COURSE 101
Filing Representative Training
for
Class 1 Representatives and Class 2 Code and Zoning Representatives

Includes:

• Process from Initial Filing
• Types – Alt 1, 2 or 3, Signs, BPP, Sprinkler
• Certificates of Occupancy Administrative Code-Article 118
• Construction Permits
• Electrical Permits
• Filing Organization and Strategy
The Process
Initial Filing to
Certificate of Occupancy or
Letter of Completion

Devaughn Morris
Service Manager

Code and Zoning Representative
Training Modules 1.1
Plan Examination:
- Required in all cases if application is not professionally certified
• Inspection by the Department of Buildings (DOB) required in all cases if application is non-directive 14
Directive 14 of 1975

- Provided the submitted application is complete and under other outlined conditions (….no change in use, egress or occupancy), there will be a limited review in plan examination.
Professional Certification

Operations Policy And Procedure Notice #1/04

• The Department offers a Professional Certification (Pro-Cert) Program which enables Registered Architects (R.A.s) and Professional Engineers (P.E.s) to certify that the plans they file with the Department are in compliance with all applicable laws.

• This reduces the amount of time a builder normally has to wait for a DOB permit by eliminating the process of Department examination and approval of the plans.
Initial Filing to Letter of Completion
Directive 14 / Pro-Cert

...continued on next slide
Initial Filing to Letter of Completion
Directive 14 / Pro-Cert

…continued from previous slide

Contractor completes work

Licenced Design Professional (Architect or Engineer) Certifies Inspection

Design Professional Accepts

Filing Reps, applicants, etc. submit various completed forms (final inspections, etc.) to the Certificate of Occupancy (C of O) unit for processing

The C of O Unit Processes Paperwork and issues Letter of Completion
Initial Filing to Letter of Completion
Non-directive 14 / Pro-Cert

…continued on next slide
...continued from previous slide

- Inspection by the Department of Buildings (DOB) required in all cases if application is non-directive 14
Initial Filing to Letter of Completion
Directive 14 / Not Pro-Cert

Plan Examination:

- Required in all cases if application is not professionally certified

...continued on next slide
...continued from previous slide

Contractor completes work

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Design Professional Accepts

Filing Reps, applicants, etc. submit various completed forms (final inspections, etc.) to the Certificate of Occupancy (C of O) unit for processing

The C of O Unit Processes Paper work and issues Letter of Completion
Customer Service Tickets

- Tickets are issued to help organize and streamline visits to the Department of Buildings by filing representatives, applicants of record, owners and others
- Tickets reserve your spot in the queue for visiting the various units in the Borough Office
Application is submitted by a Licensed Professional
• Use G or H Ticket

Application is submitted by a Licensed Professional

Information is Data Entered on BIS
• Picking up Approved and Disapproved applications from the Record Room
  • Use J Ticket
• After Plan Exam approval the Contractor applies for permits
  • Use A or B Ticket
• If work does not comply with submitted approved plans and a PAA must be filed
  • Pay fee for PAA using an E ticket
After all work passes inspections you may apply for the Certificate of Occupancy / LOC

- Use C Ticket
Miscellaneous Tickets

- A-Ticket: Application Processing - DEAR, Permits, Corrections
- B-Ticket: Priority Application Processing – DEAR, Permits, Corrections
- C-Ticket: Certificate of Occupancy, Letters of Completion
- D-Ticket: Electrical
- E-Ticket: Express Cashier – Payments, Variances
Miscellaneous Tickets

• F-Ticket: Plumbing
• G-Ticket: Priority Fast track – Pre-filing
• H-Ticket: Fast Track Application – Pre-filing
• I-Ticket: ECB/ Manuals/ Reinstatements
• J-Ticket: Record Room – Plan Desk, Microfilm, Folders
Thank You!
Application Types and their Requirements

NB, Alt-1,2 or 3, signs, BPP, subdivisions, Places of Assembly, and Zoning Challenges

Anthony Pollicino
Project Advocate

Code and Zoning Representative
Training Module 2.4
We will discuss the following:

- Applications types
- Forms
- Filing process
- ZD1 -Zoning Diagram, related to Public Zoning Challenge
- Applications that do not require RA’s or PE’s to file
New Buildings (NB)

- Residential
- Commercial and other building types
- Accessory Buildings – eg. garages, storage bldg.

