New York City Department of Buildings

DOB NOW: Safety

Façades Compliance Filing Design Professional (DP) User Manual

This user manual is a dynamic document that is continually edited and updated. Please check the New York City Department of Buildings website to download the most current user manual.

January 4th, 2017

Table of Contents

Introduction 3
DOB NOW: *Safety* Overview 3
DOB NOW: *Safety* Façades Overview 3
DOB NOW: *Safety* Manual Overview 3
Inspection & Report Deadlines 3
Sub-Cycle Diagram 4
Façade Classifications 4
SWARMP Filings 4
General Façade Report Reminders 5
DOB NOW: *Safety* Filing Numbers 5
DOB NOW: *Safety* Terms 6
Accessing DOB NOW: *Safety* and Getting Oriented 8
Access DOB NOW: *Safety* 8
Address Search 10
UNSAFE Notifications – FISP3 15
Dashboard Orientation FISP3 15
Viewing the Filed FISP3 Reports 16
FISP3 UNSAFE – New FISP3 Form 17
FISP3 Form Orientation 17
Form and Property Detailed Information 18
History Trace Button 18
Property Profile Button 19
FISP3 Form 20
Section 1 and 2. Address Search and Location Information 20
Section 3. Owner Information 20
Section 4. Application Information 21
Section 5. Notification Details 21
Section 6. Applicant's Statement 21
Supporting Documents 22
Filing the FISP3 Report 24
Appendix 25

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Work Type Acronyms 25
Legal Acronyms 25
Permit Type Acronyms 26
Building Type Acronyms 26
Professional Acronyms 26

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Introduction

DOB NOW: *Safety* Overview

DOB NOW: *Safety* has been designed to allow Qualified External Wall Inspectors (QEWI), Owners, Registered Architects, and Professional Engineers to interact with the Department of Buildings (DOB) in a more efficient manner. After registering for an account, you can use **DOB NOW: *Safety*** to submit applications, make payments, check the status of an application, amend an application, and make time extension requests. **DOB NOW: *Safety*** will be released in phases throughout 2016 and 2017. In 2018, DOB NOW will be completed and will be the entry point for all DOB transactions.

DOB NOW: *Safety* Façades Overview

To keep buildings safe, owners of properties higher than six and a half stories must have exterior walls and appurtenances, such as balconies, inspected every five years – and they must file a technical façade report with the Department. See NYC Construction Codes §28-302.1 and RCNY §103-04.

Property owners must repair unsafe conditions within 90 days of filing a technical report. Once the work is finished, owners must file an amended report within 14 days.

DOB NOW: *Safety* Manual Overview

This user manual provides step-by-step instructions for a Design Professional to review, electronically sign and track compliance filing applications through **DOB NOW: *Safety***. This manual is organized into sections that correspond to the forms that users complete when they submit an application. Screenshots have been included to guide you through completing and submitting the required forms.

This manual does not represent all the filing requirements for any given application. Every effort is made to continuously update this guide. However, this guide in no way supersedes, or otherwise substitutes for, the guidance provided by the Building Code, Zoning Resolution or any other applicable rules, regulations or policies.

Inspection & Report Deadlines

Façade report and maintenance/repair deadlines are divided into cycles. Cycle 8 began February 21, 2015, and runs through February 21, 2020. The Department has added sub-cycles to make it easier for owners to hire qualified professionals and contractors. The last digit of a building's block number determines if the property falls into sub-cycle A, B, or C.

Sub-Cycle	Last Digit of Block Number	Filing Period/Deadline
A	4, 5, 6, or 9	February 21, 2015 – February 21, 2017
B	0, 7, or 8	February 21, 2016 – February 21, 2018
C	1, 2, or 3	February 21, 2017 – February 21, 2019

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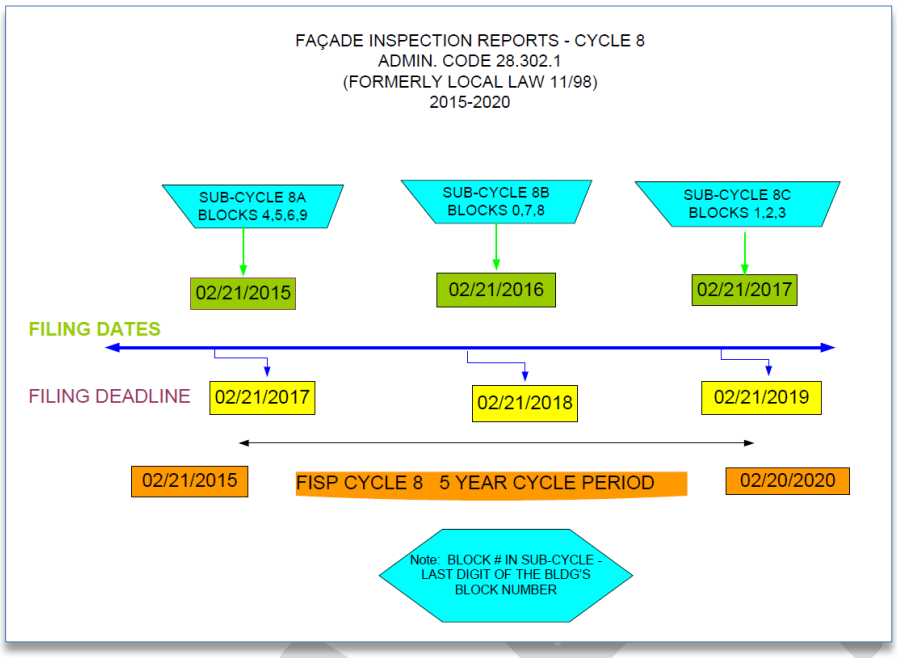
Sub-Cycle Diagram



Façade Classifications

The required façade inspections are called critical examinations and may only be performed by a Qualified Exterior Wall Inspector (QEWI). QEWIs are New York State licensed Professional Engineers (PE) or New York State Registered Architects (RA). After performing an inspection, the QEWI must file a technical report on the condition of the facade, and classify the building in one of three ways:

- **SAFE:** No observed unsafe conditions;
- **SAFE With a Repair and Maintenance Program (SWARMP):** Safe, but requires repair/maintenance; or
- **UNSAFE:** Observed problems/defects that threaten public safety.

With an UNSAFE classification, the owner must immediately install protection, such as a sidewalk shed, construction fence, etc.

SWARMP Filings

- The condition of window air conditioner units may be classified as SWARMP.
- SWARMP filings must include a statement that states “There are no unsafe conditions.”
- If the QEWI believes the condition will deteriorate and become hazardous in less than 12 months, the façade report must be filed as UNSAFE.

If all necessary repairs are not completed before the next cycle, the next report must be filed as UNSAFE.

General Façade Report Reminders

- Buildings with ongoing construction may not be designated as SAFE.
- Provide color photos and a location diagram at the time of filing.
- Include a statement that describes the degree of water retention.
- Submit a certification that repairs identified in the prior cycle have been completed.
- Cite the cause and description of the deterioration.
- Include the QEWI's projected month and year when the defects will become hazardous and cause the façade to be classified as UNSAFE.
- Cite which repairs will need a Department-issued work permit.
- Provide details about appurtenances.
- Include a copy of the Notice of Rejection when resubmitting.

DOB NOW: *Safety* Filing Numbers

Filing Number: In DOB NOW: *Safety*, a filing number is a compliance filing reference: the filing type, control number, sub-cycle and filing iteration type.

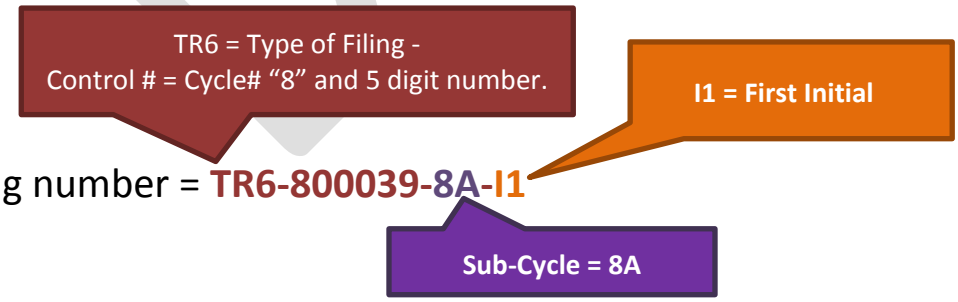
a. **Filing type**: is represented by the first set of characters followed by a dash; i.e. TR6 is for the Technical Report being filed. F1 represents a FISP1 extension request. Examples are as follows:
   a. TR6-800039-8A-I1
   b. F1-80039-8A-001

b. **Control Number**: a control number is a building identifier used by the DOB Facades Unit. The number includes as the first digit the five year filing cycle number, followed by the building identifier.

c. Sub-Cycle: the sub-cycle reference is a two year cycle represented by A, B or C. For example, sub-cycle 8A is the first sub-cycle in cycle 8.

d. **Filing Indicator**: a filing indicator, such as **I** for Initial, **S** for Subsequent or **A** for Amended.

Example:



DOB NOW: *Safety* Terms

The compliance process may result in additional reports and filings.

