatus aerial ladder access to the rooftop perimeter access locations.
6. Scaffolding obstructing rooftop access locations shall be designed to provide secure landings at such locations in an approved manner.

Fire Code (FC) requirements:

504.4.2 Rooftop access signs and markings. Where required by the department, a sign, decal or approved marking shall be provided on the exterior wall of a building, at an approved location on a lower story, directly below the rooftop perimeter access landings, to identify the location of such rooftop access. The department may require such signs or markings when rooftop conditions not apparent from the street make rooftop access unsafe at locations other than the approved building perimeter access landings, or do not allow for access to the roof.

504.4.3 Rooftop access landings. At each rooftop perimeter access location, there shall be a safe landing area not less than 6 feet (1829 mm) in any dimension, connected to the clear path required by FC504.4.4. The landing shall not be obstructed by a fence, except as approved. If approved, such fence shall be provided with a standard 3-foot-wide (914 mm) gate that swings inward. Such gate may be secured by a padlock and chain capable of being cut by standard bolt cutters from either side of the gate, or secured by other approved device.

Fire Code (FC) requirements:(continued)

504.4.4 Rooftop clear path. A clear path of not less than 6 feet (1829 mm) horizontal width and 9 feet (2743 mm) in height shall be provided from the front of the building to the rear of the building and from one side of the building to the other for each 100 linear feet (30 480 mm) of rooftop width and depth. Such path shall comply with the following requirements:

1. Such clear path shall be accessible from each rooftop perimeter access landing required pursuant to FC504.4.3.
 2. Such clear path shall afford reasonable access to bulkhead doors, fire access ladders, cockloft vents, skylights, scuttles and shafts. Such access shall include, to the maximum extent practicable, 3-foot (914 mm) clearance on three sides of the skylight or scuttle.
 3. A conduit or pipe may cross such clear path in accordance with FC504.4.7.
 4. Any lawful fence obstructing such clear path shall be provided with a standard 3-footwide (914 mm) gate, which may be secured by padlock or chain capable of being cut by standard bolt cutters, or secured by other approved device
-

Fire Code (FC) requirements:(continued)

5. When the main building rooftop has more than one level, a fixed ladder or other approved means shall be provided to afford access along the clear path from one roof level to the next, excluding any height differential between levels exceeding one story or 16 feet (4077 mm), and any level with a rooftop area that is less than 6 feet (1829 mm) in any dimension.
6. On an “H”-shaped building or other building whose irregular configuration renders a single clear path inadequate to provide access to each wing of the building or other rooftop area, the commissioner may require one or more additional clear paths to provide adequate access to such rooftop areas.

504.4.5 Rooftop clear path protection. Adequate protection, in the form of a securely affixed protective railing or barrier that is 42 inches (1067 mm) above the roof surface in height along the clear path, shall be provided for any shaft, building perimeter or elevation adjoining the clear path or rooftop perimeter access landing (except the rooftop access landing itself).

Exception: Height differentials of 6 feet (1829 mm) or less

Fire Code (FC) requirements:(continued)

504.4.6 Required rooftop clearances. A minimum clearance of 6 feet (1829 mm) in all directions shall be provided from each door opening onto a rooftop from a dwelling unit, stairway, bulkhead, or other occupied space or means of egress, as measured from the door hinge. A minimum clearance of 3 feet (914 mm) in all directions shall be provided from any fire escape or rooftop access ladder, as measured from each side of the ladder or landing.

504.4.7 Rooftop conduits and piping. To the maximum extent practicable, conduits, including cable trays, and piping, shall be installed at rooftop locations where they do not obstruct rooftop access landings, clear path or required clearances. If it is impracticable to avoid these areas, conduits and piping shall be designed and installed to facilitate access and minimize tripping hazards. Steps or ramps (or platforms with steps, ramps or ladders) shall be provided that are constructed of noncombustible material, equipped with railings, and designed to allow any conduit or piping installations that exceed 1 foot (305 mm) in height above the roof surface, or more than 24 inches (610 mm) in width, to be readily traversed. Steps, ramps, platforms and ladders shall not be placed in areas or in a manner that would obstruct any door or means of egress. All conduits and piping installations shall be color coded with continuous, durable and weatherproof reflective or luminescent markings as follows, and for conduit and piping installed after July 1, 2014, shall be continuously labeled in an approved manner to indicate its contents:

Fire Code (FC) requirements:(continued)

504.4.7 Rooftop conduits and piping. (continued)

1. High voltage wiring – Red.
2. Low voltage wiring – Orange.
3. Natural gas piping – Yellow.
4. Other compressed gas piping – Yellow, labeled at regular intervals with the type of gas.
5. Fuel oil piping – Yellow with black stripes.

504.4.8 Rooftop telecommunications installations. Telecommunications installations on building rooftops, including cellular antenna installations, shall additionally comply with the following requirements:

1. Transmitting antennas shall be identified by affixing to the antenna, the antenna mounting, or a conspicuous location near the antenna, continuous, durable and weatherproof reflective or luminescent markings and not less than 3-inch (76-mm) lettering that reads, “TRANSMITTER.”
 2. A durable sign shall be conspicuously posted on or near any equipment closet, roof base station or similar telecommunications antenna installation, identifying the owner of the installation, providing a 24-hour/7-day per week telephone number by which such owner can be contacted, and identifying the installation, including antennas and other powered equipment associated with the installation, by number or other unique designation.
-

FDNY website, Fire Code (FC)

Frequently Asked Questions (FAQ) related with FC 504.4 Roof Access

10. I am planning to perform construction on the roof of my building & install new equipment. I understand that, as explained in FAQ #8 & 9, such work constitutes an alteration to the rooftop that triggers the obligation to comply with the rooftop access & obstruction requirements of FC504.4. However, there are existing structures and installations on the roof that make full compliance problematic if not impossible. Is there an alternative to complying with FC 504.4 as written?

Yes. **FC104.8** authorizes modifications of the Fire Code when compliance with one or more Fire Code requirements is impracticable.