Alteration Type 1 (Alt1)

- Changes to Egress
- Changes to Building construction classification
- Changes to the zoning metes and bounds
- Changes Occupancy classification or occupancy count
- *Basically, any changes to an existing building that impact the current C of O*

Alteration Type 2 (Alt2)

- Alteration not affecting legal occupancy or egress

Alteration Type 3 (Alt3)

- Minor construction work involving one work type (no plumbing, etc.)
Sign (SG)
  • Wall signs, Projecting signs
    Note: sign structure is filed under separate application

Place of Assembly (PA)
  • An enclosed / confined space with an occupant load of 75 people or more.
  • An confined- open space with an occupant load of 200 or more people

Subdivision (SI)
  • Tax lots
  • Condominiums

Demolition (DM)
NB and Alt1 Applications

- OT – General construction
- PL – Plumbing
- BL – Boiler
- MH – Mechanical
- FP – Fire Suppression
- SP – Sprinkler
- SD – Standpipe
- CC – Curb Cut (only one c/c)
  Note: Typically, curb cuts are filed separately under a BPP application.
- EQ – Fence or Sidewalk Shed or Scaffolding
Alt2 – Alteration

- OT – General Construction
- PL – Plumbing
- SD – Standpipe
- SP – Sprinkler
- BL – Boiler
- FB – Fuel Burning
- FS – Fuel Storage
- MH – Mechanical
- FP – Fire Suppression
- FA – Fire Alarm
**Alt3 – Alteration 3**

**Note:** only one work type is allowed!

- OT – GC
- CC – Curb Cut (only one c/c)
- OT – Other (specify)
- OT/ BPP – Builder Pavers Plan
- OT/ FPP – Fire Protection Plan
- OT/ MAR – Marquee
- OT/ ANT – Telecom Antenna
- EQ - Fence or Sidewalk Shed or Scaffolding

**Sign (SG)**

- OT – Sign

**PA (Public Assembly), SI (Subdivision) & DM (Demolition)**

- There are no work types, these are application types
NB and Alt 1

- PW1 – Job description and misc. information
- PW1A – Schedule “A” – Occupancy / Use
- PW1B – Plumbing work – schedule “B”
- PW1C – Boiler work – schedule “C”
- PW3 – Cost affidavit
- ACP5 – Performed by certified licensed asbestos investigator
  Work involves minor non-asbestos work or all asbestos was removed.
- EN1 – Energy Cost Budget Worksheet
- TR1 – Special Inspections (when applicable other special inspections will be required – e.g. TR2, TR3, TR4, TR5, TR8, etc.)
- PD1 – Plot diagram
  House Number verification
- Zoning Lot certification
- ZD1 – Zoning diagram
- Other Outside agency approvals –
  e.g., DEP Sewer Connection, FDNY, Landmarks, Public Design Commission, etc.
**Alt2 – Alteration**

- PW1 - Initial application
- PW3 - Cost affidavit
- ACP5 - Asbestos certifications
- TR1 - Special Inspections (when applicable other Special & Progress inspections will be required – e.g. TR2, TR3, TR4, TR5, etc.)
- ZD1 - Zoning Diagram (req’d when addition is proposed)
- Outside agency(s) approvals – (e.g. DEP, FDNY, Landmarks, Public Design Commission, etc.)

