



Directive 14 of 1975 Alteration

No Change to Use, Egress or Occupancy



Photo: Samantha Modell

DIRECTIVE 14 OF 1975 ALTERATIONS

Alteration Type-2 or -3

Projects that do not propose a change to use, egress, or occupancy or any other change that might affect the Certificate of Occupancy are eligible for a limited review under the Directive 14 of 1975 (D14) program. The applicant assumes responsibility for the job and is authorized to perform the final inspection of his/her project and request a letter of completion.

The D14 exam includes a review of the documents and plans focused on the following: Administrative compliance, zoning, verification of no change to egress or occupancy, fire protection systems, accessibility for persons with disabilities, NYC Energy Code compliance, PW3 project cost check, and flood hazard.

Administrative Compliance: Building Code and Agency Rules and Procedures

Examiner reviews PW1 and all attendant forms and plans to verify that the applicant has properly completed the necessary forms, obtained the signature of his/her client and authority to perform the work by an officer of the coop or condo board, if appropriate. Documents and drawings must be signed and sealed by the applicant and the drawings must adequately describe the scope of the work and comply with agency standards.

Zoning: New York City Zoning Resolution

Enlargements that alter the zoning floor area and the open space on the zoning lot that comply with the zoning resolution may be filed under the D14 program. The following changes are not permitted under this type of filing: zoning use, number of stories, increase to number of residential dwelling units, and number of parking spaces.

Egress: No change to egress is permissible under the D14 program.

Occupancy: No change of occupancy is permitted under D14 filing.

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Fire Protection: [New York City Fire Code and BC Chapter 9](#)

Sprinkler and Standpipe applications receive a full exam under the D14 program. Fire suppression systems and fire alarm systems are reviewed under this program. Additional exam items include rooftop access for firefighting operations often related to projects that involve the placement of equipment on the roof, including but not limited to cellular communications installations, solar panels, and mechanical unit installations.

Accessibility for Persons with Disabilities: [BC Chapter 11, 2010 ADA](#)

The project scope may trigger compliance with accessibility requirements under multiple sets of relevant regulations. As per the [NYC Administrative Code, §28-105.4.2.1](#), replacement of toilet fixtures with like fixtures on existing roughing would be classified as *Ordinary Repairs*, and thus would not trigger accessibility requirements of the NYC Building Code. However, reconfiguration or re-planning of the toilet would be considered an alteration, and therefore the work would be subject to the Code requirements. Other changes that may trigger accessibility compliance include: change of use or egress, installation of new storefront, new construction, additions, and improvements which exceed 50% of the replacement cost of the building.

Energy Conservation Code: [NYCECC 2014](#)

With few exceptions, alterations to a building's envelope, lighting, heating or mechanical systems must comply with the New York City Energy Conservation Code (Energy Code or NYCECC). Progress inspections must be clearly designated.

PW3: Project Cost Check

Every job is checked by comparing the applicants estimated cost at the time of filing with the value estimated by the agency cost valuation tool, based on Means Cost System data.

Flood Hazard: [Compliance with BC Appendix G and Rules of the City of New York](#)

Properties not located in a flood hazard area as designated on a FEMA map have no compliance requirements related to floods. Location of the building site in the FEMA-mapped flood zone triggers requirements for analyses to determine whether the proposed improvements constitute a substantial improvement and full compliance with BC Appendix G.

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This publication is a general overview of the requirements for this type of work. There may be additional, applicable Zoning Resolution, Construction Code, Multiple Dwelling Law or Energy Code requirements.

FIRST STEPS

- Review application details in [BIS Web](#) and PW1 for scope of work
- Lot diagram (*street address, block and lot number, Zoning district, map number, building occupancy group, construction classification, multiple dwelling classification, dimensions of lot, building, yards, distance to corner street intersection, street names*)
- For enlargements, verify that correct zoning district and applicable special purpose districts are correctly indicated (*waterfront area or block, flood hazard area, fire district, landmark district, Little 'e' DEP designated block, wetlands, 200' within MTA infrastructure*).
- Verify existing legal use and configuration – [TPPN #14/88](#)
- Verify no changes of use, egress or occupancy or other change inconsistent with an existing C of O – [AC §28-118](#)
- Code Applicability: Determine which code the application was elected for review under and whether mandatory 2014 code compliance apply – [AC §28-101.4.3](#)
- Borough commissioner predeterminations, if applicable

ADMINISTRATIVE

DOB Forms

- [PW1](#) (Verify gross floor area including cellar counted for fees)
- [PW1B](#) (Schedule B, Plumbing, Sprinkler, Standpipe. Narrative description on the front with new fixture and piping tally on the back)
- [PW3](#) Cost Affidavit. (Verify estimated construction cost with Department cost-estimate tool)