The Fire Department recognizes that full compliance with the rooftop access & obstruction requirements of **FC504.4** may be impracticable when an alteration is made to an existing rooftop. The Fire Department has granted modifications of these requirements when a rooftop access plan is presented that affords reasonable access onto and across the rooftop consistent with the purposes of **FC504.4**.

The Fire Department's Bureau of Fire Prevention has issued an informative document, Technology Management Bulletin #02/2011, that provides detailed guidance to applicants seeking modification of the Fire Code's rooftop access and obstruction requirements.

Click here to view [Technology Management Bulletin #02/2011](#).

FDNY website, Fire Code

Frequently Asked Questions (FAQ) related with FC 504.4 Roof Access

11. Are satellite dishes, television antennas and vent pipes considered to be rooftop obstructions?

Yes. Other examples of other obstructions are set forth in **FC504.4**.

17. If a rooftop spans multiple buildings, can it be treated as a single rooftop for purposes of the FC's rooftop access & obstruction requirements?

Yes, with the written consent of all building owners, provided that a clear path complying with the requirements of **FC504.4** can be established across the multiple rooftops. Such a combined rooftop would be considered a single rooftop for all purposes relating to **FC504.4**.

18. Is a telecommunications company that has installations on the roof of a building responsible for the signage required by FC504.3 for stairway access to the roof, or only the signage on the roof required by FC504.4?

The signage requirements of **FC504.3** serve to identify stairway access to the roof for egress and other purposes, and are not related to the rooftop access and obstruction provisions of **FC504.4**.

FDNY website, Fire Code**Frequently Asked Questions (FAQ) related with FC 504.4 Roof Access****19. Are antennas mounted on the walls of a building that do not extend above the building parapet considered rooftop obstructions?**

Yes, if the antenna is above the level of the roof, even if it not above the top of the parapet. Such flush-mounted antennas may not be installed in a manner that interferes with rooftop access.

20. With respect to rooftop access and obstructions, can the clear path required by FC504.4.2(1) twist and turn if need be?

It would be preferable if the clear path be a straight route from one side of the building to another. However, the Fire Department recognizes that this may cause practical difficulties for some buildings. In such cases, the Fire Department will accept a clear path that “jogs” around a bulkhead or other rooftop obstruction, provided that the path is still “clear” and not confusing or dangerous. Multiple turns in the path should be avoided, and, if excessive, may result in the Department determining that the route does not meet the requirement for a clear path.

FDNY website, Fire Code

Frequently Asked Questions (FAQ) related with FC 504.4 Roof Access

23. With respect to rooftop access and obstructions, where conduit or piping crosses the clear path, is it permissible to have a step over the piping or conduit that is less than the six feet width of the clear path (for example, a step or ramp that is only 3 feet wide)?

No. The step or ramp over the conduit must be the full width of the 6-foot clear path (less approximately 6 inches on each side for handrail clearance). Otherwise, the required clear path would be constricted to the width of the step.

31. Where more than one transmitting antenna is mounted on the same mounting or support structure, can the lettering required by FC504.4.3(1) only appear once on the mount or support structure?

This section provides that the sign be posted “on or near” any installation. If the location of the sign and/or markings on a sign (such as arrows) clearly identifies more than one transmitter, it complies with the code requirements.

33. Is there a process to request a variance/reconsideration of these requirements for rooftop access and obstructions? If so, what is the process to apply?

Yes. A modification may be requested in accordance with **FC104.8**.

Modifications to 2014 NYC FC (variance request and determination)

FC 104.8 Modifications. When the circumstances, conditions, limitations or surroundings of any business, occupation, trade, industry or premises to which this code or the rules apply are unusual, or such as to render it impracticable to enforce all the provisions applicable thereto, the commissioner may waive or modify such provisions to such extent, for such period of time, as the commissioner may deem necessary consistent with public safety.

104.8.1 Application for modification. Any owner or other person subject to a provision of this code or the rules may request the modification of such provision in accordance with this section.

104.8.1.1 Submission. Any person seeking a modification shall submit a written request to the commissioner stating the grounds thereof supported by relevant evidence and citation to this code or any other law, rule or regulation or other legal authority. Any additional information or other supplemental submission requested by the commissioner shall be filed with the department within 20 calendar days of the date of the request, or within such other time as may be prescribed by the commissioner.

104.8.1.2 Determination. The commissioner shall render a written determination denying the request, or granting such modification as the commissioner determines is necessary and appropriate upon such terms and conditions as the commissioner may prescribe.

104.8.1.3 Stay of enforcement. The filing of such request for a modification shall not stay the enforcement of the provision. The person filing such modification may request a stay of enforcement of such provision. Such request shall be in writing and shall be subject to the same requirements as a modification. The commissioner shall expeditiously render a written determination of such request for a stay, giving due consideration to the interests of public safety, the costs of compliance, and the apparent merits of the request.

Fire Code (FC) variance example

APPROVED FOR FIRE DEPT. ROOFTOP ACCESS FIRE CODE SECTION 504.4 ONLY SUBJECT TO LETTER OF June 13, 2012

FIRE DEPARTMENT
CITY OF NEW YORK

PER *Scott Ales* N.E.E.T.

FPIN 1203116A Sheet 1 of 1

EXISTING CLEARWIRE ANTENNA

PROPOSED SPRINT IDEN ANTENNA MOUNTED TO EXISTING MAST ON BUILDING FACADE ELEV: ±50'

PROPOSED SPRINT RRHs MOUNTED TO NEW MOUNT ON BUILDING FACADE ELEV: ±65'

PROPOSED SPRINT ANTENNA MOUNTED TO EXISTING MAST ON BUILDING FACADE ELEV: ±65'

PROPOSED SPRINT IDEN ANTENNA MOUNTED TO EXISTING MAST ON BUILDING FACADE ELEV: ±48'

EXISTING CLEARWIRE ANTENNA

EXISTING CHIMNEY (TYP)

EXISTING PENTHOUSE HEIGHT: ±12'-10"

EXISTING ROOF VENT (TYP) HEIGHT: ±4'-0"

TOP OF LOWER ROOF ±15'-0" AGL

TOP OF ROOF ±65'-0" AGL

EXISTING SPRINT STEP OVER (TYP) HEIGHT: ±1'-4"

