



City of New York
DEPARTMENT OF
HOUSING PRESERVATION AND DEVELOPMENT
100 GOLD STREET, NEW YORK, N.Y. 10038

J-51 Filing Representative's Handbook

for

Obtaining a "J-3" and a Copy of the Certificate of Occupancy ("C of O")

INTRODUCTION

To qualify for HPD's J-51 Tax exemption/abatement program, filing representatives or applicants need to obtain certain documents from the Department of Buildings (DOB) depending on the type of rehabilitation work for which J-51 tax benefits will be granted (i.e. permitted vs. non-permitted work). The J-51 applicant, not the Department or the J-51 Unit, is responsible for obtaining this documentation. The documents include a copy of the J-3 form letter and/or a certified copy of the Certificate of Occupancy for the project. The documentation requirements for permitted vs. non-permitted work are explained below:

NON-PERMITTED WORK:

HPD will issue a J-3 form directly for all non-permitted work. For work that does not require a permit from the Department of Buildings, filing representatives or applicants must do the following:

1. Obtain a copy of the Department of Building's index screen for reference. If there are no outstanding violations, skip to Step #3.
2. Get any outstanding Notices of Violation on the index screen dismissed.*
3. When all violations are dismissed, get an updated index screen print-out and have it certified as an official DOB record. There is a fee per page for certifying any document.
4. Submit the certified DOB index screen with the dismissal letter(s) or card(s), if any, to the J-51 Office for review. The office will issue the J-3 directly.

PERMITTED WORK

DOB will issue a J-3 for rehabilitation work requiring approvals or permits from the Department of Buildings. To obtain a J-3, filing representatives or applicants must do the following:

1. Obtain a copy of the index screen for reference, If there are no outstanding violations, skip to step #3.
2. Get any outstanding Notices of Violation on the index screen dismissed.*
3. When all violations are dismissed, get an updated index screen print-out and have it certified as an official DOB record. There is a fee per page for certifying any document.

* Certain violations, such as violations of Local Law 10/81, are not immediately removed from the Department of Building's computer system. In these instances, the applicant or filing representative should obtain a *dismissal letter* or card from the appropriate DOB division. Also remember to ask the person who completes the dismissal letter or card to date and sign your certified index screen next to the violation being dismissed.

4. Verify sign-offs on all applications. Permitted work must have an approved application which predates each permit. A J-3 will not be issued if all applications are not signed-off.
5. Make an appointment to submit all documentation to the J-3 processor^{**}. During particularly busy periods, the borough offices of the Department of Buildings will try to provide additional hours to accommodate applicants and filing representatives. However, walk-in service is not guaranteed and it is always advisable to make an appointment beforehand. Phone numbers for the J-3 processors are listed in Exhibit 2. If any documentation is missing or incorrect, or if there are still outstanding violations indicated on the computer print-out, please be advised that the J-3 will not be issued. If you are denied a J-3 after your appointment with the Department of Buildings, make the corrections as indicated by the J-3 processor. When the corrections have been made, make an appointment for a second review. Remember that you will have to re-submit all previously submitted documents. If there is a serious lag between appointments with the J-3 processor, you should obtain an updated print-out of the index screen to check that no new violations have been issued to the property.
6. Submit a copy of the approved J-3 to the J-51 Office for review.

Note: The Department of Buildings does not keep approved J-3's on file. Therefore, if you lose or misplace a completed J-3, you must repeat the appointment process and re-submit all documents.

OBTAINING A COPY OF THE INDEX SCREEN

For Permitted and Non-Permitted Work. The index screen available at the Department of Buildings is a part of the property's profile. It lists both the permit filings and violations for the property. Exhibit 1 provides an example of an index screen for a specific address, 568-572 Grand Street in Manhattan (aka, 473 FDR Drive)

Public access terminals are located at each borough office, where you may obtain a print-out of the Index Screen directly from the Department of Building's computer. In order to access this information, you must know the property address, tax block and lot. There is no charge to obtain a copy. Such a copy, however, would not be a certified record.