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- **PW4** Application for Certificate of Compliance for Equipment. (for new HVAC equipment greater than 36,000 BTU and other as required)
- **TR1** Technical Report: Statement of Responsibility. (for progress and special inspections; Special Inspections require Special Inspection Agency Number)
- **TR2** Technical Report: Concrete Pouring, Sampling and Compression Test Cylinders. (Required whenever Poured in Place Concrete is part of the job, can be waived under BC 1704.4)
- **TR3** Technical Report: Concrete Design Mix. (Required whenever Poured in Place Concrete is part of the job, can be waived under BC 1704.4)
- **TR4** Technical Report: Soil Inspection. (Necessary for horizontal enlargement with foundations)
- **TR8** Technical Report: Statement of Responsibility for Energy Code Progress Inspections. (Supplied for all jobs whether energy inspections are necessary or not)
- **DS1** Demolition Submittal Certification Form. (Necessary for demolition of structural elements of the building, may be waived for air conditioning sleeve or similar)
- **PA1** Place of Assembly Application. (Required for all spaces where 75 or more persons will assemble for various purposes)
- **ST1** Street Tree Checklist. (Required for all enlargements, planting requirements waived for enlargements less than 20% of total floor area on zoning lot, except 1 or 2 family buildings)
- **ZD1** Zoning Diagram. (Required for all projects that propose an enlargement that affects the building envelope)

Technical Documents – Where Applicable

- Zoning exhibits (for enlargements, see [Department Memo of 5/18/1978 re: Zoning Lot Certification](#) pursuant to [Section 12-10 of Zoning Resolution](#))
- Restrictive declarations (Required for various conditions like lot line windows or various easements, see [BB 2015-008](#))

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- [ACP5, ACP7, ACP20, ACP21](#) Asbestos Reports.
- [House Connection](#): Approval from NYC Department of Environmental Protection for house connection proposal
- [Site Connection](#): Approval from NYC Department of Environmental Protection for all other connection proposals (other than house)

Related Applications – Where Applicable

- [Construction Fence](#) Application: If filed separately, prior to approval of D14
- Fire suppression system filing and related hood for eating and drinking establishment, filed prior to approval of D14
- Sidewalk Shed Application: If filed separately, prior to approval of D14
- Scaffold Application: If filed separately, prior to approval of D14
- Sprinkler and/or Standpipe Application: If filed separately, prior to approval of D14
- Alteration Type 1: May be required to legalize change of use where work was performed under D14

ZONING

Use Regulations

- Verify that no change of use is proposed per [Directive 14 of 1975](#) and [AC §28-118](#)

Zoning Analysis for enlargements must be sufficiently complete to document compliance with all pertinent zoning regulations.

- Floor area (no changes in number of stories under Alt-2 application)
- Open space and lot coverage
- Residential dwelling unit count may not be increased (apartments may be combined in multiple dwellings under D14 filing)

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- Yards and Courts
- Permitted Obstructions
- Trees and Planting

EGRESS

- No change to egress is permitted under D14. Changes to egress must be filed under non-directive Alt 2 or Alt 1
- Changes to egress include stair replacement, replacement of fire escapes, or modification of egress path or travel distance
- Relocation of exit doors in small ground floor retail establishments shall not constitute a change of exits – [Buildings Bulletin 2009-025](#)

OCCUPANCY

- No change of occupancy is permitted under D14 EXCEPT change between Mercantile UG6 and Eating and Drinking Establishment UG6 (for fewer than 75 persons). See [Buildings Bulletin 2009-025](#)

FIRE PROTECTION

- Sprinklers and standpipes receive a full examination under D14. See BC [Chapter 9](#) and [Appendix Q](#)
- Verify that rooftop access is provided for FDNY per [FC 504.4](#).

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ACCESSIBILITY FOR PERSONS WITH DISABILITIES

- Does something in the scope of work trigger compliance with accessibility requirements?
- Anything new or altered must comply with applicable requirements of Chapter 11 of 2014 NYC Building Code and ICC ANSI A 117.1-2009.
(NOTE: The ADA standards are enforced by the U.S. Department of Justice, not the New York City Department of Buildings).
- Door widths and clearances – ICC A117.1- 2009, section 404
- Ramps with landings provided at both ends and at turns of ramp – ICC A117.1- 2009, section 405.
- Handrail extensions at stairs and ramps – ICC A117.1- 2009, section 505.10.1

NYCECC - NEW YORK CITY ENERGY CONSTRUCTION CODE

- [2014 Energy Conservation Code](#)
- Is box 10 of PW1 properly filled out?
- Professional's certification statement required on drawings
- Energy Analysis (Tabular analysis, Res Check/Com Check, or Energy Model) verify that the applicant is referring to the correct version of the Code, climate zone, and using the correct Code reference sections
- For Res Check or Com Check all portions (envelope, mechanical, and lighting) must be submitted together
- Supporting documentation: plans, reflected ceiling plans, sections, details, schedules and legends as required; details are properly noted with R values, etc.
- Progress inspections are presented in table format that describes the inspection, their frequency, and the timing during or after the work