- Technical Review (TR6):
  - **Initial:** First compliance filing for a cycle / sub-cycle.
  - **Subsequent TR6**: Change of TR6 filing content.
  - **Amended TR6**: After repairs are made for an UNSAFE initial filing.
  - **FISP1 (initial) and FISP2 (additional)**: Time extension requests.
- **FISP3**: QEWI or DP providing an UNSAFE Notification.
- **Height Verification (HV) Inspection Request**: Request for determination of whether the building is subject to DOB compliance (over or under 6.5 stories in height).
- **Partial Shed Removal (PSR) Requests**: Request for removal of a shed affecting commerce, traffic flow or hazard.
- **Sub-Cycle Reassignment**: Request to have multiple properties/filings consolidated into one Sub-Cycle.

DP: A Design Professional is a Professional Engineer or Registered Architect.

QEWI: A Qualified Exterior Wall Inspector is a DOB registered Professional Engineer (PE) or Registered Architect (RA) that has been registered and verified with the DOB Facades Unit.

CSR: A Customer Service Representative is a DOB staff member who provides an Administrative Review of a filing, usually before sending the filing to a Plan Examiner. An Administrative Review for a filing in part consists of making sure the content provided is complete.

ERT: The Emergency Response Team provides rapid response in all emergencies requiring DOB response to ensure that NYC building codes and rules and regulations are being followed.

Plan Examiner: A DOB building Plan Examiner (PE) reviews a filing and determines the condition of each filing. For example, a filing can be rejected, accepted or returned incomplete.

FISP (Façade Inspection & Safety Program) Forms: A reference to either a filing extension or an UNSAFE Notification. In the example of a FISP1 (an initial extension request) and FISP2 (additional extension request), each represents a time extension request for a UNSAFE filing. In the example of a FISP3 (or unsafe Condition) report, the report can be filed by a QEWI or a DP.

Initial Filing: This option will be enabled for a new compliance filing.

Amended Filing: This option will be enabled after an UNSAFE Initial Report has been filed and accepted by DOB.

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Subsequent Filing: This option will be enabled after a SAFE or SWARMP Initial (TR6) Report has already been filed and accepted. A subsequent report indicating revised conditions may be filed within the current five-year report filing cycle to change a building's filing status for that cycle.

Inspection: If a DOB Inspection is determined to be necessary as part of the filing process, an Inspector is assigned to inspect the façade of a building, and report on its condition.

BIN: This refers to the Building Identification Number. A BIN is assigned to each building.

Block and Lot: This refers to the physical mapped location of a building. The block and Lot is also known as the "tax" block and Lot.

Task Form: This form provides information on decisions of an individual filing.

311: NYC311 provides access to non-emergency City services and information about City government programs. NYC311 is available online and by phone.

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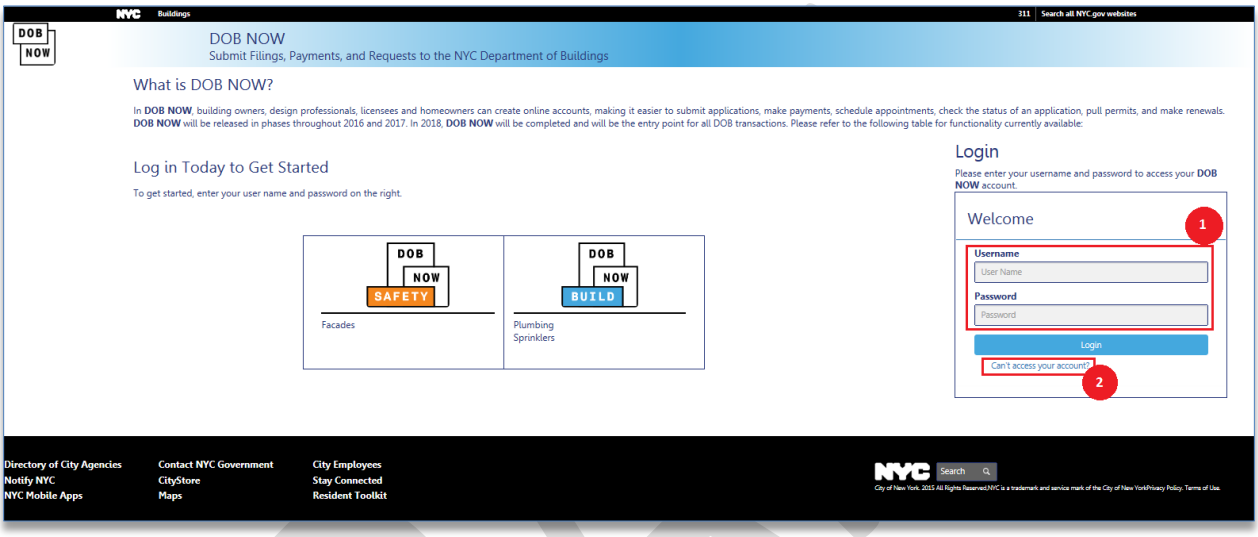
Accessing DOB NOW: *Safety* and Getting Oriented

We recommend that you use Internet Explorer 9.0 and above to access DOB NOW: *Safety*.

This section will guide you through how to access DOB NOW: *Safety* and help to get you familiar with navigating between different screens in the system. Screenshots will direct your attention to key features and a step-by-step guide will explain how to use them.

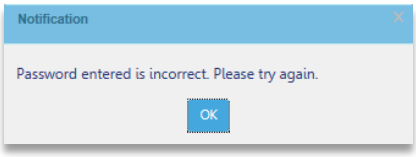
Access DOB NOW: *Safety*



Navigate to the DOB NOW login page by going to the following link: **www.nyc.gov/dobnow**

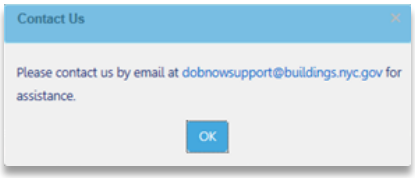
1. Enter your Username and Password and click **Login**. *This is the same username and password that you have created for eFiling. If your account information is incorrect, you will need to update your information in the eFiling system.*

   Note: If you enter an invalid username and password combination, you will see an error message and will not be able to login.



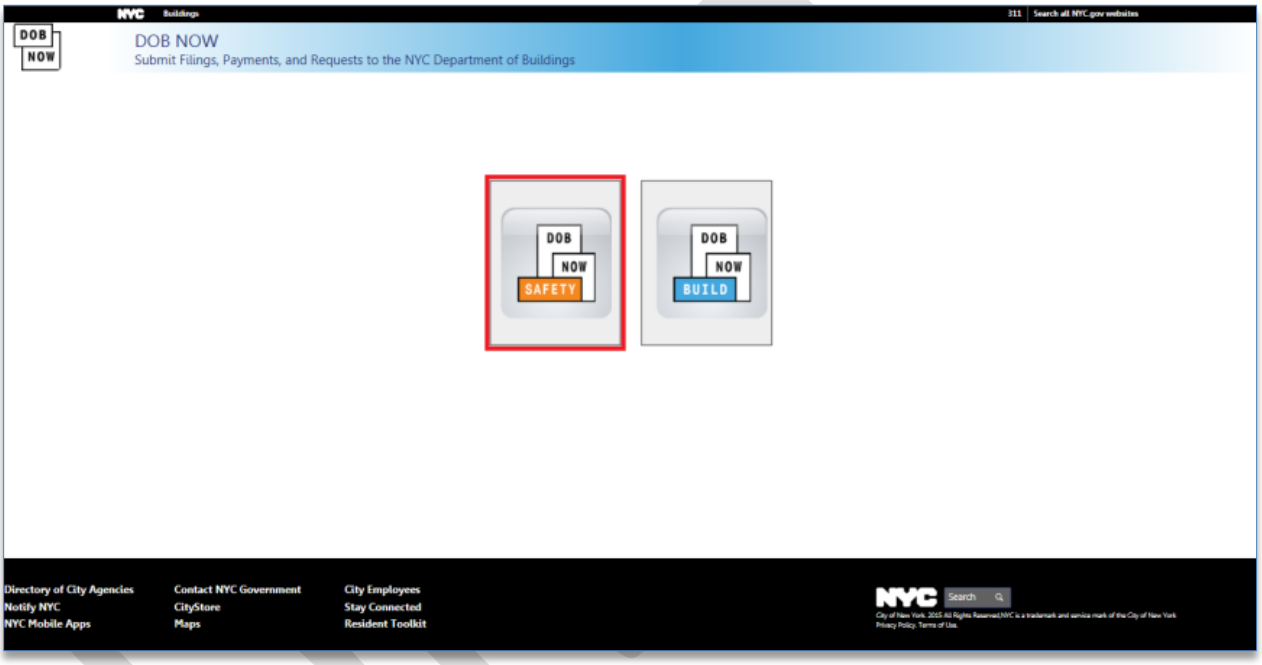
   If your account has been flagged or deactivated by DOB, you will also see an error message and will not be able to log in.

2. If there is an issue with your login, clicking on **Can't access your account?** will bring up a message with an email address (***dobnowsupport@buildings.nyc.gov***) to contact for assistance.



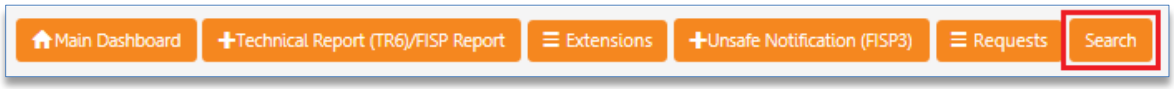
*If you do not have a confirmed **eFiling** account, you will not be able to login to DOB NOW: Safety.*

Once you have successfully logged in, navigate to DOB NOW: *Safety* by clicking on the DOB NOW: *Safety* icon.

