LIMITED ALTERATION APPLICATION (LAA)

Industry
Session Introduction
Matt Boehmcke
DOB NOW Training Team
AGENDA

- Session Introduction
  - DOB NOW Overview
  - DOB NOW Navigation Demonstration

- LAA Filing Process
  - LAA Filing Process Overview
    - Roles & Responsibilities
    - Not Currently in DOB NOW
    - Key Differences – Current State vs. Future State
  - LAA Filing Process Demonstrations

- Session Closing
  - Material to Help You Back on the Job
  - Helpful Links
  - DOB NOW Resources
  - Questions & Answers
GROUND RULES

- Restrooms
- Mute Mobile Phones
- Ask Questions
- Parking Lot
- Feedback
At the end of the introduction, you will be able to:

- Describe what DOB NOW is and what it can do
- List the 4 modules included in DOB NOW
- List actions available in DOB NOW
- List features and benefits of DOB NOW
- Register for eFiling
- Login to DOB NOW
- Recognize the DOB NOW Dashboard
- Access the Public Portal
DOB NOW is an interactive, web-based portal that will enable building owners, design professionals, filing representatives, and licensees to do all business with DOB online. The largest benefit of filing online is you can file from your computer and do not have to come to DOB.
DOB NOW: MODULES

DOB NOW includes:
- Build
- Safety
- Inspections
- Licensing
DOB NOW: KEY ACTIONS

Actions available in DOB NOW
- Submit applications
- Make payments
- Schedule appointments
- Check the status of an application
- Pull permits
- Renew Permits
FEATURES AND BENEFITS

Submit a job filing online
Customers do not have to travel to the DOB office for filings.

Real time job filing information online
Real time access to job status and information

Greater Transparency of the filing process
Filing status can be viewed at any time

Faster Processing time
Digital filing allows for quicker turnaround time for submitted filings
Before you can file in DOB NOW, all stakeholders associated to the filing must register for eFiling.

If you are already registered then you can use your existing eFiling username and password to access DOB NOW.

Register at www.nyc.gov/dobefiling.
E-FILING – ALL OTHERS

All Others

Complete Form
Click Verification Email
Print Authentication Form
Sign, Date (w/Seal)
Submit App to DOB
Receive Confirmation From DOB
WHO USES DOB NOW?

Inspectors
- Inspectors
- Elevator Inspectors
- Special Inspectors
- Progress Inspectors

Other Stakeholders
- Property Owners
- Filing Representatives
- General Contractors
- Sign Hangers
- Lessee

Design Professionals
- Registered Architects
- Registered Landscape Architects
- Professional Engineers

Site Safety Team
- Site Safety Manager
- Site Safety Coordinator
- Construction Superintendent
DOB NOW NAVIGATION

Demonstration
QUESTIONS?
You should now be able to:

- Describe what DOB NOW is used for
- List the 4 modules included in DOB NOW
- List actions available in DOB NOW
- Discuss key features and benefits
- Register for eFiling
- Login to DOB NOW
- Recognize the DOB NOW Dashboard
- Access the Public Portal
LIMITED ALTERATION APPLICATION (LAA)

Industry
Filing Process
LEARNING OBJECTIVES

At the end of this session, you will be able to:

- Describe the LAA Filing Process
- List key differences between the current process and future process
- File a Limited Alteration Application (LAA)
- Print a Work Permit
- Renew a Work Permit
- File an Emergency Work Notification (EWN)
- File a Post Approval Amendment (PAA)
- Respond to Objections
- Respond to an Auditor’s Intent to Revoke
Limited Alteration Applications (LAA) are submitted for the following types of repair and/or replacement of existing equipment that does not include any construction work:

- **Plumbing**
  - Master Plumber (LMP) – Water and Gas Plumbing Alteration Only

- **Fire Suppression Piping Replacement and Repairs**
  - Fire Suppression Contractor (FSC) Only

- **Oil Burner Installations**
  - Oil Burner Installers (OBI) Only
CURRENT STATE OF LAA FILING PROCESS
FUTURE STATE OF LAA FILING PROCESS

- No Paper Filings
- Auto-Permitted if there are no Active WWP Violations
- Email Notifications with Status Updates
- Scope of Work drop-down lists
EMERGENCY WORK NOTIFICATIONS (EWN)
Applicant of Record Only

- Master Plumber
- Oil Burner Installer
- Fire Suppression Contractor
An Emergency Work Notification (EWN), while not required prior to an LAA filing may be submitted in emergency situations where an issue needs to be addressed right away and the applicant does not yet know the entire scope of the work that will be involved in the LAA.