Please also be advised that the Department of Buildings also provides 24-hour fax-back service for this index screen by calling 311. In order to access this information, you must know the property address, tax block and lot. There is no charge to obtain a copy. Such a copy, however, would not be a certified record.

If you need a certified copy of the print-out, there is a fee. You can obtain certified copies of the Data Entry and Research (DEAR) section in each borough office. If you have a problem, see the Borough Manager.

^{**} The J-3 processors are listed by borough in Exhibit 2.

GETTING OUTSTANDING VIOLATIONS LISTED ON THE INDEX SCREEN DISMISSED

All the information you need to get the outstanding Notices of Violation listed in the index screen dismissed is provided on the print-out. The coded numbers and letters used on the index screen are explained below:

- The prefix V* or VEC* means the violation has already been dismissed. That is, the violation is not outstanding. Notices of violation with the prefix V*/VEC* require no action on your part. You want all the Notices of Violation listed on your index screen to have either the prefix V* or VEC*.
- The prefix V, VP, or VEC means the violation is outstanding. That is, the violation needs to be dismissed. The information provided below explains how to do this.

Number codes after the V, VP or VECB are explained below:

- The first six (6) numbers provide the month, day and year the violation was issued.
- The letters immediately following the data provide the type of violation. The letter key code is:

E= Elevator Violation
PA= Public Assembly Violation
C= Construction Violation
P= Plumbing Violation
LL= Local Law Violation
B= Boiler Violation

The term "Notice of Violation" is used here to describe the legal instrument an inspector issues to a respondent notifying him or her that there are conditions which violate a code or a provision of the New York City Zoning Resolution. There are two major types of "Notice of Violations":

1. Department of Buildings (DOB) Notice of Violation
2. Environmental Control Board (ECB) Notice of Violation

The index screen will tell you if the violation is an DOB or ECB violation. For example, a violation number containing the letters VECB means the violation is an ECB violation, while a violation with the prefix VP means ECB violation is pending or waiting to be served on the respondent. Violation numbers with a V prefix are DOB violations.

If you have a DOB Notice of Violation shown on the index screen, go to the appropriate division within the DOB borough office. There, you can identify the nature of the violation and obtain specific instructions on how to get the violation dismissed. The violation number codes on the index screen tell you where you need to go. For example, if the

violation number on the index screen has a P following the date, this is an indication of a plumbing violation, so you will need to go the Plumbing Division to take a look at the violation. You can obtain a copy of the violation there for a fee. **Exhibit 2** provides a Telephone Directory of DOB staff persons who can help you.

If you have an ECB Notice of Violation shown on the Index Screen, go to the Administrative Enforcement Unit (AEU), 280 Broadway, New York, NY 10007. They will provide you with specific instructions on how to get the violation(s) dismissed.

VERIFYING THE SIGN-OFF(S) ON ALL PERMIT APPLICATIONS

For Permitted Work Only. There are three steps involved in verifying sign-offs on all DOB applications pertaining to the work described in the J-51 application:

1. On the day of your appointment with the J-3 processor, go to the Plan Desk within the appropriate borough office and obtain the application folder for work related to that claimed on the J-51 application. You will have to provide the application type and number, the address, tax block and lot. You will also have to leave your driver's license or another acceptable form of picture identification at with Plan Desk personnel as collateral for the folder.
2. Bring the application folder to the J-3 processor to prove that all permitted work was completed and that each permit application has been signed-off.
3. Return the application folder to the Record Room after the J-3 review appointment is completed.

OBTAINING A COPY OF THE CERTIFICATE OF OCCUPANCY ("C of O")

For Permitted Work Only. There are three steps involved in obtaining a copy of the C of O:

1. Obtain a copy of the Index Screen to determine the latest C of O number and latest issue date of the C of O.
2. Go to the appropriate section of each borough office where the C of O records are kept.
3. Pay a fee for a certified copy of the C of O.

IMPORTANT REMINDER

Remember not to schedule or attend an appointment with the J-3 processor until you have obtain all the required documentation. If not, your request for J-3 will not be approved.