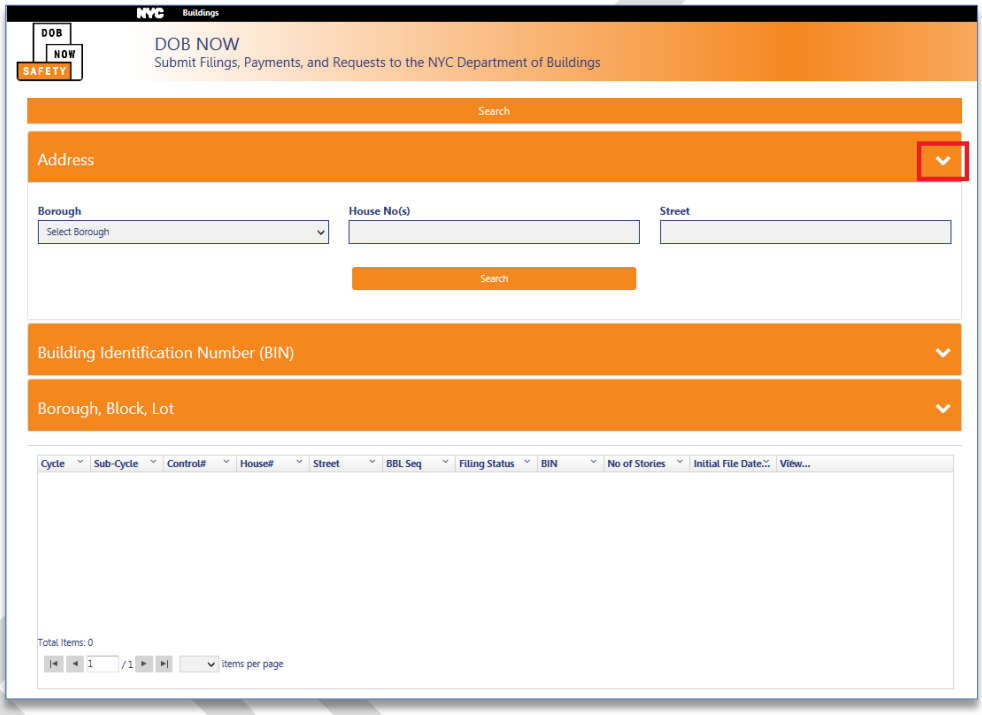


Address Search

A Design Professional has the option to search for a property's Façade filings. On the Dashboard, the Design Professional shall click on the ***+Search*** button.



The Address Search page will load. To the right of each section is a down arrow. When clicked, it will display the search type selected.

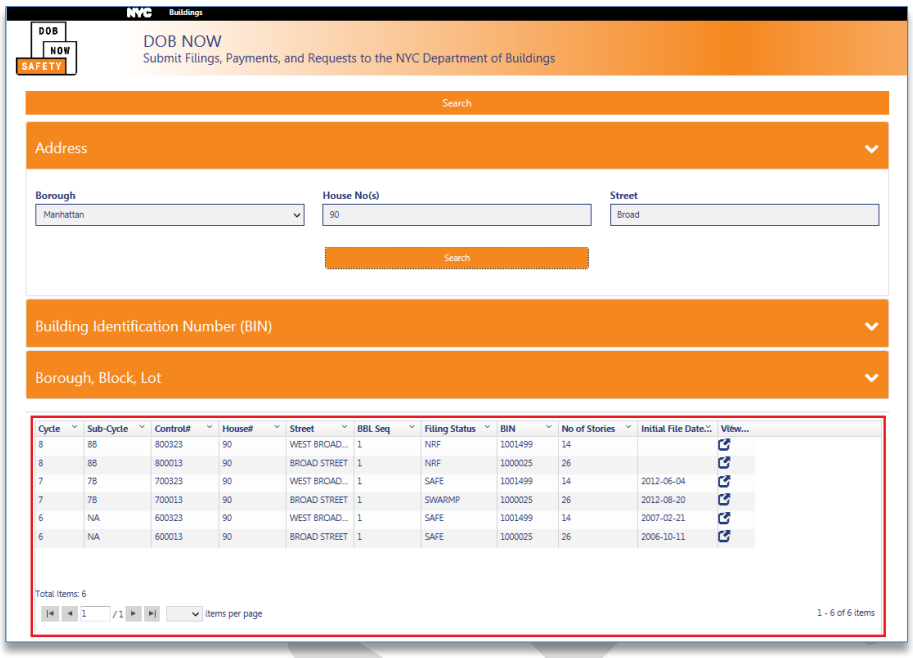


The Design Professional has the option to search a property by its:

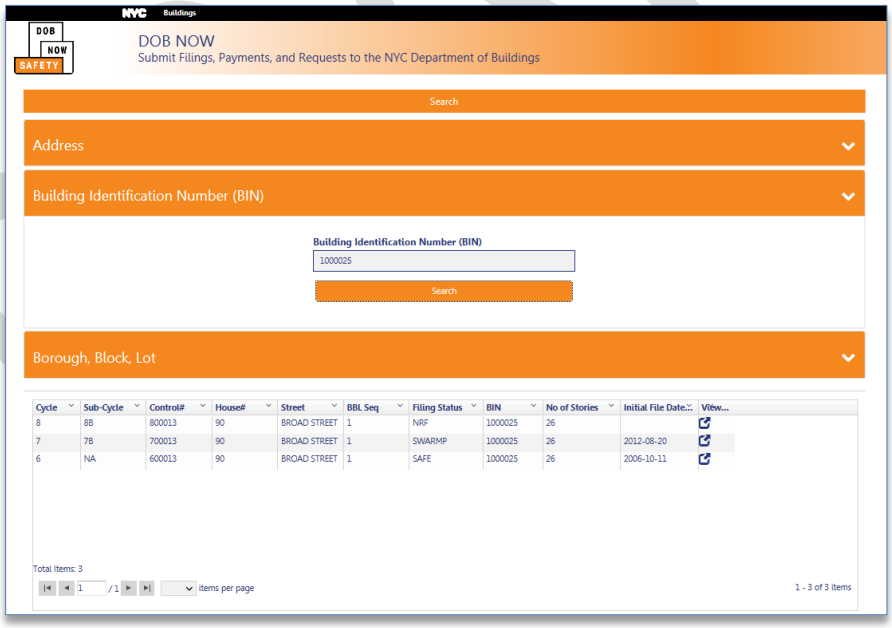
- Borough, House Number and Street
- Building Identification Number (BIN)
- Borough, Block and Lot

After the selection information is entered and Search is clicked, the grid below each search type will display the property address match results.

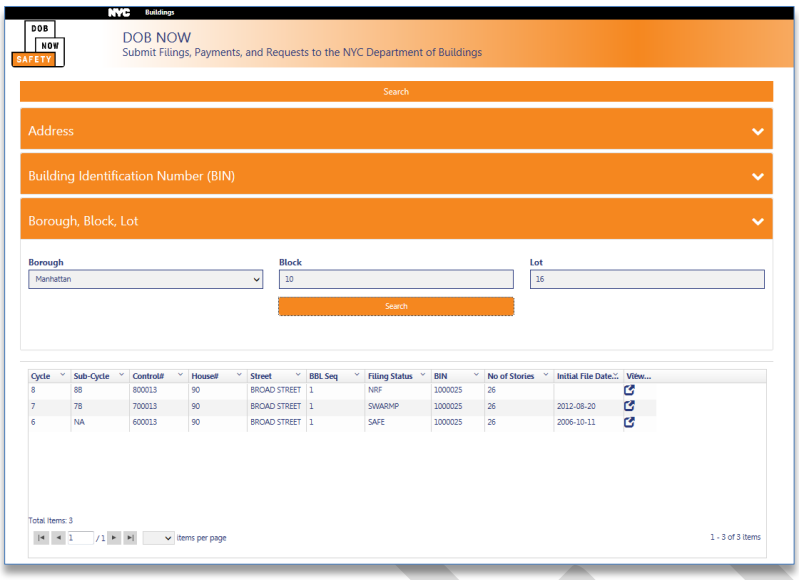
By Borough, House Number and Street:



By BIN:



By Borough, Block and Lot:



The grid can be viewed by either double-clicking the record (row), or clicking the desired row under the *View* column (using the icon). When clicked (or double-clicked anywhere within the row), the selected row shall populate the subsequent results sections.