An EWN is NOT a permit, it is a just a notification.

The applicant's license must be valid, and all 3 insurances must be active at the date of submission for that business for at least 2 business days from the date of LAA issuance.

- General Liability
- Workers Compensation
- Disability
EWN FILING STEPS

1. Log in
2. Select + Emergency Work Notification
3. Enter Required Information
4. Upload Documents
5. Attest All information is complete and correct
6. Submit
EWN FILING PROCESS

Step by Step Demonstration
As long as the Applicant of Record has not changed, entering a valid and active Emergency Work Notification # in a new LAA and clicking search will auto populate the following sections of the General Information tab within the LAA filing:

- Job Location
- Applicant Information
- Insurance Information
QUESTIONS?
LAA FILING PROCESS OVERVIEW
Applicant

- Create and Enter LAA Filings
- Enter Scope of Work
- Upload Required Documents
- Complete Statements & Signatures
- Submit LAA Filing
- File EWN
- File PAA
- Respond to Objections

Owner Representative/Filing Representative/Preparer

- Create and Enter LAA Filing Data
- Enter Scope of Work
- Upload Required Documents
- Make a Payment

Owner – Tagged for E-Mail Updates Only

- Receive notifications if Owner E-mail is entered by the Applicant or Owner Representative
Auditor

- Review Filings
- Request Required Corrections
- Issue Decisions
  - Inspection Required
  - Intent to Revoke
  - Revoke Permit
  - Audit Complete
The General Information tab in an LAA Filing includes a required Proposed Work Summary field with a 500 character limit.

The DOB LAA Unit suggests entering a detailed work summary in the Proposed Work Summary field of the LAA Filing.

- See the LAA Proposed Work Summary Examples handout provided. That document contains examples of the level of detail to provide in the Proposed Work Summary, including Key Items and Scope of Work for some common job types.
The License Type selected determines the Insurance Information.
Insurance must be valid to proceed.

<table>
<thead>
<tr>
<th>Insurance Type</th>
<th>Name of the Insurer</th>
<th>Certificate/Policy No.</th>
<th>Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Liability</td>
<td>UNITED FARM FAMILY INS CO</td>
<td>GL45622321</td>
<td>01/13/2026</td>
</tr>
<tr>
<td>Workers Compensation</td>
<td>UNITED FARM FAMILY INS CO</td>
<td>WC45798522</td>
<td>01/13/2026</td>
</tr>
<tr>
<td>Disability</td>
<td>SHELTERPOINT INS COMPANY</td>
<td>D349865</td>
<td>11/17/2025</td>
</tr>
</tbody>
</table>
# Expired Insurance Policy Validations

- **Expired Insurance Validation**

  This application cannot be saved or filed because one or more of the applicant’s insurance certificates has expired. Submit an updated insurance certificate to the Licensing Unit to proceed.

### Insurance Information

<table>
<thead>
<tr>
<th>Insurance Type</th>
<th>Name of the Insurer</th>
<th>Certificate/Policy No.</th>
<th>Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Liability</td>
<td>UNITED FARM FAMILY INS</td>
<td>CLC 00053380101</td>
<td>01/13/2000</td>
</tr>
<tr>
<td>Workers Compensation</td>
<td>UNITED FARM FAMILY INS</td>
<td>WCA1054089</td>
<td>01/13/2000</td>
</tr>
<tr>
<td>Disability</td>
<td>SHELTERPOINT INS COMPANY</td>
<td>DBL 349865</td>
<td>11/17/2000</td>
</tr>
</tbody>
</table>
FEE CALCULATIONS

- All LAA related jobs follow the DOB fee structure depending on the project cost and building type.
- Applicants estimate the cost and file under the respective category.
- Only one category and one work type can be filed per LAA.
- There are two categories to file an LAA:

  **Category 1**
  - All work limited to an estimated cost of $35,000 per building within a 12 month period including appliance and labor cost.