EXISTING SPRINT CABLE TRAY WIDTH: ±1'-6" HEIGHT: ±11"

EXISTING PENTHOUSE HEIGHT: ±30'-6"

PROPOSED SPRINT EQUIPMENT CABINETS MOUNTED INSIDE EXISTING SPRINT EQUIPMENT SHELTER

TOP OF ROOF ±55'-0" AGL

EXISTING PENTHOUSE HEIGHT: ±12'-10"

PROPOSED SPRINT ANTENNA MOUNTED TO EXISTING MAST ON BUILDING FACADE ELEV: ±50'

PROPOSED SPRINT RRHs MOUNTED TO NEW MOUNT ON BUILDING FACADE ELEV: ±50'

TOP OF ROOF ±65'-0" AGL

PROPOSED SPRINT IDEN ANTENNA MOUNTED TO EXISTING MAST ON BUILDING FACADE ELEV: ±50'

EXISTING CLEARWIRE ANTENNA

TOP OF LOWER ROOF ±15'-0" AGL

THIS SITE IS NOT COMPLIANT WITH FDNY CODE FC504.4. A VARIANCE IS REQUIRED.

FDNY MODIFICATION VARIANCE TABLE	
UNOBSTRUCTED PERIMETER ACCESS (FC504.4.4.1)	
ACCESSIBLE BUILDING PERIMETER FRONT/FACED EXPOSURE LOCATION	CROSS BROW EXPRESSWAY
TOTAL LENGTH OF ACCESSIBLE BUILDING PERIMETER	127'-2"
NUMBER OF 6 FOOT OPENINGS REQUIRED	10
MINIMUM REQUIRED UNOBSTRUCTED PERIMETER ACCESS	60 FT
ACTUAL UNOBSTRUCTED PERIMETER ACCESS	123'-5"

LEGEND

- ① 6' WIDE PERIMETER ACCESS
- ② 6' DOORWAY CLEARANCE
- ③ 3' FIRE ESCAPE/ ACCESS LADDER CLEARANCE
- ④ 6' WIDE x 9' HIGH CLEAR PATHS

EXISTING BALCONY

PROPOSED SPRINT RRHs MOUNTED TO NEW MOUNT ON BUILDING FACADE ELEV: ±48'

PROPOSED SPRINT ANTENNA MOUNTED TO EXISTING MAST ON BUILDING FACADE ELEV: ±48'

EXISTING BALCONY

1 ROOFTOP SURVEY - FDNY VARIANCE PLAN

DATE	08-02-11
PROJECT NO.	332.1107
DRAWN BY	WJN
CHECKED BY	WJN
DATE	08-02-11
PROJECT NO.	332.1107
DRAWING NO.	FDNY-003.00

NY 73XC 806
5657-4



FIRE DEPARTMENT
9 METROTECH CENTER
BROOKLYN, N.Y. 11201-3837

June 19, 2012

[Redacted]

oration

NEW YORK, NY 10018

Re: Review of Rooftop Access Plan

[Redacted]

Dear [Redacted]

The Fire Department has reviewed your application for a modification (variance) from the rooftop access and obstruction provision of New York City Fire Code Section 504.4, with respect to the above referenced premises. FC504.4 requires access to the roof from the frontage space and each other fire apparatus accessible exposure, and a clear path from the front of the building to the rear and from one side of the building to the other. These requirements are necessary to assure Fire Department ladder access to the rooftop for firefighting and rescue operations.

You are required to comply with FC504.4 because you are proposing to alter an existing rooftop. Specifically, Sprint is proposing to: Install a platform, cabinet and/or antenna to existing rooftop.

Your modification application and accompanying rooftop plan **FDNY-003.00, Sheet 3 of 5, REV 1** dated **June 4, 2012** indicates that you are unable to comply with the minimum clearance and design requirements for rooftop access and/or clear path requirements of FC 504.4 primarily because of the following existing rooftop condition and/or proposed rooftop alteration:

- Existing building features and existing Sprint telecommunications cable trays limit rooftop perimeter access along the Cross Bronx Expressway Service Road North exposure.
- Existing building features (masonry/brick walls, HVAC equipment) limit rooftop access door clearance on the upper roof.
- Existing Sprint telecommunications cable trays limit clear path from front to rear and side to side of building, on upper roof level.

[Redacted]

In lieu of complying with FC504.4, your rooftop plan **FDNY-003.00, Sheet 3 of 5, REV 1** dated **June 4, 2012** provides 123 feet of rooftop perimeter access on the Cross Bronx Expressway Service Road North exposure, connected to a clear path from the front of the building to the rear and from one side of the building to the other.

Your rooftop plan **FDNY-003.00, Sheet 3 of 5, REV 1** dated **June 4, 2012** provides adequate Fire Department access to and upon the rooftop. Accordingly, your application for a modification is **granted**, subject to the following conditions:

- This determination only modifies compliance with respect to the rooftop access and/or clear path requirements specifically set forth above. This determination does not modify your obligation to comply with other applicable provisions of FC504.4, including the marking and signage requirements of FC504.4.2 and 504.4.3.
- Nothing contained in this determination shall be construed to authorize construction contrary to the New York City Building Code, Zoning Resolution or other applicable laws, rules or regulations.
- The approved modified rooftop access and/or clear path requirements as indicated on architectural drawing **FDNY-003.00, Sheet 3 of 5, REV 1** dated **June 4, 2012**, shall be constructed and maintained in accordance with the approved rooftop plan and maintained clear of obstructions and kept available for emergency responders. If any change is necessary, a new application shall be submitted to modify them.
- This modification is site specific applicable only to the above referenced address and not transferable to any other address.

In the interest of public safety, the Fire Commissioner may revoke, modify or require additional safeguards not expressed in this agreement.

When responding to this subject, kindly address your correspondence to the Office of Technology Management- Rooftop Access Unit, **Fire Prevention Index No. 1203116A**.

Signed,

Thomas Pigott, BC
Chief of Technology Management
Bureau of Fire Prevention

CC: Lt. Alfred Trinidad, FDNY

TJP: MG

Thank You!