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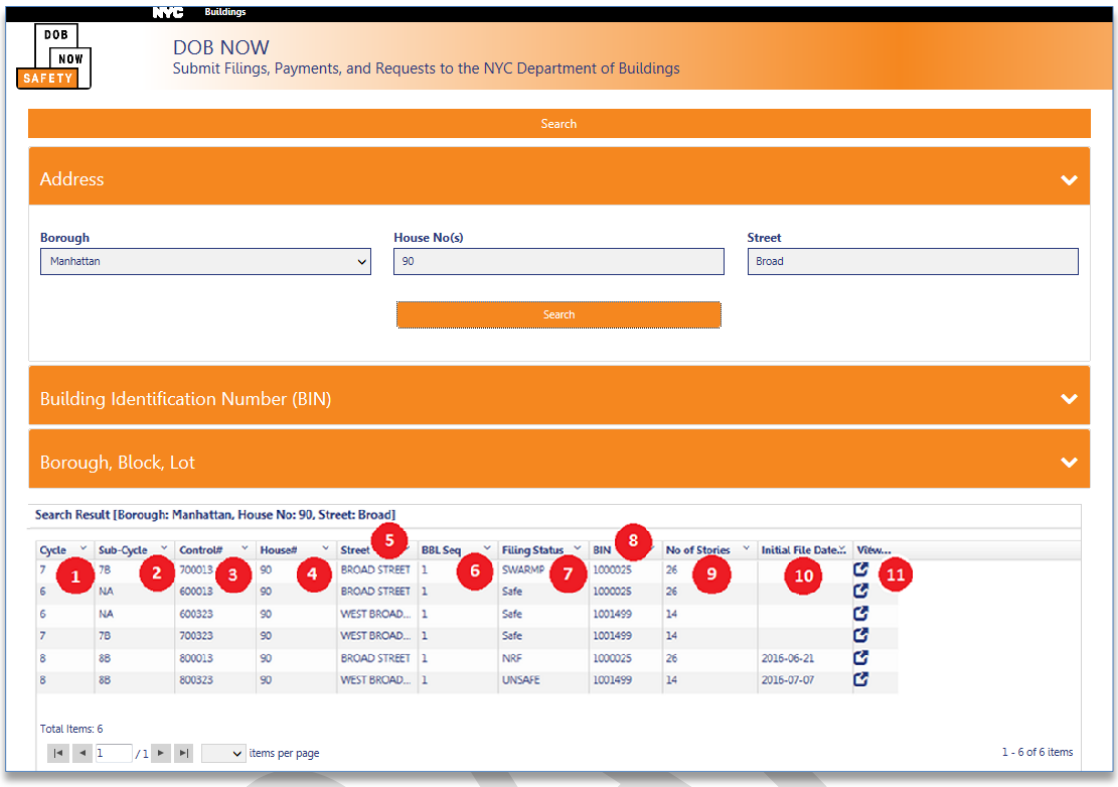
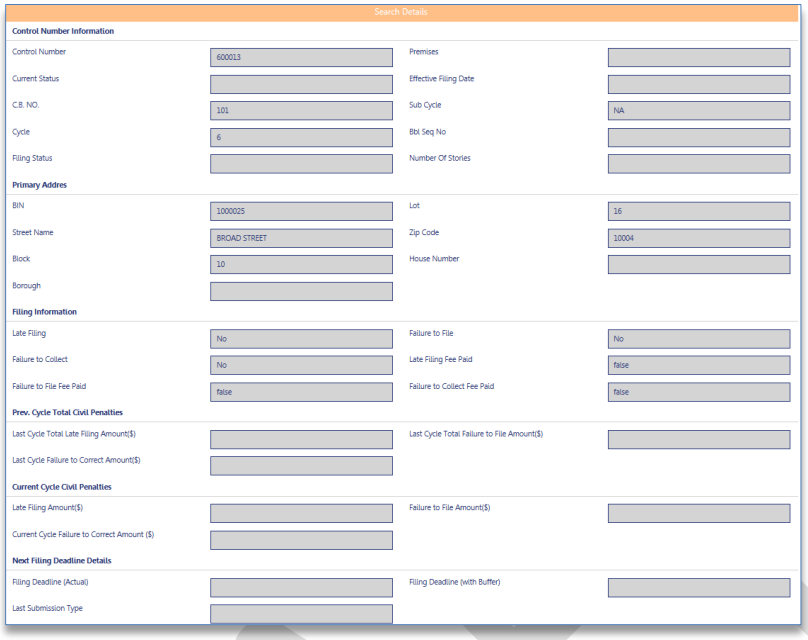
Grid columns in the search results include:

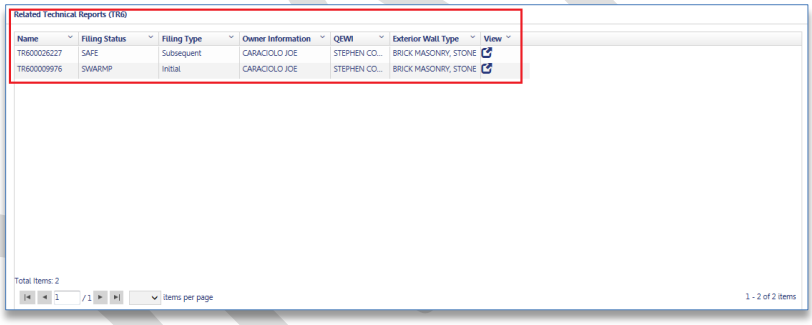


1. Cycle
2. Sub-Cycle (cycle 6 and prior do not have sub-cycle assignments)
3. Control#
4. House#
5. Street
6. BBL Seq
7. Filing Status
8. BIN
9. No. of Stories
10. Initial Filing Date
11. View (click on view or double-click to populate subsequent results sections)

Search Results (sample) of a cycle 8 (sub-cycle B or 8B) property:



In addition to Façade status and property information, a list of previous filings is provided.

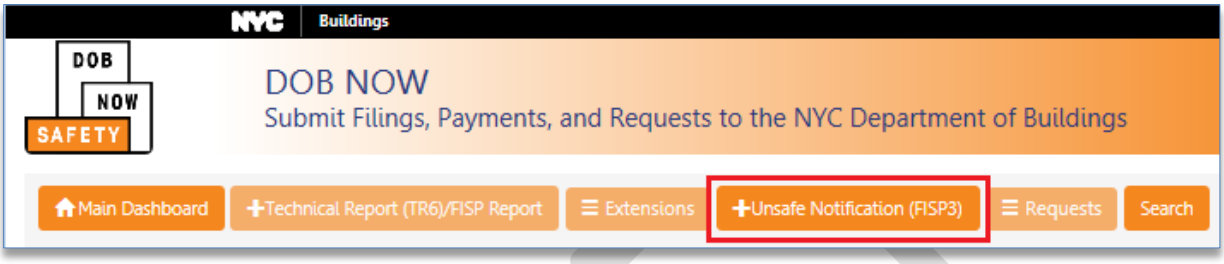


When clicking (or double-clicking anywhere within) the desired row under the *View* column (using the icon) of the *Related Technical Reports (TR6),* the selected TR6 filing shall open for view.

UNSAFE Notifications – FISP3

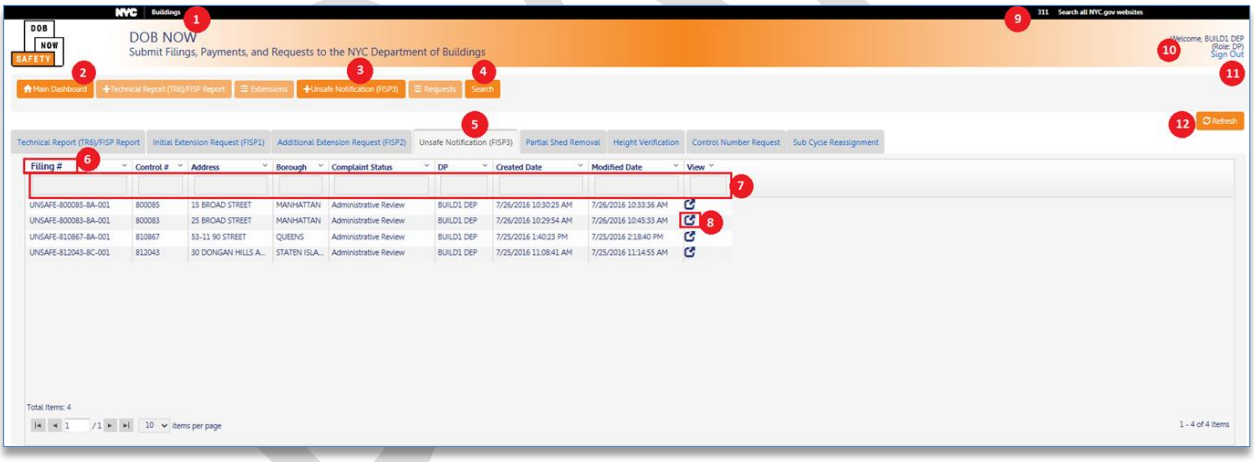
If a Design Professional observes any unsafe façade conditions, the Design Professional or QEWI can file a FISP3 in DOB NOW: *Safety,* and must call 311 to report the condition or 911 to report any immediate hazardous conditions. Once logged in to DOB NOW: *Safety*, the Design Professional will select the *+Unsafe Notification (FISP3)* button on the home page.

There are **no** fees associated with filing a FISP3.



Dashboard Orientation FISP3

After logging in to DOB NOW: *Safety*, the system will display the Façades main dashboard. The list below explains the buttons and fields on the Facades main dashboard, and provides a description of the actions available.