**Alt3 – Alteration (only one work type allowed)**

- PW1 - Initial application
- ACP5 - Asbestos certifications
- TR1 - Special Inspections (when applicable other special & Progress inspections will be required – e.g. TR2, TR3, TR4, TR5, etc.)
- Outside agency(s) approvals – (e.g. DEP, FDNY, Landmarks, Public Design Commission, etc.)
Sign application
• PW1 – Initial form
• ACP 5 – Non asbestos certification
• TR1 – Special Inspections – e.g. high strength bolts

Subdivision application
• PW1 – Initial form
• RP602 – DOF – land Tax lot
• RP602c – DOF – condominium tax lot
• Other agencies – attorney General condo offering plan

PA application
• PA1 – Initial form
Filing Process at DOB
Brief Overview

Pre-filing application → Filing-data entry → Review process → Approval

Disapproved
- PEN’s appt
- Comply

Permit → inspections → Sign off → Final C of O or Letter of Completion
PW-1
Plan and work application:

- This form is required for all NB, alt 1, 2, 3, sign applications.
PD1
1-page

Plot Diagram:

- Must contain a drawn plot diagram, with metes and bounds and related north arrow.
- House number and topography stamp is required.
PW-3 Cost Affidavit:

- Itemized cost break-down.
- Submitted at time of filing.
- A final cost affidavit will be required at time of sign off.
PW-1A
2-pages
Schedule A:

- Required for new buildings and alteration 1 applications.
- Buildings with existing cofo require existing floors/loads and uses to be indicated on the schedule A.

<table>
<thead>
<tr>
<th>Building Legal Use</th>
<th>Proposed Use</th>
<th>2019 Code Occupancy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Floor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1st Floor</td>
<td>Office</td>
<td>Office</td>
</tr>
<tr>
<td>2nd Floor</td>
<td>Office</td>
<td>Office</td>
</tr>
<tr>
<td>3rd Floor</td>
<td>Office</td>
<td>Office</td>
</tr>
<tr>
<td>4th Floor</td>
<td>Office</td>
<td>Office</td>
</tr>
</tbody>
</table>

Note: Information is complete and correct to the best of the knowledge.
TR-1 – Technical report

TR-1
3- pages

Technical report form:

- Special and Progress inspections.
- If a report is provided for an exception is at the time of completion of an inspection then it must be reviewed and received by the Plan Examiner or Chief Plan examiner.
Energy Cost Budget form:

- Triggered by Section 10 of the PW-1
- Scanned on to plans
- EN2 required at completion of project.

EN1 – energy cost Budget form

<table>
<thead>
<tr>
<th>Location Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>House No(s)</td>
</tr>
<tr>
<td>Street Name</td>
</tr>
<tr>
<td>Borough Block Let EIN CB No.</td>
</tr>
<tr>
<td>Work on Floor(s) Appl/Condo No(s)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Applicant Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last Name</td>
</tr>
<tr>
<td>First Name</td>
</tr>
<tr>
<td>Middle Initial</td>
</tr>
<tr>
<td>Business Name</td>
</tr>
<tr>
<td>Business Telephone</td>
</tr>
<tr>
<td>Business Fax</td>
</tr>
<tr>
<td>City State Zip Mobile Telephone</td>
</tr>
<tr>
<td>Email License Number</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Energy Modeling Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Energy Monitoring Protocol (check one) Appendix G PRM Section 11 ECB</td>
</tr>
<tr>
<td>Modeling Software &amp; version: Weather File:</td>
</tr>
<tr>
<td>Total Modeled Square Feet: Conditioned Square Feet:</td>
</tr>
<tr>
<td>Proposed Unmet Load Hours: Baseline Unmet Load Hours:</td>
</tr>
<tr>
<td>Project EUI (kBtu/ft²): Project Site EUI (kBtu/ft²):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Purchased Energy Rates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fuel Utility Rate Provider Rate Structure (i.e CondEd) Virtual Utility Rate (kW) Baseline Design Total Charge ($) Virtual Utility Rate (kW) Proposed Design Total Charge ($) Supporting Doc. Location Model Output Report</td>
</tr>
<tr>
<td>Electric Gas Steam Other TOTAL</td>
</tr>
</tbody>
</table>