  **Category 2**
  - There is no estimated cost limitation or time period restriction under this category.
The License Type selected by the Applicant drives the available options in the Limited Alteration Scope drop-down list.
The License Type selected by the Applicant determines the available options in the **Limited Alteration Scope** drop-down list.
The License Type selected by the Applicant drives the available options in the Limited Alteration Scope drop-down list.
- When Gas Plumbing Work > New Installation are selected as the Scope of Work, additional sections will be added and required when applicable based on the Item Category selected.

![Scope of Work](image)

- If the Item Category = Equipment or Appliance then the Appliance Data & Gas Usage sections are also required.

- If the Item Category = Piping or Gas Work then the Gas Usage section is required.
### LAA – PRELIMINARY JOB FILING STATUSES

<table>
<thead>
<tr>
<th>PRE FILING</th>
<th>PRE FILING - PENALTY REVIEW</th>
<th>PERMITTED</th>
</tr>
</thead>
</table>
| - A new Job Filing Number is generated upon initial save of the Job Location and Applicant information sections of the General Information tab.  
- The filing may be deleted via the Filing Action drop-down list on the Dashboard only prior to a payment being made, at which point deletion is no longer allowed. | - When Preview to File is clicked in the LAA filing, the system checks to see if there are any open work without permit (WWP) violations on the BIN.  
- Applicant must resolve WWP violation outside of DOB NOW.  
- After WWP waiver is resolved, Preview to File again. | - LAA is automatically permitted if there are no open WWP violations.  
  - Print Permit  
  - Continue to Sign Off  
  - Create PAA |
LAA FILING PROCESS

Step by Step Demonstration
WORK PERMITS

- Work Permits are only displayed after the LAA’s Filing Status = Permitted.
The Work Permits tab is displayed only after the LAA is submitted.

Use Work Permits to view and print approved permits, view expired permits, and renew a permit.

- Permit Renewals are only allowed prior to expiration. Once the user renews a permit, it will follow the same rules as an initial permit and will expire at the earliest of the following dates:
  - 12 months after the permit issuance
  - The expiration date of the Applicant’s license
  - Expiration of a required Insurance Type (General Liability, Worker’s Compensation, Disability)
After the permit has been issued, it can be renewed up until 12 months after the permit expiration date.

- Only the user who filed the initial LAA will be allowed to renew it, and any information on the LAA cannot be edited.

- Once a permit is renewed after expiry, the Permit Expiration Date is updated based on the expiration criteria mentioned on the previous slide.

- Upon Permit Renewal, the permit number does not change, but the sequence number increases by 1.

  - The sequence number is separate from the Permit Number. It begins at 1 and increases in increments of 1 (1, 2, 3…).
WORK PERMITS – PRINT/RENEW

Step by Step Demonstrations
LAA AUDITED BY DOB

Corrections Requested
Intent to Revoke
# LAA FILING STATUS – ADDITIONAL STEPS

<table>
<thead>
<tr>
<th>Status</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Permitted – Corrections Requested</td>
<td>Applicant must submit a PAA with corrections within 10 Days.</td>
</tr>
<tr>
<td>Permitted - Corrections Under Review</td>
<td>Applicant must wait for an email from the Auditor with additional instructions.</td>
</tr>
<tr>
<td>Intent to Revoke</td>
<td>Applicant must follow the Auditor’s emailed instructions within 15 days to avoid revocation.</td>
</tr>
<tr>
<td>Intent to Revoke Under Review</td>
<td>Applicant must wait for an email from the Auditor with additional instructions.</td>
</tr>
<tr>
<td>Revoked</td>
<td>The Work Permit has been revoked. Applicant must submit a new LAA filing or EWN and LAA filing.</td>
</tr>
<tr>
<td>Signed Off</td>
<td>Site Inspection has Passed and status updated in DOB Now Inspections.</td>
</tr>
</tbody>
</table>
Permitted – Corrections Requested
The Applicant is notified by email with the Auditor’s findings, and has 10 days to initiate, complete, and file a PAA, addressing the Auditor’s concerns