1. **NYC.com Link:** Link to the NYC.gov homepage.
2. **Main Dashboard Button**: Link to the Main Dashboard to select between DOB NOW: *Safety* and DOB NOW: *Build* systems.
3. **Unsafe Notification (FISP3) Button:** Any Design Professional or QEWI can file a FISP3 report if there is an observed unsafe façade condition.
4. **Search:** The Design Professional can search for a property profile.
5. **Unsafe Notification (FISP3) Tab:** Search and view all Unsafe Notifications (FISP3) with the DOB.
6. **List of grid columns:** Filing #, Control #, Address, Borough, Compliance Status, DP, Created Date, Modified Date and View. Relevant data is displayed in each column for each FISP3 on file. The

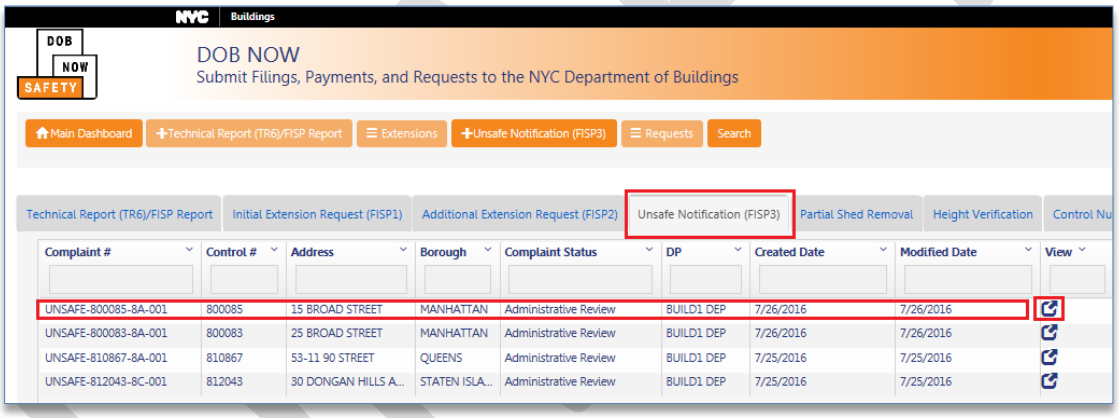
box at the top of each column allows the user to search each field for specific values within that column.

7. **Column Sort:** Allows sorting of the data in ascending or descending order, and also removing the column by clicking on the little arrow next to each column name (

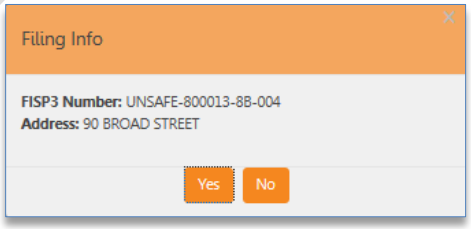
).
8. **View:** Produces a Job Information pop-up window which directs the user to the FISP 3 report Filing Progress page.
9. **311 Link:** Link to the 311 homepage.
10. **Logged User:** Identifies the User Name and System Role associated with the user account.
11. **Sign Out:** Sign out of DOB NOW: *Safety*.
12. **Refresh Button:** Refreshes page results.

Viewing the Filed FISP3 Reports

After the User (Design Professional) has logged in to DOB NOW: *Safety* and has accessed the Façades main dashboard, all FISP3 reports the User has filed will be displayed on the *Unsafe Notifications (FISP3)* Tab.

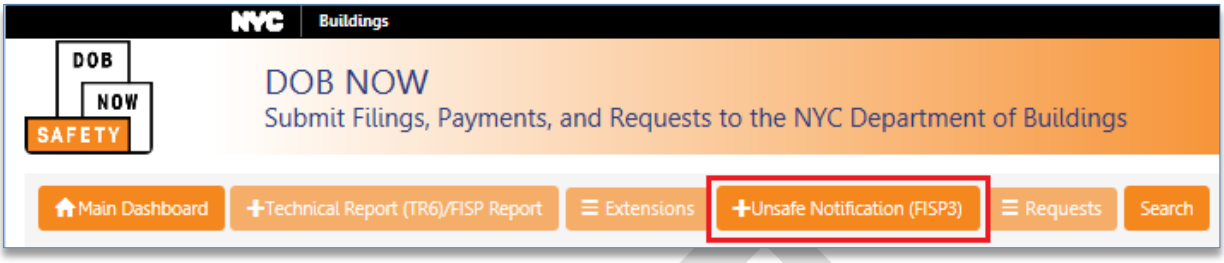


Each FISP3 filing listed in the grid can be viewed by either double-clicking the record (row), or by clicking the desired row under the *View* column (using the icon). When clicked (or double-clicked anywhere within the row), a pop-up message is displayed showing the Filing (*FISP3 Report*) number and the address of the building, with the option to proceed (Yes) or cancel (No).



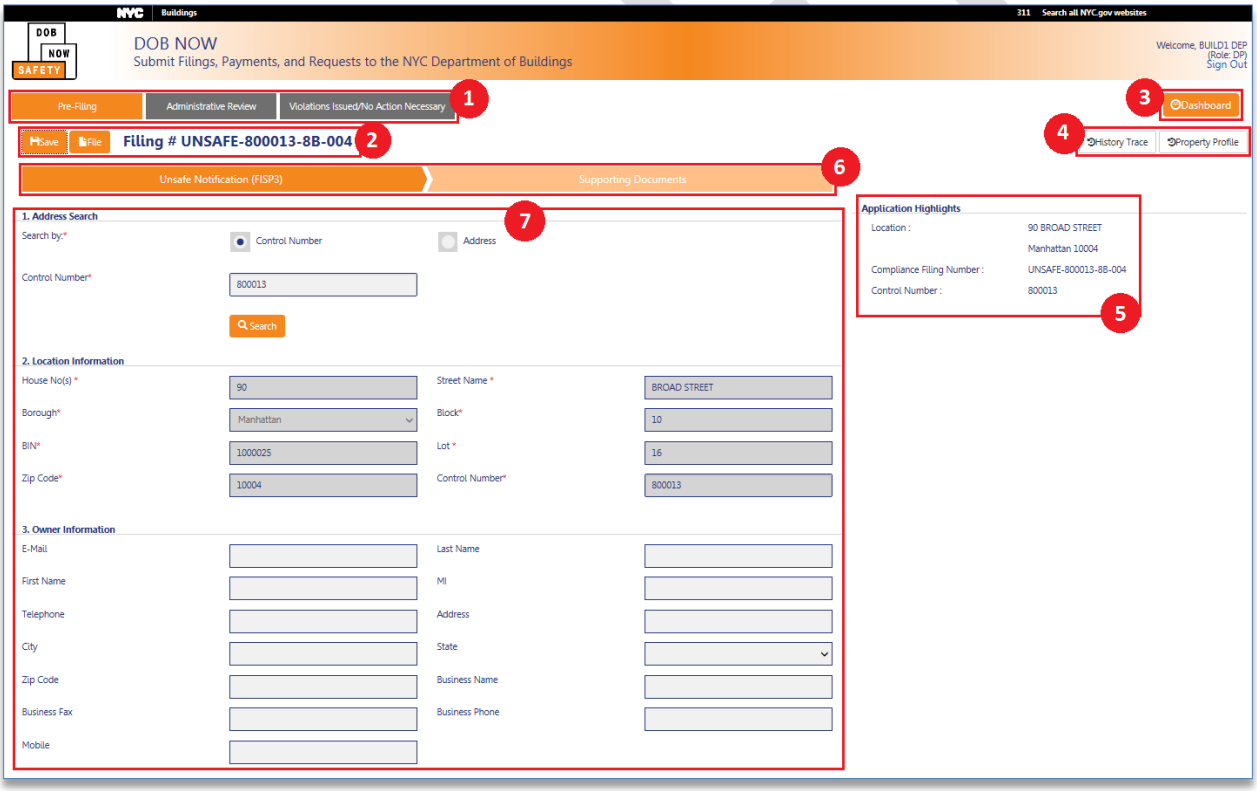
FISP3 UNSAFE – New FISP3 Form

After the user (Design Professional) has logged in to DOB NOW: *Safety* and has accessed the Façades main dashboard, selecting the ***+Unsafe Notification (FISP3)*** button will open a new FISP Filing form with the information described below.



FISP3 Form Orientation

The Design Professional will be presented with the electronic FISP3 form.

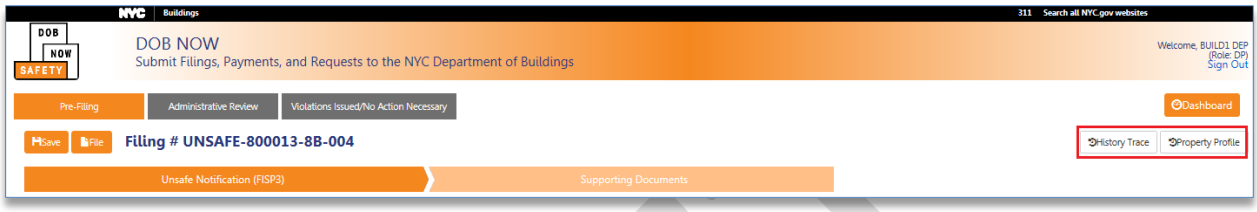


1. The *ribbon* displaying filing progression status.
2. The *Save* and *File* buttons and the current Filing Number (once the form has been saved for the first time).
3. The *Dashboard* button will take the Design Professional back to the default Dashboard.
4. *History Trace* for all significant actions taken on a filing, and *Property Profile* information on the property.

5. *Application Highlights* displays key elements relating to the property and filing.
6. Form progression; The Report is broken down into two forms which are all required to file a FISP3, in order left to right; **Unsafe Notification (FISP3)** → **Supporting Documents**.
7. The FISP3 form details.

