



DEPARTMENT OF BUILDINGS

EXECUTIVE OFFICES
60 HUDSON STREET, NEW YORK, N.Y. 10013-3394

GASTON SILVA, R.A., Commissioner

(212) 312-8100

BARRY G. COX
Deputy Commissioner
Operations/Administration
(212) 312-8004
FAX: 312-8012/8065

ISSUANCE # 522

**OPERATIONS
POLICY AND PROCEDURE NOTICE 497**

TO: Distribution
FROM: Barry G. Cox
DATE: July 9, 1997
RE: Operational Integrity and Compliance

Purpose: This OPPN shall serve to consolidate the Department's procedures with respect to Operations Integrity and Compliance.

Effective: Immediately

DOB Stamp Security:

All Department stamps (i.e., Commissioner, Borough Commissioner, Received, Date, Certified Copy, Approved etc.) are to be locked in secure cabinets or drawers during non-business hours, lunch breaks and periods of non-use. Stamps are not to be left in areas accessible to the public at any time.

A stamp log is to be maintained in the Borough Manager's office for both the Borough Commissioner and the DOB Commissioner stamp. This log must indicate who, in each section, is responsible for these stamps.

Perforator Security:

The perforator must be secured at all times. During business hours the perforator must be operated under the direct supervision of a DOB employee. It cannot be left accessible to the public during working and non-working hours.

Identification Verification:

No person may present, submit, furnish or seek approval of an application unless such person is:

1. currently registered with the DOB, or
2. the owner of the premises, or
3. the lessee of the premises authorized by the owner, or
4. the condominium unit owner authorized by the condominium board, or
5. the cooperative shareholder authorized by the cooperative board, or
6. a Registered Architect licensed in New York, or
7. a Professional Engineer licensed in New York, or
8. an Attorney admitted to the New York Bar, or
9. an active DOB licensee (Plumbing, Electric, Fire Suppression, etc)

This does not apply to DIR 14 work that contractors and others may file applications for such as awnings and signs.

Employees are to request proper ID and/or credentials from applicants to insure compliance. Expired IDs and/or inadequate ID is insufficient. No exceptions are to be made.

Employees are to confiscate non-employee DOB ID cards from those individuals listed on the "Hot Sheet" or whose cards have expired. Borough Managers are to forward the cards to the IAD.

Access to DOB Employee Areas:

Non-DOB personnel are prohibited from entering DOB employee areas, including the file rooms, executive offices, etc. The only exceptions are for:

1. **Title Researchers** - individuals will be allowed to enter the file area only after presenting valid ID to the Borough Manager and upon signing in for the day.
2. **Appointments** - to the extent possible, individuals with appointments are to be escorted to and from the respective DOB employee. Individuals should not be allowed to roam the office unattended.

Certificate of Occupancy Integrity:

Department employees assigned to the Borough Certificate of Occupancy units shall;

1. apply the Commissioner and Borough Commissioner stamps to the C of O in red ink.
2. apply any handwritten insertions in red ink (i.e., CO number or date of completion).
3. emboss each copy of the C of O with the Department of Buildings raised seal. This seal will be sent to the boroughs shortly. Said seal is to be secured in accordance with the above procedure for DOB stamp security.
4. complete the Department's C of O checklist form for proper folder review.
5. perform random spot-checks by the C of O unit supervisors on at least 10% of the C of O's issued to ensure compliance to ensure compliance with the aforementioned integrity improvements.

Reconsiderations, Waivers, Objection Removal:

Borough Staff authorized to grant reconsiderations, waivers, including waiver of civil penalties, and objection removal, are to clearly indicate on the respective paperwork and/or BIS screen their name and the date of the reconsideration, waiver or objection removal. The employee must print their full name and then sign their name for **each** exception in a clear and conspicuous manner on the relevant DOB forms. Wherever possible, waiver and reconsideration information must be noted on the BIS system. In accordance with PPN2/96, information on the individual who granted the waiver of civil penalties **must** be noted on the BIS system.

Computer Access:

Borough Managers are to monitor and report personnel transfers and re-assignments to the Department's BIS Coordinator so that access authorizations can be updated to reflect the employees revised duties. Wherever possible, computer access should be limited to those functions intrinsic to the employee's assigned unit.

BGC:yaj