Coordination with the
NYC Landmarks Preservation Commission
and the
NYC Design Commission

Raymond Plumey, FAIA
Bronx Deputy Borough Commissioner

- The Landmarks Preservation Commission (LPC) identifies and designates the city's landmarks and the buildings in the city's historic districts.
- The LPC also regulates changes to designated buildings to determine whether the proposed work will have any effect on the significant features of a building or a historic district.

Approval by the LPC is required for the following types of work affecting designated properties:

- New construction or demolitions
- Exterior alterations
- Interior alterations when:
 - A DOB permit is required
 - Changes will affect the exterior of the building
 - The interior has been designated a landmark by the LPC

Work that does not Require LPC Approval

The following work does not generally require LPC approval:

- Heat systems/boilers
- Sidewalk sheds
- Temporary fences
- Hoists
- Cranes and derricks
- Scaffolds
- Rubbish compactors and chutes
- Emergency generators
- Dumbwaiters
- Elevator work involving existing equipment, shafts and machine rooms
- Removal of interior partitions
- Interior sprinkles and fire suppression systems
- Standpipes
- Interior plumbing
- Interior gas piping
- Interior electrical work (exception signage in windows)
- Sewer connections
- Fire alarm systems
- Asbestos removal



LANDMARKS PRESERVATION COMMISSION

305 BROADWAY, NEW YORK, N. Y. 10007
Tel: 566-7577

December 31, 1975

Department of Buildings
Housing and Development Administration
100 Gold Street
New York, N. Y. 10038

Attention: Mr. Irving Minkin, P.E.

Re: BUILDING NOTICE APPLICATIONS: Supplement to
Directive No. 19/71 dated October 29, 1971

Dear Mr. Minkin:

This letter revises our letter of December 19, 1975 regarding the Departmental Memorandum of November 24, 1972 of the Housing and Development Administration, Department of Buildings, as prepared by Thomas V. Burke, Director of Operations.

Following is a list of the examples of minor construction work acceptable on BN applications which should be referred to the Landmarks Preservation Commission for approval.

- HDA # -
1. Air Conditioning Roof Top Equipment and Roof tanks.
 2. Awnings or Canopies.
 4. Brick Veneering of Frame Buildings
 6. Candy and Newsstands and Portable Stands.
 11. Curb Cuts (Existing Lawful Uses Requiring Vehicular Access).
 14. Erection of Chimneys; Stoop and Porch Repairs.
 15. Erection of Interior Non-bearing Partitions, Except Where Such Partitions are Erected to Create New Stores.
 16. Fences.
 17. Fire Damage (Restoration). (Refer to Directive 1/1972).
 18. Fire Escapes.
 19. Hung (Suspended) Ceilings.
 20. Party Wall Openings.
 21. Radio Antennas (Towers).
 24. Retaining Walls.
 27. Sealing of Exterior Openings.
 29. Sidewalk Cafes
 30. Signs.
 33. Store Fronts.
 35. Tenant Layouts. (On street floors only).
 38. Ventilation Systems.

1140

CHAIRMAN: REV. WILLY MUNS SPATT / VICE-CHAIRMAN: ALONIS RECHTUM, JR.
EDWARD A. AMER / MARGARET H. TUFT / ELIZABETH GALT / HANNAH LEE HANAUERSTEIN / WARREN W. GIBB
STEPHEN S. LAMB / HAWTHORNE E. LEE / HENRY J. LUDMAN, JR. / PAUL A. PARKER, JR.

- 2 -

The following numerical items do not require our approval:

- HDA # -
3. Boiler Room Enclosures.
 5. Builders' Shanties, Hoists and Trench Chutes.
 7. Cellar Kitchens (Must be assigned to Senior Plan Examiners only).
 8. Cellar Stair Enclosures.
 9. Compactors and Upgrading of Incinerators.
 10. Cranes & Derricks.
 12. Dumbwaiter (Sealing of Shafts); Not new installation.
 13. Elevators (Work involving Existing Equipment of Shaft or Machine Room); Not a new installation.
 22. Refuse Chutes.
 23. Removal of Interior Non-bearing Partitions.
 25. Sanitary Facilities (In Existing Floor Area).
 26. Scaffolds.
 28. Sidewalk Bridges, Chutes, Hoist Towers.
 31. Soundproofing and Interior Finishing of Walls and Ceilings.
 32. Spray Booths.
 34. Temporary Tents, Bazaars, Carnivals and Banners.
 39. Washers, Dryers (Installation of).

Thank you very much for your cooperation,

Sincerely yours,

Margaret H. Tuft
Margaret H. Tuft
Director of Preservation

HT/da

1141

The LPC has one application form for all types of work



Municipal Building
 1 Centre Street, 9th Floor North
 New York, NY 10007
 Tel: 212-669-7700

APPLICATION FORM

FOR WORK ON DESIGNATED PROPERTIES

This application will not be deemed complete until it is so certified by the Landmarks Preservation Commission. An application consists of an application form and the materials necessary to describe the project fully. If being submitted in response to a Warning Letter or Notice of Violation, please enter the number below. Please print or type all items. If not applicable, mark N.A.

STAFF USE ONLY	LPC DOCKET # _____ DATE RECEIVED _____	STAFF _____
	ACTION <input type="checkbox"/> PMW <input type="checkbox"/> CNE <input type="checkbox"/> COFA <input type="checkbox"/> REPORT <input type="checkbox"/> OTHER: _____	WORK TYPE _____

DESIGNATED PROPERTY

ADDRESS _____ FLOOR OR APARTMENT # _____

BOROUGH _____ BLOCK _____ LOT _____ ZONING _____

WARNING LETTER / NOV # (IF WORK IS TO ADDRESS A VIOLATION) _____

INTERIOR ALTERATIONS
 ROOFTOP OR REAR YARD ADDITION: VISIBLE? _____ (YES OR NO)
 SIDEWALK OR STREET PAVING

RESTORATION WORK
 AWNINGS / SIGNAGE / LIGHTING
 BARRIER-FREE ACCESS

REPLACE WINDOW(S) OR DOOR(S)
 NEW BUILDING
 SIDEWALK CAFE

THRU-WALL / WINDOW AIR CONDITIONING EQUIPMENT
 STOREFRONTS
 TEMPORARY INSTALLATION(S)