Form and Property Detailed Information

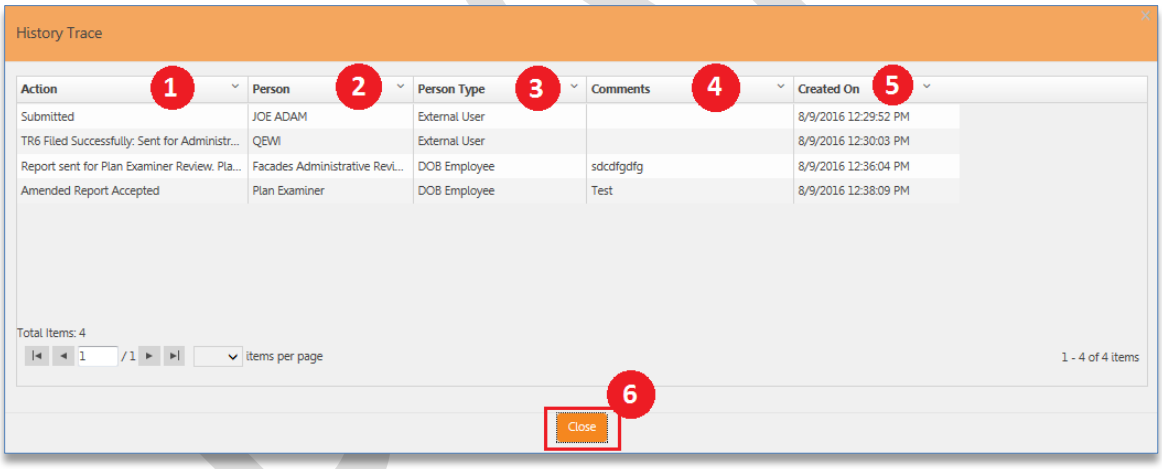
On all façades compliance filing forms, displayed are the following buttons:



- History Trace
- Property Profile

History Trace Button

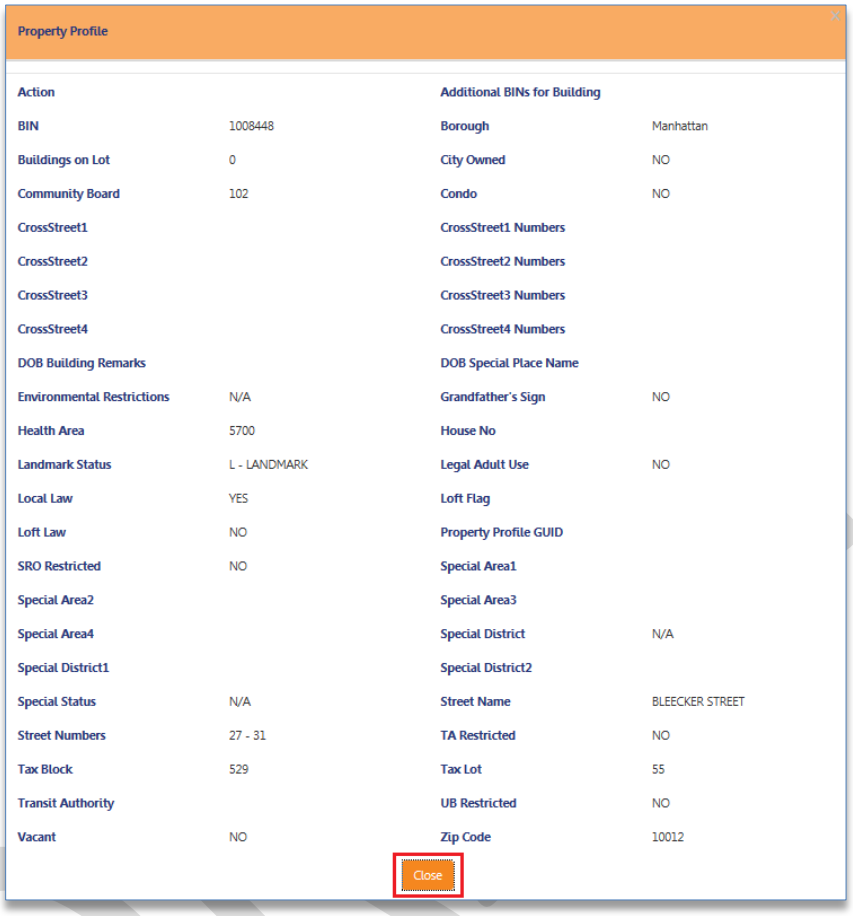
When clicked, the following pop-up screen displays with the list of actions taken on the filing. This information is read only. Clicking the **Close** button will close the pop-up screen.



1. **Action**: The type of action taken.
2. **Person**: The person who performed the action.
3. **Person Type**: The person's user role in the process.
4. **Comments**: Comments related to the action.
5. **Created On**: The date the action was performed.
6. **Close button**: When the Design Professional is finished viewing the History Trace, clicking the *Close* button will close the pop-up screen.

Property Profile Button

When clicked, the following pop-up screen displays the property profile detail related to the filing. This information is read only. Clicking the **Close** button will close the pop-up screen.



Property Profile

Action		Additional BINs for Building	
BIN	1008448	Borough	Manhattan
Buildings on Lot	0	City Owned	NO
Community Board	102	Condo	NO
CrossStreet1		CrossStreet1 Numbers	
CrossStreet2		CrossStreet2 Numbers	
CrossStreet3		CrossStreet3 Numbers	
CrossStreet4		CrossStreet4 Numbers	
DOB Building Remarks		DOB Special Place Name	
Environmental Restrictions	N/A	Grandfather's Sign	NO
Health Area	5700	House No	
Landmark Status	L - LANDMARK	Legal Adult Use	NO
Local Law	YES	Loft Flag	
Loft Law	NO	Property Profile GUID	
SRO Restricted	NO	Special Area1	
Special Area2		Special Area3	
Special Area4		Special District	N/A
Special District1		Special District2	
Special Status	N/A	Street Name	BLEECKER STREET
Street Numbers	27 - 31	TA Restricted	NO
Tax Block	529	Tax Lot	55
Transit Authority		UB Restricted	NO
Vacant	NO	Zip Code	10012

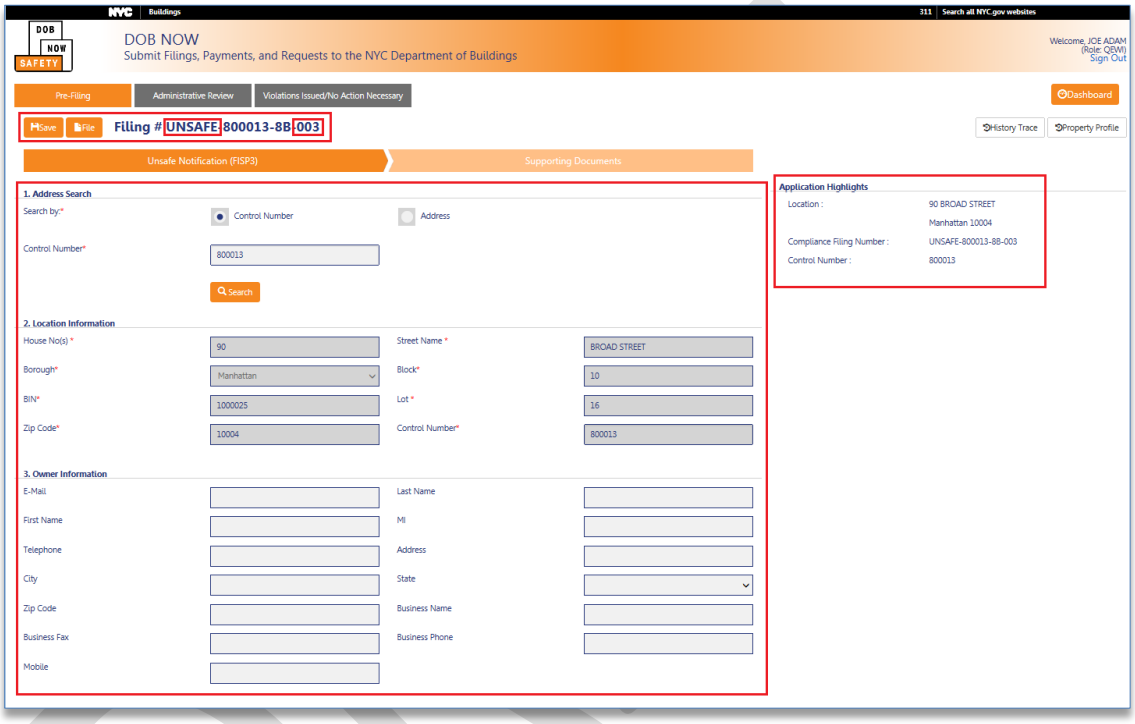
Close

FISP3 Form

Section 1 and 2. Address Search and Location Information

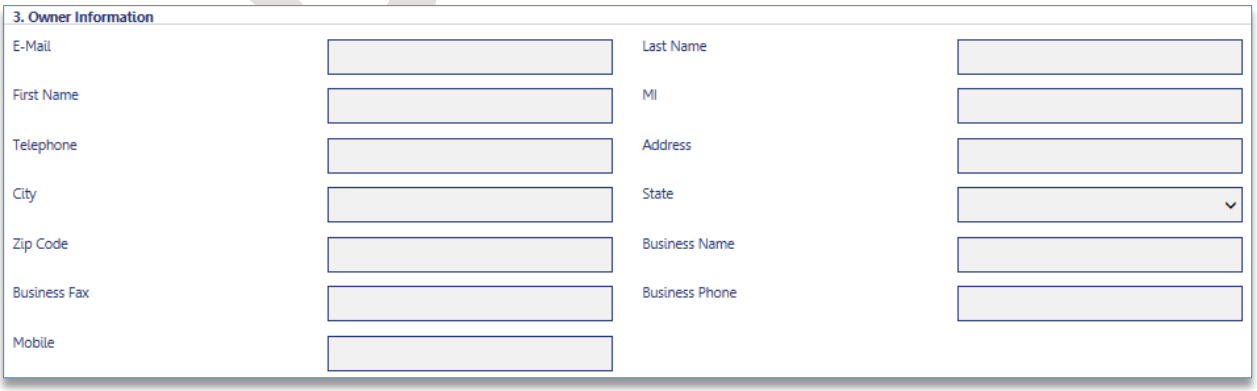
The Design Professional has the option to search for the Building by Control Number or by Address. Once the search is complete, the required property detail is then populated in Section *2. Location Information*, and the *Application Highlights*.