This project contains on-site generation.
EN1 Supplemental Form

EN1c Form – Additional scope wall forms

<table>
<thead>
<tr>
<th>Model Input Parameter</th>
<th>Scope</th>
<th>Building Category (Existing)</th>
<th>Empl.</th>
<th>Assembly Direct/Polished Nickel</th>
<th>Assembly Direct/Polished Nickel</th>
<th>Supporting Doc. Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model Input Parameter</td>
<td>Scope</td>
<td>Building Category (Existing)</td>
<td>Empl.</td>
<td>Assembly Direct/Polished Nickel</td>
<td>Assembly Direct/Polished Nickel</td>
<td>Supporting Doc. Numbers</td>
</tr>
</tbody>
</table>

Last page of the EN1

Supplemental form to the EN1
Energy Cost Budget Form:

- EN2 required at completion of project.
TR8 – Energy code progress inspection form

2-pages

Energy code progress inspections form:

- Triggered by Section 10 of the PW-1
- TR8 required at time of approval, permit and sign off.

TR8 – Energy Code Progress Inspection

1. Location Information
   - Required Information
   - Building Name:
   - Street:

2. Applicant Information
   - Name:
   - Business Name:
   - State:
   - Zip Code:

3. Energy Code Progress Inspection
   - Certification of Completion
     - Have completed the items specified below and certify the following:
     - The work performed and/or inspected confirms the approved construction documents and has been performed in accordance with applicable provisions of the New York City Energy Conservation Code and other designated rules and regulations.

4. Design Applicant’s Statements and Signatures
   - Applicant Name:
   - Design Applicant Name:
   - Date:

5. Inspection Applicant’s Certification of Completion
   - Signed:
   - Date:

6. Inspection Applicant’s Identification of Responsibilities
   - Check all that apply:
   - [ ] For the progress inspection one individual is responsible for 1. Reviewing the building plans and specifications to ensure compliance with the energy code.
   - [ ] For the progress inspection, one individual is responsible for 2. Monitoring the progress of the project to ensure compliance with the energy code.

NYC Buildings

build safe | live safe
PA-1
1- page

Place of assembly form:

- New place of assembly lay-out (filed by RA or PE)
- Amended place of assembly lay-out (filed by RA or PE)
- Change of ownership (filed by Business owner)
- Renewal of PA certificate of operation are done by FDNY
The ZD1 is required for an application that proposed a new building or an enlargement to existing building on a zoning lot.
- The ZD1 must be submitted to the plan examiner for review.
- When in compliance the examiner will approve & receive the ZD1 required item on BIS.
- Examiner will forward ZD1 to B-scan to Post on BIS

The purpose of the ZD1 form is to facilitate the Zoning Challenge Process
ZD1 – Go to DOB web site click on:
“Development” ➝ “forms” ➝ “Plan/work & permits” ➝ ZD1 form

build safe | live safe
Filing that can be performed by a contractor:

- Boiler room enclosure (one to two family dwellings)
- Curb cuts accessory, driveway and accessory parking to one to two family dwellings.
- Grading of land.
- Awning
- Non-structural sign
- Sidewalk shed

Is a permit Required?
Refer to RCNY section 101-14 chapter 100

- Includes categories of work that may or may not require a permit.
- This is discussed more fully in another presentation
Thank You!
Certificate of Occupancy

Raymond Plumey, FAIA
Bronx Deputy Borough Commissioner

Code and Zoning Representative
Training Module 2.2
Certificate of Occupancy Overview

A Certificate of Occupancy documents

• the legal use and
• occupancy of a building.