EXHIBIT 1

EXAMPLE OF A DEPARTMENT OF BUILDINGS INDEX SCREEN (CERTIFIED)

11/14/97 PROPERTY PROFILE OVERVIEW
473..... F D R DRIVE..... 1 MANHATTAN

177/97
BISPIQ70
10002 BIN# 1900268

HEALTH AREA : TAX BLK: 321..
CENSUS TRACT: TAX LOT: 1....
COMMUNITY BD: CONDO :
MULTI STRUCT: CUI NO :

===== DOB SPECIAL PLACE NAME : 24 PROPERTY RECORD(S)
DOB BUILDING REMARKS :
FINANCE OCCUPANCY CODE : D4-ELEVATOR APT LANDMARK STATUS: NO

COUNTS FOR THIS BIN RECORD VERIFIED : YES
ACTIONS : 325 , 0 JOBS/FILINGS (PF4) SPECIAL STATUS :
VIOLATIONS DOB : 41 , 0 OPEN LOCAL LAW : YES
ECB : 2 , 0 OPEN (PF12) SRG : NO
COMPLAINTS : 3 , 0 OPEN (PF11)

ENTER KEY= ACTIONS, (TYPE :) PF 5/6/7 = NEW ADDR/BIN/BLK-LOT
PF 3 = ELEVATORS PF 8 = SOILERS PF 9/10 = BROWSE BIN/BLK-LOT
PF 15 = BROWSE 24 PROPERTY RECORDS PF 16 = ADDTN'L PROPERTY INFO

11/14/97 .366 ACTIONS AT 473 F D R DRIVE MANHATTAN, BISFOCV3
BLCK: 00321 LOT: 00001 PAGE 7

A . V*	3117-03*	V*	7715-47P	V*	4072-51
B . V*	060624E132533	V*	010885E137072	V*	081685ELL1081SS0050
C . V*	081685ELL1081SS0882	V*	010985E137071	V*	111486LL1081SS00474
D . V*	111486LL1081SS00520	V*	041087E13161001	V*	122287E1196103
E . V*	041087E13161002	V*	050887LL1081SS00423	V*	050887LL1081SS00461
F . V*	100187LL16NRF00362	V*	100187LL16NRF00363	V*	060387CA4DZ01
G . V*	122287E1196101	V*	122287E1196102	V*	999999ND FORM081685
H . V*	89-46*	V*	031893LL629114300	V*	031894LL629114300
I . V*	031893LL629114378	V*	031894LL629114378	V*	082995LL629110620
J . V*	082995LL629110675	V*	022789E1179A/02	V*	022789E1179A/01
K . V*	022789E1179A/03	V*	022789E1179A/04	V*	022789E1179A/05
L . V*	022789E1179A/06	V*	022789E1179A/07	V*	022789E1179A/08
M . V*	022789E1179A/09	V*	022789E1179A/10	V*	022889E1179A/02
N . V*	022889E1179A/01	V*	041795LL108100278	V*	030896LL108100191
O . VEC*	012891LL16NRF00298	VEC*	120993C036810		

PF1-PREV SCREEN PF6-REFRESH(ENTR TYPE) COL. NO. TO ZOOM

CITY OF NEW YORK)
COUNTY OF N.Y.) SS: -
This is to certify that this is a
true copy of a record in the custody of
The Department of Buildings of the City
of New York.

11/14/97
Date
Raul R...
Certifying Officer

NOV 15 1997
P 20

EXHIBIT 2

J-3 PROCESSOR INFORMATION

Borough	Address	Telephone #
Bronx	Bronx Department of Buildings 1932 Arthur Avenue — Room 508 Bronx, NY 10457	(718) 579-6923
Brooklyn	Brooklyn Department of Buildings 210 Joralemon & Court Streets — Room 816 Brooklyn, NY 11201	(718) 802-3670
Queens	Queens Department of Buildings 126-06 Queens Boulevard — Room 409 Kew Gardens, NY 11415	(718) 520-3416
Manhattan	Manhattan Department of Buildings 280 Broadway — 6 th Floor New York, NY 10007	(212) 566-0112
Staten Island	Staten Island Department of Buildings 2 Richmond Terrace St. George, S.I. 10301	(718) 816-2313