There are **no** fees associated with filing a FISP3.



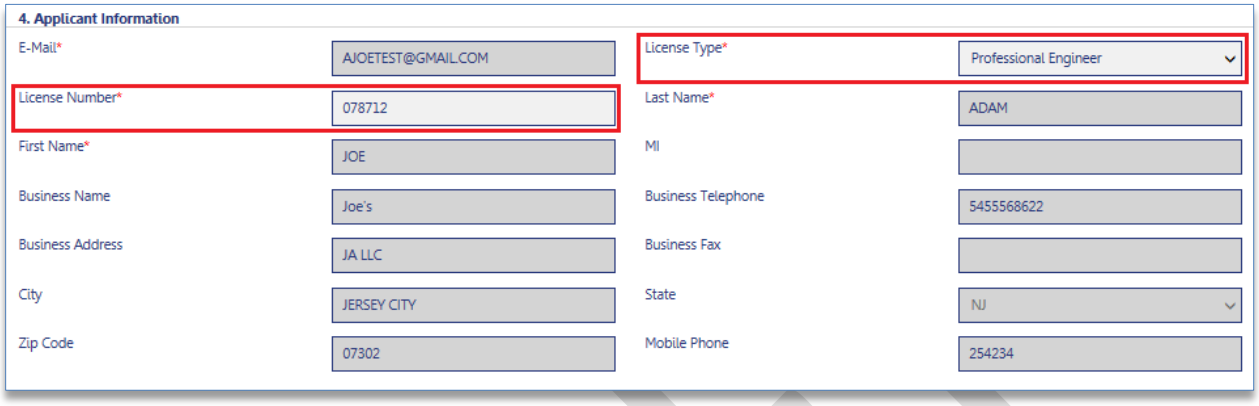
Section 3. Owner Information

The Owner information in Section 3. is optional since the Design Professional may not have this information.



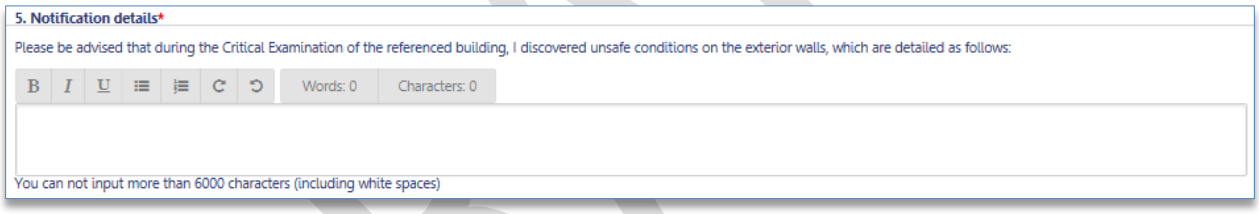
Section 4. Application Information

In Section *4.* the Applicant information is prepopulated based on the Design Professional's logon credentials. The *License Type* field is a drop down listing all licenses associated with the QEWI. Once the *License Type* is selected, the *License Number* field will auto-populate. If any of the contact information has changed, the QEWI must update the eFiling profile.



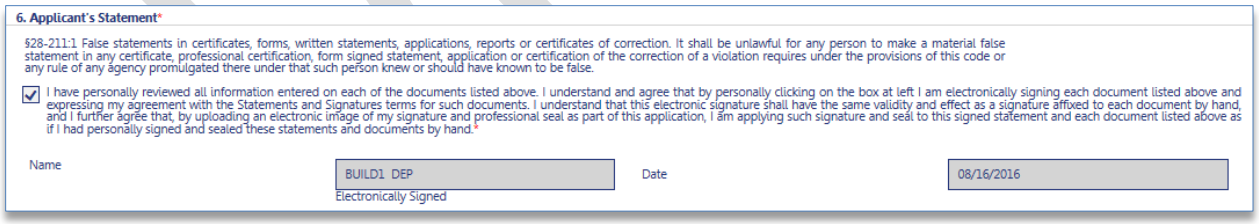
Section 5. Notification Details

Enter additional details on the UNSAFE condition in the following text box.



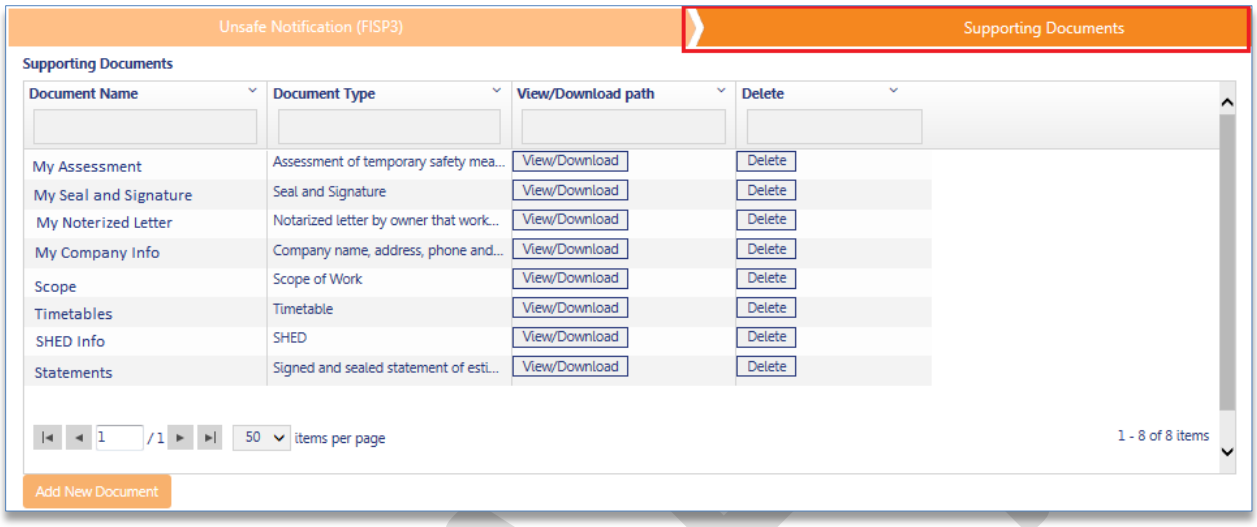
Section 6. Applicant's Statement

The Design Professional must electronically sign the form by clicking the Applicant's Statement checkbox in Section 6. The Design Professional's name and the current date will then be auto-populated.