A **new** Certificate of Occupancy (CO) is required if

• planned construction creates a new building

In general, an **amended** or a **new** CO is required if

• planned construction changes an existing building’s
  • Use,
  • Egress, or
  • Occupancy
## Certificate of Occupancy issued prior to 1938

### Overview

<table>
<thead>
<tr>
<th>STORIES</th>
<th>CLASSIFICATION</th>
<th>CONSTRUCTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Stone</td>
<td>Brick</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FLOORS</th>
<th>OCCUPANCY</th>
<th>Live Load Per Sq. Ft. in Pounds</th>
<th>No. of Persons</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub-Cellar</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Cellar</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Basement</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>First Floor</td>
<td>-</td>
<td>100</td>
<td>-</td>
</tr>
</tbody>
</table>

N. B. Application

No. E. & W. 1922
Partial Superseded Temporary Certificate of Occupancy 1938 -1968 Overview

<table>
<thead>
<tr>
<th>Date</th>
<th>BOROUGH OF THE CITY OF NEW YORK</th>
</tr>
</thead>
<tbody>
<tr>
<td>FEB 2, 1938</td>
<td>DEPARTMENT OF BUILDINGS</td>
</tr>
</tbody>
</table>

**CERTIFICATE OF OCCUPANCY**

NO CHANGES OF USE OR OCCUPANCY NOT CONSISTENT WITH THIS CERTIFICATE SHALL BE MADE UNLESS FIRST APPROVED BY THE BOROUGH SUPERINTENDENT.

This certificate supersedes C. O. No. **0000**, this certificate being the superseding certificate.

**Beginning** at a point on the west side of the street, the property being bounded and described as follows:

- East boundary: 25 feet south from the corner formed by the intersection of the street and the property.
- North boundary: 425 feet north from the corner formed by the intersection of the street.
- West boundary: 700 feet west from the point or place of beginning.

The building as described is subject to the limitations hereinafter specified and to the following resolutions of the Board of Standards and Appeals:

**PERMISSIBLE USE AND OCCUPANCY**

<table>
<thead>
<tr>
<th>Floor</th>
<th>Live Living Area Sf.</th>
<th>Persons Authorized</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Basement</td>
<td>on Grade</td>
<td>354</td>
<td>Shower and Toilets, Lunch Room, Kitchen, Boiler Room.</td>
</tr>
<tr>
<td>Bosque</td>
<td>100</td>
<td>624</td>
<td>Auditorium-Cafeteria, Rest Room, Toilets, Teachers' Room.</td>
</tr>
<tr>
<td>Second</td>
<td>75</td>
<td>15</td>
<td>Library, Principal's Office, Toilet, Book Storage.</td>
</tr>
<tr>
<td>Third</td>
<td>75/100</td>
<td>120</td>
<td>Classroom, Toilet.</td>
</tr>
<tr>
<td>Third</td>
<td>75/100</td>
<td>120</td>
<td>Classroom, Toilet.</td>
</tr>
</tbody>
</table>
Temporary Certificate of Occupancy
1968 – Present  Overview

This Certificate of Occupancy (CO) certifies that the premises described herein conforms substantially to the approved plans and specifications and to the requirements of all applicable laws, rules and regulations for the uses and occupancies specified. No change of use or occupancy shall be made unless a new Certificate of Occupancy is issued. This document or a copy shall be available for inspection at the building at all reasonable times.

A. Borough: Address: Lot Number(s): Certificate Type: Block Number: Effective Date: Building Identification Number (BN): 10 x 10: Certificate Type: Not Present

B. Construction classification: Building Occupancy Group classification: Multiple Dwelling Law Classification: No. of stories: Height in feet: No. of dwelling units: 13 120 117

C. Fire Protection Equipment: Fire Suppression system

D. Type and number of open spaces: Parking spaces (56), Parking (13200 square feet)

E. This Certificate is issued with the following legal limitations:

- Egress EAsMENT
- River River

Outstanding requirements for obtaining Final Certificate of Occupancy:
There are 33 outstanding requirements. Please refer to B/D/N for further detail.

Borough Comments:

OK TO ISSUE TCO FOR 90 DAYS
## Final Certificate of Occupancy

### Overview

This certificate states that the premises described herein conform to the approved plans and specifications and to the requirements of all applicable laws, rules, and regulations for the uses and occupancies specified. No change of use or occupancy shall be made unless a new Certificate of Occupancy is issued. This document or a copy shall be available for inspection at the building at all reasonable times.