ROOFTOP OR REAR YARD HVAC
 NEW WINDOW OR DOOR OPENING
 OTHER: _____

IS THIS APPLICATION TO AMEND OR EXTEND AN EXISTING PERMIT? NO YES, DOCKET # _____

IS THIS APPLICATION A REQUEST FOR A NOTICE OF COMPLIANCE [SIGN OFF]? NO YES, DOCKET # _____

IS THERE AN EASEMENT ON THE PROPERTY? NO YES (PLEASE PROVIDE CONTACT INFORMATION FOR EASEMENT HOLDER ON SEPARATE SHEET)

ARE YOU APPLYING TO ANY OF THE FOLLOWING? DEPT. OF BUILDINGS CITY PLANNING COMM. BOARD OF STANDARDS AND APPEALS

TENANT / LESSEE / CO-OP SHAREHOLDER

NAME, TITLE, AND FIRM (IF APPLICABLE) _____

ADDRESS _____ CITY, STATE, ZIP CODE _____

PHONE (DAY) _____ FAX _____ EMAIL ADDRESS _____

ARCHITECT / ENGINEER / CONTRACTOR (IF APPLICABLE)

NAME, TITLE, AND FIRM (IF APPLICABLE) _____

ADDRESS _____ CITY, STATE, ZIP CODE _____

PHONE (DAY) _____ FAX _____ EMAIL ADDRESS _____

PERSON FILING APPLICATION (E.G., EXPEDITOR, ATTORNEY, MANAGING AGENT)

NAME, TITLE, AND FIRM (IF APPLICABLE) _____

ADDRESS _____ CITY, STATE, ZIP CODE _____

PHONE (DAY) _____ FAX _____ EMAIL ADDRESS _____

I am the owner of the above-listed property. I am familiar with the work proposed to be carried out on my property and give my permission for this application to be filed. The information entered is correct and complete, to the best of my knowledge.

OWNER For applications for work on or in a cooperative or condominium building, the "owner" is the Group, Board or Condominium Association. An officer of the Group, Board or Condominium Association must sign this application. Please consult the Instructions for Filing for additional information.

NAME, TITLE, AND FIRM (IF APPLICABLE) _____

COMPANY, CORPORATION, OR ORGANIZATION (IF APPLICABLE) _____

ADDRESS _____ CITY, STATE, ZIP CODE _____

PHONE (DAY) _____ FAX _____ EMAIL ADDRESS _____

SIGNATURE

SIGNATURE OF OWNER _____ DATE _____

Note: Section 25-317 of the Administrative Code of the City of New York makes it a punishable offense to willfully make false statements on this application.

1. **Certificate of No Effect on Protected Architectural Features:** issued when the proposed work does not affect the protected features of a designated building and a *DOB permit is required*
2. **Permit for Minor Work:** issued for work on protected architectural features of a designated property when a *DOB permit is not required*
3. **Certificate of Appropriateness:** issued after a public hearing for work that affects the protected features of a building and a *DOB permit is required*

Prior to filing at the LPC, the LPC may require:

- A DOB application number. This applies to NB (new building), Alt-1 (enlargements), Alt-2 (minor enlargements) applications. Other types of applications may be filed with LPC prior to filing with the DOB.
- A DOB objection sheet for NB and Alt-1 (enlargement) and Alt-2 (minor enlargements) applications
 - ✓ All zoning objections must be satisfied at the DOB

Prior to issuing a DOB permit, the DOB requires:

- LPC approved and perforated drawings
- Either a Certificate of No Effect Permit or Certificate of Appropriateness Permit from the LPC

- An LPC inspection and sign-off is required when the LPC issues a Certificate of Appropriateness Permit
- Applicants are required to submit the LPC sign-off to DOB
- The LPC signoff can be waived by DOB when LPC issues a “Certificate of No Effect”

Technical Policy & Procedure Notice #10/88:

- Procedures for the avoidance of damage to historic structures resulting from adjacent construction when subject to controlled inspection under 1968 AC 27-724, which are [similar to the special inspections of 2008 BC 1704.19](#). Only the BC should be used for special inspection requirements.
- Adjacent structure is defined as contiguous to or within a lateral distance of 90-feet from a lot under development or alteration to a city landmark , landmark district or National Register of Historic Places listing
- Monitoring program shall include subsurface conditions, horizontal and vertical movement, survey measurements, seismographic test data, photos and controlled inspection report



DEPARTMENT OF BUILDINGS
EXECUTIVE OFFICES
60 HUDSON STREET, NEW YORK, NY 10013
CHARLES M. SMITH, Jr., R.A., Commissioner
312-8100

Issuance #109

**TECHNICAL
POLICY AND PROCEDURE NOTICE # 10/88**

TO: Borough Superintendents
FROM: Irving Polsky, P.E., Executive Engineer *IP*
DATE: June 6, 1988
SUBJECT: Procedures for the Avoidance of Damage to Historic Structures Resulting from Adjacent Construction When Subject to Controlled Inspection by Section 27-724 and for Any Existing Structure Designated by the Commissioner.

BACKGROUND: Approval of the Landmarks Preservation Commission is required before any changes may be made to protected features of any individually designated landmark or properties within historic districts. A listing of these was furnished to each Borough. Building Code Section 27-166 (C26-112.4) serves to protect historic structures by requiring that all lots, buildings and service facilities adjacent to foundation and earthwork areas shall be protected and supported in accordance with the requirements of Building Construction Subchapter 7 (Article) and Building Code Subchapters 11 and 19 (Article). The intent of these procedures is to supplement the latter and require a monitoring program to reduce the likelihood of construction damages to adjacent historic structures and to detect at an early stage the beginnings of damage so that construction procedures can be changed.

It is also intended that these procedures shall be used to safeguard any existing structure in accordance with Section 27-127 (C26-105.1) if deemed necessary by the Commissioner.