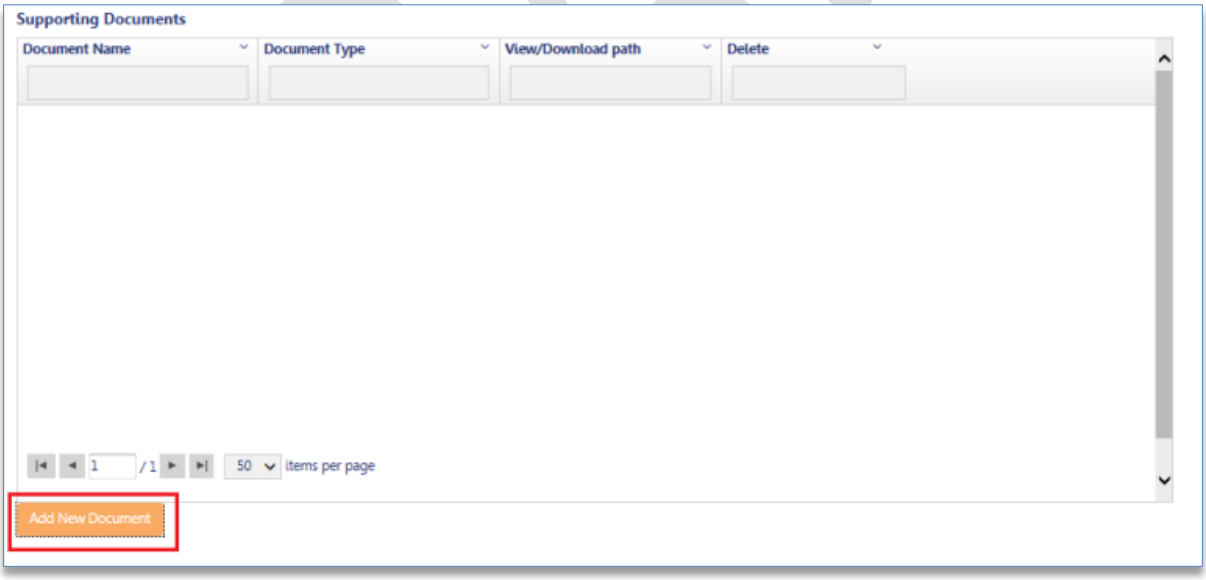


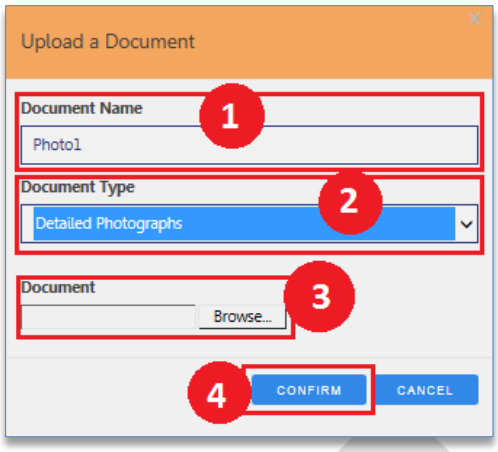
Supporting Documents

The FISP3 Report requires supporting documents to be uploaded, including the Design Professional or QEWI Seal and Signature (DPL-1). The Design Professional or QEWI may add additional applicable documents and/or photos using the Other Document Type.

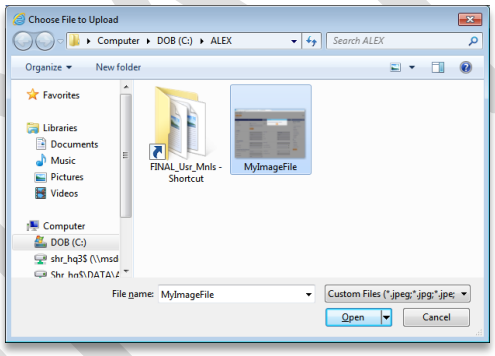


On the *Supporting Documents* form, the Design Professional may begin attaching supporting documents by selecting the *Add New Document* button that brings up the *Upload a Document* popup window.



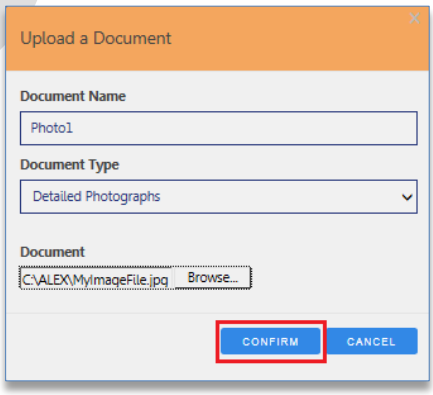


1. **Document Name**: A document name the Design Professional will enter as a reference.
2. **Document Type**: The Document Types required for upload will be listed as options under the *Document Type* dropdown. There must be at least one file uploaded for each Document Type.
3. **Document**: The Design Professional will click on the *Browse…* button to select a file for upload. File types include .PDF and .JPG (or .JPEG). Select the Image for upload and click the *Open* button.



The file will be prepared for upload. Only one file can be uploaded at a time.

4. **Confirm Button**: The QEWI is ready to add the Document.



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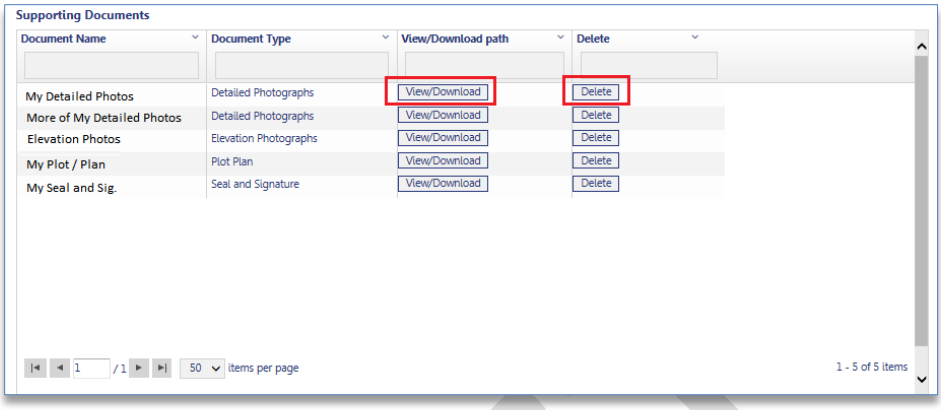
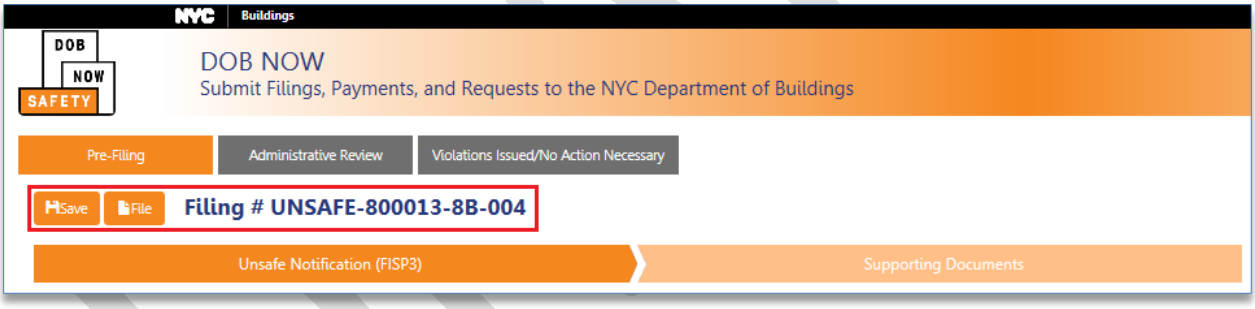
When the Design Professional has uploaded at least one document per *Document Type*, he/she can view the list of all uploaded documents and *View/Download* and/or *Delete* each.

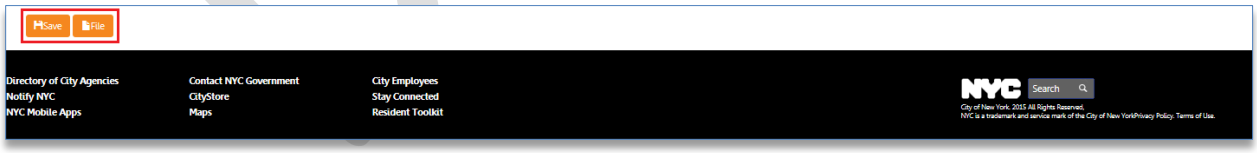


Filing the FISP3 Report

Once the Owner has provided their electronic signature, the Design Professional can make a final review of the filing, make any necessary changes, confirm all fees are paid, all documents uploaded, and then file the complete FISP3 Report by clicking the *File* button.



The *Save* and *File* buttons also can be found on the bottom of all forms.



There are **no** fees associated with filing a FISP3.

Appendix

Work Type Acronyms

- BL: Boiler
- CC: Curb Cut
- CH: Chute
- DM: Demolition and Removal
- EQ: Construction Equipment
- EW: Equipment Work
- FA: Fire Alarm
- FB: Fuel Burning
- FN: Fence
- FP: Fire Suppression
- FS: Fuel Storage
- MH: Mechanical/HVAC
- OT: Other
- PL: Plumbing
- SD: Standpipe
- SF: Scaffold
- SG: Sign
- SP: Sprinkler
- EL: Elevator

Legal Acronyms

- AC: Administrative Code
- APPN: Administrative Policy and Procedure Notice
- BC: Building Code
- HPD: Housing Preservation and Development
- LL: Local Law
- LPPN: Legal Policy and Procedures Notice
- MDL: Multiple Dwelling Law
- NYC DEP: New York City Department of Environmental Protection
- NYC RR: New York City Report Recommendations
- NYS DOH: New York State Department of Health
- NYS ECL: New York State Environmental Conservation Law
- OPPN: Operations Policy and Procedure Notice
- PPN: Policy and Procedure Notice
- RCNY: Rules of the City of New York
- RS: Reference Standard
- TPPN: Technical Policy and Procedure Notice

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- ZR: Zoning Regulations

Permit Type Acronyms

- AR: Architectural
- EA: Earthwork
- FO: Foundation
- ME: Mechanical
- NP: No Plans
- PL: Plumbing
- SH: Sidewalk Shed
- ST: Structural
- ZO: Zoning

Building Type Acronyms

- NB: New Building
- Alt 1: Alteration
- Alt 2: Alteration
- Alt 3: Alteration

Professional Acronyms

- PE: Professional Engineer
- RA: Registered Architect
- GC: General Contractor
- DP: Design Professional
- FR: Filing Representative
- QEWI: Qualified Exterior Wall Inspector (PE/RA)
- QRWI: Qualified Retaining Wall Inspector (PE/RA)
- Agency Director or Director (PE/RA)
- MP: Master Plumber
- OBI: Oil Burner Installer
- LP: Licensed Professional

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