### Certificate of Occupancy

**CO Number:** 2911F

This certificate is for building **2911F** on **E 236 St** in **Borough:** **Bronx**.

### Permissible Use and Occupancy

- **Building Identification Number (BIN):** 2911F
- **Certificate Type:** Final
- **Effective Date:** 07/24/2013

#### For zoning lot sizes & bounds, please see BisWeb.

#### Building Occupancy Group classification: J2 (1968 Code)

- **No. of stories:** 3
- **Height in feet:** 30
- **No. of dwelling units:** 3

#### Construction classification: 2-B (1968 Code)

#### Multiple Dwelling Law Classification: HAEA

#### Fire Protection Equipment

- None associated with this filing.

### Type and number of open spaces

- None associated with this filing.

### This Certificate is issued with the following legal limitations:

- None

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**END OF SECTION**
No building hereafter altered so as to change
- from one occupancy group to another or
- from one Zoning use group to another,
shall be occupied until a Certificate of Occupancy has been issued.

- **Zoning Use Groups (Zoning Resolution):**
  1 & 2 (Residential), 3 & 4 (Community Facility), 5-15 (Retail & Commercial), 16 (General Service), 17 & 18 (Manufacturing)

- **Occupancy Groups (Building Code):**
  A (Assembly), B (Business), E (Educational), F (Factory & Industrial), H (High Hazard), I (Institutional), M (Mercantile), R (Residential), S (Storage), U (Utility)
Changes Inconsistent with Existing Certificate of Occupancy

**AC § 28-118.3.2**

No change shall be made to a building, open lot or portion thereof inconsistent with the last issued certificate of occupancy or, where applicable, inconsistent with the last issued certificate of completion for such building or open lot or which would bring it under some special provision of this code or other applicable laws or rules, unless and until the commissioner has issued a new or amended certificate of occupancy.

**AC § 28-118.3.2.1 Changes in the address, block, lot, or zoning lot.** When changes are made in the address of the structure, block and/or lot numbers or metes and bounds of the zoning lot that are inconsistent with the certificate of occupancy, the owner shall obtain a new or amended certificate of occupancy within one year.

New CO required if
- changes made are inconsistent with the last issued CO
- changes were made which bring the building, etc. under some special provision of this code
No building hereafter altered so as to cause a **major alteration to existing exits** shall be occupied or used unless and until the commissioner has issued a certificate of occupancy certifying that the alteration work for which the permit was issued has been completed substantially in accordance with the approved construction documents and the provisions of this code and other applicable laws and rules.
AC § 28-118.3.4
A building or open lot in existence prior to January 1, 1938 and heretofore legally used or occupied without a certificate of occupancy or, if applicable, a certificate of completion, and subject to the provisions of section 28-102.4 (continuation of lawful existing use), may continue to be used or occupied without a certificate of occupancy or, if applicable, a certificate of completion, pursuant to the requirements of section six hundred forty five of the New York city charter, this code and other applicable laws and rules provided there is no change in the existing use or occupancy classification of the building, open lot or portion thereof.

AC § 28-102.4 Existing buildings.
“The lawful use or occupancy of any existing building or structure, including the use of any service equipment therein, may be continued unless a retroactive change is specifically required by the provisions of this code or other applicable laws or rules…”
§ 28-118.16 Amended certificate of occupancy. The provisions of sections 28-118.16.1 through 28-118.16.2 shall apply to an amended certificate of occupancy

AC § 28-118.16.1 Buildings exceeding three stories in height and change does not exceed 20 percent of total floor area. Where a building exceeds three stories in height and the change does not exceed 20 percent of the total floor area, an amendment to the existing certificate of occupancy for such new use shall be issued by the commissioner certifying that the proposed new occupancy and use conforms to the provisions of the laws governing building construction and that the proposed use will not be in conflict with any provisions of the labor law, multiple dwelling law or the zoning resolution.