DEFINITION: ADJACENT HISTORIC STRUCTURE. A structure which is a designated New York City Landmark or located within an historic district, or listed on the National Register of Historic Places and is contiguous to or within a lateral distance of ninety feet from a lot under development or alteration.

SUPPLEMENTARY PROCEDURES: The architect or engineer designated for Controlled Inspection of Construction Required for or Affecting the Support of Adjacent Properties or Buildings required by Section 27-724 (C26-1112.6) shall institute a monitoring program for adjacent historic structures and for any existing structure designated by the Commissioner. The following supplementary procedures shall be considered and adhered to:

1.0. Subsurface conditions and effects that might influence performance of structures.

Subsurface Conditions	Effect that Might Influence Performance of Structures
1.1. Large obstructions in the fill	Vibrations during excavating and pile driving operations
1.2. Shallow water table	Drawdown of water table and loss of ground during excavation operations
1.3. Previous layers within and under the hardpan stratum	Loss of ground during excavation operations
1.4. Dense nature of hardpan	Vibrations during excavating and pile driving operations
1.5. Boulders	Vibrations during pile driving and/or blasting operations
1.6. Bedrock	Vibrations during pile driving and/or blasting operations

PAGE 3

2.0. Construction vehicular traffic and construction equipment movement which might increase existent vibration levels.

3.0. Establishment of a peak particle velocity design criteria during the driving of sheeting or blasting operations.

3.1. The maximum permissible peak particle velocity shall be 0.5 in./sec. (13mm/sec.) with no distance criterion.

3.2. The maximum permissible peak velocity shall be reduced if movements or cracking is detected.

3.3. Maintaining accurate records, including the location of the blast, total explosive weight in the blast, maximum explosive weight per delay (or the explosive weight in each blast hole and the designation of the delay cap used in each hole).

4.0. Establishment of criteria for any temporary retaining wall structure.

4.1. The maximum permissible horizontal and vertical movement of the temporary retaining wall system shall be designed in accordance with generally accepted engineering practice.

5.0. Establishment of movement criteria for the historic building.

5.1. The maximum permissible vertical and horizontal movement shall be $\frac{1}{2}$ in. (6mm.).

6.0. Establishment of criteria for ground water.

6.1. The lowest water level shall be determined by periodic ground water monitoring at observation wells, seasonably adjusted and designated as the "low datum" prior to the start of excavation operations.

6.2. Limitation on water drawdown shall be considered in the criteria for the retaining system.

7.0. Establishment of a monitoring program.

8.1. A licensed surveyor shall be retained to monitor movements and tilting of the historic buildings and the temporary retaining system.

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PAGE 4

8.1.1. Settlements of the street and of selected points on the ground are to be monitored.

8.1.2. Survey measurements shall be made a minimum of two times per week.

8.1.3. Optical survey readings shall be taken to an accuracy of ± 0.01 ft. (3mm.).

8.2. "Telltale" shall be installed across existing cracks and in other sensitive areas to permit changes in crack width to be measured.

8.2.1. A micrometer sensitive to 0.001 in. (0.003mm.) shall be used to monitor crack widths at least once a day.

8.3. Water levels in observation wells are to be monitored at least twice a day for the period that active dewatering is in progress.

8.4. Requirements for seismographic test data. -

8.4.1. Obtain seismographic test data showing the vibration transmission characteristics of the area around the blasting site.

8.4.2. Vibrations from the driving of sheet piles, from excavating and blasting, shall be monitored with a portable seismograph placed adjacent to or within the historic structure closest to the vibration source.

8.5. Requirements for photographs. -

8.5.1. Photographs of the affected historic buildings of sufficient clarity to view the "telltale" shall be taken weekly during construction.

8.5.2. The photographs shall be identified on the back with the building address, direction, date, time and photographer.

9.0. Controlled Inspection Report. -

9.1. Records of the monitoring program shall be retained.

9.2. Controlled inspection reports as to the monitoring program shall be submitted to the department per amendment on B Form 10E within thirty days of completion of the excavation.

2416

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9.2.1. The report shall include a set of photographs taken pursuant to Item 8.8.

REFERENCES: "The Avoidance of Damage to Historic Structures Resulting from Adjacent Construction", Melvin I. Esrig and Andrew J. Ciancia, American Society of Civil Engineers, Preprint 81-052; "Effects of Blasting Vibrations on Buildings and People", John F. Wiss, P.E., Civil Engineering-ASCE - July 1968.

IP/gt
cc: Distribution

2417

Operations Policy & Procedure Notice #19/88 & subsequent DOB Memo 7/20/1988:

1. LPC must notify DOB whenever a new historic district or individual building is calendared. (Often a property is designated as calendared in BIS, under “Landmark Status”)
2. Starting from the date an application is filed, the LPC has 40-days to respond to consider the case and calendar the premises, if necessary to vote on the property’s designation. **DOB must wait for a decision from the LPC.**

Operations Policy & Procedure Notice #19/88 & subsequent DOB Memo 7/20/1988 continued.....:

3. If within 40-days the building or district is landmarked, DOB will notify the applicant to obtain LPC approvals
4. If LPC decides not to designate, the LPC shall notify the DOB within the 40-day period
5. If LPC does not respond within the 40-day period, DOB will continue with the review and approval process
6. Please note, if LPC designates a new district or building after the 40th day, but the application is still under DOB review, the applicant will be notified by DOB to obtain LPC approvals



DEPARTMENT OF BUILDINGS
EXECUTIVE OFFICES
60 HUDSON STREET, NEW YORK, NY 10013
CHARLES M. SMITH, Jr., R.A., Commissioner
312-8100

Issuance # 116

**OPERATIONS
POLICY AND PROCEDURE NOTICE # 19/88**

To: Distribution
From: Fredric J. Pocci, P.E., Assistant Commissioner
Date: July 6, 1988
Subject: Landmark District Notification Procedures

Superseded: Operations Policy & Procedure Notice # 13/88

Purpose:

Effective immediately, this procedure establishes a formal process for the timely notification of the Landmarks Preservation Commission (LPC) of Department of Buildings (DOB) applications to alter structures in calendared LPC historic districts and for individually calendared buildings.