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PW3 COST AFFIDAVIT

- Do the drawings adequately describe the scope of the work and is there sufficient detail to know how the scope will be achieved, [AC 28-104.7](#)?
- Are the correct work types represented?
- Does PW3 indicate the correct unit types (single family, each, etc.) and the correct count and correlated cost?
- Does the proposed cost agree with the cost validation tool (within \$10K or 10%)?
- Remember to record your use of the tool for each job

FLOOD HAZARD

- Check applicant's response to flood hazard area question in Box 20 of PW1
 - If the applicant checked 'No', a note on the plans must indicate that the property is not located in a flood hazard area and there are no further compliance requirements
 - If the applicant checked 'Yes' in Box 20, the following must be provided:
 - FEMA Flood Insurance Rate Map (FIRM) 2007 showing site location on the map
 - Most recent Preliminary FIRM showing site location on the map
 - Note on the plans to indicate that the property is in the flood hazard area
 - Substantial improvement analysis per [1 RCNY 3606-01](#) on plans
 - The Substantial Improvement Analysis must include the cost of all other work to be performed during the same period, including work filed under separate application(s) and including any minor alterations and ordinary repairs. If the work does not constitute a substantial improvement, it is required that no new non-compliance be created.
- Work that constitutes a substantial improvement, must comply fully with [BC Appendix G](#) (including G106 Certificates of Occupancy)

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COMMON PROJECT TYPES

Fire Protection Plan – [AC §28-109](#)

- Required for alterations over \$1 million or where a change is made that is inconsistent with an existing fire protection plan – [AC §28-109](#)
- Required for occupancy groups B, E, F, H, M, S occupying two or more stories greater than 20,000sf or occupying two or more stories in a building greater than 50,000sf.

Fire Alarm – [BC 907.2](#)

- Look for approved plans from FDNY.

Site Safety, Structural and Foundation for Horizontal Enlargements

- Site Safety Plan – [BC 3310.3](#), [§AC 28-110.1](#)
- Protection of adjoining and neighboring property and foundations – [BC 3304](#), [3309](#)
- Construction Fence – [BC 3307.7](#)

Special Inspection for Structural Stability, as required – [BC 1704.20](#)

Mechanical and Ventilation – [NYC Mechanical Code](#)

- Plumbing work type (PL) filed for mechanical heating via gas
- Equipment Certificates of Operation applied for new or existing equipment
- Ventilation and exhaust requirements for bathrooms, crawl spaces, boiler rooms, meter rooms, gas dryers – [BC 1203.3](#), [§1209.1](#); [MC Table 403.3](#), and sections [504](#), and [701.2](#)

NYC Plumbing Code

- Plumbing and gas riser diagrams
- 19 sprinkler head limit off domestic water service – [BC 903.3.5.1.1](#)
- Boiler Work Type (BL) filed for commercial boilers and residential buildings greater than six-family

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Sprinkler – BC §903

- Number of water sources
- Backflow preventer for new sprinkler service – [BC 903.3.5](#)
- [Hydrant Flow Test Letter](#) from NYC DEP
- Location of incoming service, curb box valve, sprinkler alarm, floor control valves, inspector test tee
- Hydraulic calculations required if not using pipe schedule method. - [BC Q102](#)
- Sizes for riser and branch piping – NFPA 13 8-2, 8-3. ([BC Appendix Q](#))
- Painted coloring of fire protection system piping and valve handles – [Buildings Bulletin 2010-014](#)

Storm Water Drainage / Drywell – Reference Standard 16; 1968 Building Code; Buildings Bulletin 2009-013

- Required for impervious surface increases exceeding 200 square feet for alterations to existing one- and two-family dwellings. [BC 107.11.2](#)
- Soil boring test, soil percolation test (drywell only). [BC 1704.21.1](#)
- Detention tank or roof detention as alternative. [BC 1704.21](#)

APPLICABLE BULLETINS, DIRECTIVES, PPNS, MEMOS

- [Directive 14 of 1975](#) (and all subsequent amendments).
- Combining apartments – [TPPN 3/1997](#)
- Documentation of Existing Legal Use – [TPPN 14/88](#)

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OTHER AGENCY APPROVALS

- NYC Public Design Commission: Approval for exterior work on City-owned property
- Board of Standards and Appeals: For enlargement or structural alteration contrary to zoning or code
- City Planning Commission: Certification required for certain uses as per zoning
- NYS Department of Environmental Conservation: Approval if adjoining wetlands
- NYC Department of Environmental Protection: Hydrant Flow Test Letter
- NYC Office of Environmental Remediation: Notice to Proceed required for Little 'e'
- Landmarks Preservation Commission: landmark or building contributing to a district
- MTA/Port Authority of New York and New Jersey: Approval required for work within 200' of transit infrastructure
- New York City Department of Parks and Recreation: Street tree issues
- Department of Transportation for encroachments