Objections
If Objections are raised by the Auditor following the review of the PAA, the Applicant is notified again via email, and has an additional 10 days to respond to the Auditor’s concerns

Intent to Revoke
If the Applicant fails to submit a PAA within the initial 10 day period, the Intent to Revoke status is issued
The Applicant is notified by email of the Intent to Revoke, and has 15 days to respond with a rescind justification
If an Auditor raises additional objections to the Applicant’s response, an additional 15 days are provided for the Applicant to submit a response to the objections
EMAIL NOTIFICATIONS - ADMINISTRATIVE CORRECTIONS REQUESTED

**Administrative Corrections Requested for M00354854/11/350 5 AVENUE MANHATTAN**

This email references M00354854/11/350 5 AVENUE MANHATTAN. A DOB auditor has determined that corrections are required for this filing and provided these comments:

<table>
<thead>
<tr>
<th>Audit Findings</th>
<th>Audit Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Open</td>
</tr>
</tbody>
</table>

Log into [DOB NOW: Build](https://www.dob.nyc) to file a Post Approval Amendment (PAA). If a PAA is not filed within 10 calendar days of this notice, the audit status will change to Intent to Revoke.

This is an automated message. Please do not reply. If you have any questions, submit an inquiry at [www.nyc.gov/dobnowhelp](http://www.nyc.gov/dobnowhelp).

Sincerely,

NYC Department of Buildings

[NYC Buildings Logo]
A flat, one time fee of $100 is charged when a new PAA is filed.

An increase or decrease in the estimated job cost results in a recalculation of fees:

- **For increases** in the job cost, the Applicant must pay the price difference (from the initial fee, on the initial filing).
  - Pay Now is enabled to pay the price difference using CityPay

- **For decreases** in the job cost, an adjustment is made (from the initial fee, on the initial filing).
  - The Applicant requests a refund based on the adjusted price outside of DOB NOW.
    - An RF1 must be submitted to a borough office to initiate the refund process.
    - Instructions are available here:
      - [https://www1.nyc.gov/assets/buildings/pdf/refund_request_appl_instr.pdf](https://www1.nyc.gov/assets/buildings/pdf/refund_request_appl_instr.pdf)
PAA FILING STEPS

1. Locate the LAA on the Dashboard
2. Select Filing Actions on the LAA
3. Select PAA
4. Review/Update Proposed Work Summary
5. Review/Update Fee Assessment
6. Select Scope of Work
7. Upload Documents
8. Complete Statements and signatures
9. Submit Payment
10. Preview Before Filing
11. Submit
PAA FILING PROCESS

Step by Step Demonstration
QUESTIONS?
RESPOND TO AUDITOR’S OBJECTIONS

1. **Locate** the PAA on the Dashboard
2. **Open the PAA**
3. **Select** the Objections tab
4. **Select** the Objection Status
5. **Enter** Comments
6. **Click** Save
7. **Click** Re-submit
8. **Confirm** Submission
RESPOND TO AUDIT OBJECTIONS FOUND IN A PAA

Step by Step Demonstration
QUESTIONS?
RESPOND TO INTENT TO REVOKE

1. Locate the LAA on the Dashboard
2. Open the LAA
3. Select Intent to Revoke/Rescind tab
4. Select Edit
5. Enter Rescind Justification
6. Click Update
7. Complete Statements & Signatures
8. Select Submit
9. Confirm Submission
RESPOND TO INTENT TO REVOKE
SUBMIT A JUSTIFICATION

Step by Step Demonstration
QUESTIONS?
LEARNING OBJECTIVES MET

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QUESTIONS?
DOB NOW RESOURCES

Department of Buildings website
www.nyc.gov/dobnowinfo

Here you will find helpful links to:
- Log-in and Register for DOB NOW
- Take advantage of Training Tools & Classes
- Find FAQs and Tip Sheets for DOB NOW Build

Click on the Links to drill down for more information in each of the categories.
WHO TO CONTACT? – DOB NOW

Send your questions to DOB by submitting a request from the DOB NOW Home Page or by visiting the link

www.nyc.gov/dobnowhelp
The system will direct you to the eFiling registration site at:

www.nyc.gov/dobefiling
QUESTIONS?
THANK YOU!