Specifics:

At the time of the index search for a NB, Alteration, BN or Demolition Application, the index clerk will check the computer records to determine if the premises has been calendared by the LPC. No manual check needs to be performed unless there are geo-processing problems. Maps of all calendared districts will be provided by the LPC to each borough office.

If it is determined by the index clerk that the premises is calendared by the LPC, the clerk will stamp the folder "calendared by LPC". After the applicant pays the fees and files the plans with the Cashier, a designated clerk will review all the files daily to refer appropriately noted files to the LPC. For Demolition Applications, the LPC is to be notified when all required approvals have been obtained.

If the premises is calendared, immediate notification will be sent by the designated clerk to the Director of Preservation, or designee, at the LPC. The Specification Sheet will be sent to the LPC as the basis of notification.

The date of the telephone notification and the name of the LPC staff member contacted shall be noted on the plan folder and initialed. Upon implementation of the Building Information System (BIS), this information and date shall be appropriately entered into the system. However, until that time, a manual log should be kept listing the notification date, application number, premises address, date that the 40 day notification period ends, the response from LPC (if any) and the date that the response was received.

The LPC will have 40 calendar days from the date the application was filed to consider the case and calendar the premises, if necessary, to vote on its designation. If within the 40 days the building is designated as a Landmark or Landmark District immediate notification should be sent to the DOB. DOB will then advise the applicant to obtain the required LPC approvals. If LPC determines not to act on a referred action, it should notify DOB as soon as possible within the 40-day time period. The Chief Engineer/Plan Examiner will ensure that a responsible party in the Plan Examination Office will act as a liaison with the designated LPC contact in the Office of the Director of Preservation. However, all notifications should be confirmed in writing and sent via CMS or omni-fax transmittal (when available) to the attention of the Chief Engineer/Plan Examiner.


The LPC will notify the DOB whenever a new historic district or individual building is calendared. DOB will review its records to determine if there are any NB, Alteration or Demolition applications currently being reviewed. If there are, the aforementioned notification process will be implemented and LPC will have 40 days to respond.

At the end of the 40 day period, if no response is received from the LPC, DOB will continue with the review and approval process.

If after the 40th day the plans are still in the review process and the LPC designates the premises as a Landmark the applicant must be referred to the LPC to obtain the necessary approvals.

If an amendment to the plans that were originally approved by the DOB is filed, the notification procedures must be followed as if the amendment were a new application.

FJP:mh

 DEPARTMENT OF BUILDINGS
EXECUTIVE OFFICES
60 HUDSON STREET, NEW YORK, N.Y. 10013
CHARLES M. SMITH, Jr., R.A., Commissioner

FREDRIC J. POCCHI, P.E.
Assistant Commissioner/Operations

MEMORANDUM

TO: Distribution

FROM: Fredric J. Pocchi, P.E., Assistant Commissioner *FJP/HG*

DATE: July 20, 1988

SUBJECT: Landmarks 40-Day Notification

The following are updates and reminders regarding Operations Policy and Procedure Notice #19/88:

When an application is filed for a building in a calendared historic district or an individually calendared building, a call should immediately be placed to either:

Lucia Koffman - (212) 553-1139
or Juanita Bryant - (212) 553-1184

Immediately after calling, a copy of the specification sheet for the job should be faxed to the Landmarks Preservation Commission (LPC) at fax # (212) 964-2409.

If a building is individually calendared or within a calendared district, no approval of plans may be granted until either:

1. The 40-day notification period has elapsed and the LPC has not designated the building.
- or 2. The LPC notifies the Department of Buildings in writing that they do not plan to designate the building at this time.
- or 3. The LPC has issued a letter of no objection to the proposed work.

FJP:sr

Distribution:

Stewart D. O'Brien
Lenore Norman
Al Curcio
Larry Ferlazzo
Deputy Borough Superintendents

- Established in 1898 as the **Art s Commission**, in July 2008, the agency was **renamed as the Design Commission**
- The Commission is composed of 11 members, including an architect, landscape architect, painter, sculptor and museum and public library representatives
- The Design Commission reviews works of art, architecture and landscape architecture, both public and private, and art proposed *on or over* city-owned property
- Projects include:
 - Museums and libraries
 - Bridges
 - Parks and playgrounds
 - Lighting and streetscape

The clients & building/property owners are usually city agencies

**PUBLIC DESIGN COMMISSION
OF THE CITY OF NEW YORK**

APPLICATION FORM

	CERTIFICATE
	FILE
	EXHIBIT

Please do not write above this line.

THE DESIGN COMMISSION reviews permanent (defined as one year or more) structures, both public and private, as well as works of art that are proposed on or over City-owned property, including property that is leased by the City to another entity. All projects must be listed on the transmittal of the appropriate agency(ies), and all submission materials must be submitted on the deadline and include a Landmarks Preservation Commission advisory report, if applicable. Incomplete and/or late submissions will not be calendared. Each design proposal—whether art, architecture and bridges, landscape architecture or streetscape design—has general and specific submission requirements. Additional information may be requested. Submission Guidelines and a Calendar of Meetings, including Submission Deadlines, are available at www.nyc.gov/designcommission.

CHECK THE CATEGORY THAT BEST DESCRIBES YOUR PROJECT:

- | | |
|--|---|
| <input type="checkbox"/> Work of art: Percent for Art | <input type="checkbox"/> Streetscape: Distinctive |
| <input type="checkbox"/> Work of art: Gift | <input type="checkbox"/> Sidewalk and/or Light Fixtures |
| <input type="checkbox"/> Work of art: Relocation and/or Conservation | <input type="checkbox"/> Streetscape: Newsstand |
| <input type="checkbox"/> Architecture and Bridges | <input type="checkbox"/> Streetscape: Other |
| <input type="checkbox"/> Landscape Architecture | <input type="checkbox"/> Signage |

PROJECT TITLE, INCLUDING LOCATION/FULL STREET ADDRESS:

Please attach a brief statement that describes the project scope (see Submission Guidelines).

CITY COUNCIL DISTRICT #: _____ COMMUNITY BOARD DISTRICT(S) #: _____

Date(s) of Community Board review(s): _____

Please attach the Community Board(s) resolution(s).

ESTIMATED PROJECT COST: _____

CHECK THE DESIGN COMMISSION ACTION REQUESTED:

- | | |
|--|---|
| <input type="checkbox"/> Courtesy Review | <input type="checkbox"/> Preliminary Review |
| <input type="checkbox"/> Advisory Review | <input type="checkbox"/> Final Review |
| <input type="checkbox"/> Conceptual Review | <input type="checkbox"/> Preliminary and Final Review |

APPLICATION FORM

PERCENT FOR ART: Please note that for all architecture and bridges, landscape architecture and streetscape projects, the Percent for Art component should be submitted for conceptual review when the project is submitted for preliminary review.

If there is not a Percent for Art component, please provide an explanation below.

TREES: Total number of new trees: _____ Total number of tree removals: _____
Please attach documentation of Division of Forestry, Horticulture and Natural Resources Group approval, if applicable.

For **Distinctive Sidewalk applications**, please attach a copy of the Builder's Paving Permit receipt from the Department of Transportation or Department of Buildings.

ARCHITECT, LANDSCAPE ARCHITECT, ARTIST, ENGINEER, DESIGNER OR CONSERVATOR:

Name

Firm

Address

City, State, Zip Code

Telephone, Fax, Email

OWNER OF PRIVATE STRUCTURE OR DESIGNATED REPRESENTATIVE, IF APPLICABLE:

Signature _____ Date _____

Name

Address

City, State, Zip Code

Telephone, Fax, Email

COMMISSIONER OR DESIGNATED REPRESENTATIVE OF CITY AGENCY WITH JURISDICTION OVER PROPERTY:

Signature _____ Date _____

Name

Title

Agency

If two or more agencies have jurisdiction, please attach additional signatures with the signatory's name, title and agency affiliation, as needed.

1. Submission requirements vary by type of project
2. The City agency that has jurisdiction over the property on which the project is located must make the formal submission to the Design Commission
3. The DOB automatically enters “Required Items” in BIS related to the Design Commission approval & sign-off. If other agencies are involved, such as the LPC, the applicant must also coordinate with such agencies.
 - ✓ DOB “prior to approval” Required Item is satisfied by providing DOB with drawings perforated by the Design Commission
 - ✓ DOB “prior to sign-off” Required Item is satisfied by providing DOB with color photographs perforated by the Design Commission

NYC Landmarks Preservation Commission:

<http://www.nyc.gov/landmarks>

http://www.nyc.gov/html/lpc/html/faqs/faq_permit.shtml

(frequently asked questions)

NYC Design Commission:

<http://www.nyc.gov/html/artcom/html/home/home.shtm>

Thank You!

SIGNS REGULATIONS AND ENFORCEMENT OVERVIEW

Edward J. Fortier, Jr
Executive Director

Code and Zoning Representative
Training Module 9.12

- A “sign” is any outdoor writing, picture, emblem, flag, or figure used to announce, direct attention to, or advertise.
- Signs include those that are hung, pasted, painted, affixed, erected, tied to or otherwise represented on any fixture, building, or structure.
- Signs are subject to the:
 - Building Code; and
 - Zoning Resolution

Sign applicants may be only PEs, RAs and Licensed Sign Hangers.

Accessory Sign (a.k.a. “business sign”)

- A sign on the same zoning lot as the business and which refers only to that business.
- The sign is clearly incidental and customarily connected to that lot.
- The sign has the same ownership as the lot or is operated to the benefit of the business owner.

Accessory Storefront Sign

Use indicated on sign is located on the
Same zoning lot



Advertising Sign

- Directs attention to a business, profession, commodity, service or entertainment conducted, sold or offered elsewhere than upon the same zoning lot.
- NOT accessory to a use located on the zoning lot.



All Outdoor Advertising Companies doing business in the city of New York must register with DOB.

Additionally, all advertising signs within view and must be individually registered:

- Within 900 ft. of an Arterial; or
- Within 200 ft. of a park of ½ acre or more

Standard Penalties are \$10k per violation

- Multiple violations related to various code and zoning provisions are issued.
- Mitigation by removing the illegal sign before the first hearing reduces each penalty to \$5k.
- Default results in penalties of \$25k per violation.
- The penalty for the repeated installation of illegal signage is \$25k per violation.
- Where signs are not removed, DOB may pursue removal by filing a petition at OATH.

Illegal Advertising Sign





DOB has and continues to pursue professionals for inappropriate sign applications.

- Often the use is claimed to be accessory, yet no information as to sign copy or text is provided.
- Many times other signs on the lot are not included in the application for purposes of total surface area on the lot.

Once identified, additional applications by the same professional are also examined.

Revocations and false filings are the basis for disciplinary action.

Projected Illuminated Signs

- Signs are created by projecting advertisements onto the sides of buildings.
- As with all signs, these must comply with zoning, however they often appear in districts where advertising signage is prohibited.
- There is no exception due to the non-structural or temporary nature.



Self-Adhesive Storefront Signs

- These signs must also comply with zoning and code, but generally appear in districts where advertising is not permitted.
 - There is no exception for empty stores or temporary use.
- Hundreds of violations have been issued and successfully prosecuted for this type of signage.
- Stop Work Orders are also issued and posted to the face of the signs.



Painted Signs

- The sign painting industry often promotes the misconception that painted signs are exempt from zoning.
- In fact, the signs are exempt only from the requirement of a structural permit.
- All zoning regulations apply.



- But for very limited exceptions allowing for accessory and required signs on sidewalk sheds, no signs or depictions of any kind are allowed on temporary protective structures.
- Previously, signs on construction fences were treated as anonymous vandalism, for which the property owner was not prosecuted.
- However, it became clear that this was an organized advertising market offered by several outdoor advertising companies.



To correct sign violations, the ordinary forms should be submitted to the Administrative Enforcement Unit, plus:

- Photos showing sign removed; and
- A receipt or affidavit specific to that violating sign and location, from the licensed sign hanger who removed the sign.

Thank You!