AC § 28-118.16.2 Change in address of the structure, block and lot numbers or metes and bounds of a zoning lot subsequent to the issuance of a certificate of occupancy. Where no change is made to a building, open lot or portion thereof inconsistent with the last issued certificate of occupancy, an amended certificate of occupancy may be issued to reflect a change in the address of the structure, block and lot numbers or the metes and bounds of the zoning lot. Notwithstanding any other provisions of law, removal of violations and payments of outstanding
AC § 28-118.20
A partial certificate of occupancy (PCO) may be issued to a specific floor or floors of an existing building erected prior to January 1, 1938 subject to the following conditions:
1. The building does not have and is not otherwise required to have a certificate of occupancy (CO) or certificate of completion, if applicable.
2. The floor or floors for which a certificate of occupancy is issued shall not constitute more than 50 percent of the gross floor area of the building.
3. The building is of noncombustible construction and protected with an automatic sprinkler system.
4. Adequate means of egress are provided from all floors.
5. Upon inspection, the building is deemed safe for occupancy.
AC § 28-118.15

Upon application, the commissioner is authorized to issue a temporary certificate of occupancy before the completion of the entire work covered by the permit, provided that the subject portion or portions of the building may be occupied and maintained in a manner that will not endanger public safety, health, or welfare. The commissioner shall set a time period during which the temporary certificate of occupancy is valid.

A Temporary Certificate of Occupancy has an expiration date, usually 90 days after its date of issuance.
Final Certificate of Occupancy

Generally, a final Certificate of Occupancy will be issued when:

- All work is completed and complies with submitted plans and applicable laws as stipulated in Article 118 of the Building Code, including but not limited to:
  - All required documents being complete
  - All necessary approvals being obtained
  - All fees being paid
  - All relevant violations being resolved

A new building cannot be legally occupied until either a final or a temporary Certificate of Occupancy has been issued.
Use Building Information System (BIS) to look up and view/print a copy of a property’s Certificate of Occupancy.
Example of Certificate of Occupancy
## Issuance of Final Certificate of Occupancy

### Certificate of Occupancy

| CO Number: | 1. |
| Certificate Type: | 4. |
| Effective Date: | 4. |
| Expiration Date: | 4. |
| Borough: | 3. |
| Address: | 2. |
| Building Identification Number (BIN): | 1. |
| Block Number: | 3. |
| Lot Number(s): | 3. |
| Building Type: | 3. |

This building is subject to this Building Code: Prior to 1988 Code

For zoning lot sizes & bounds, please see BISWeb.

**B. Construction classification:**

- Building Occupancy Group classification
- Multiple Dwelling Law Classification:
  - No. of stories:
  - Height in feet:
  - No. of dwelling units:

**C. Fire Protection Equipment:**

**D. Type and number of open spaces:**

**E. This Certificate is issued with the following legal limitations**

Outstanding requirements for obtaining Final Certificate of Occupancy:

Borough Comments:

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**Schedule of Total Building Uses**

<table>
<thead>
<tr>
<th>Description of use</th>
<th>Building Code occupancy group</th>
<th>Dwelling or Rooming Units</th>
<th>Zoning group</th>
<th>Building Code occupancy group</th>
</tr>
</thead>
<tbody>
<tr>
<td>End of Section</td>
<td>8.</td>
<td>13.</td>
<td>10.</td>
<td>8.</td>
</tr>
</tbody>
</table>

---

END OF DOCUMENT

**NYC Buildings**

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§ 28-118.6

After the commissioner inspects the building or open lot and determines that the building or open lot conforms substantially to the approved construction documents and to the provisions of this code and other applicable laws and rules, the commissioner shall issue a certificate of occupancy that shall contain information including, but not limited to:

1. The building permit number.
2. The address of the structure.
3. Block and lot numbers pertaining to the zoning lot as of the date of issuance, as defined in section 12-10 of the New York city zoning resolution.
4. The description of the structure for which the certificate is issued.
5. A statement that the described portion of the structure has been inspected for compliance with the requirements of this code.
6. The name and signature of the commissioner.
7. The code under which the permit was issued.
8. The use and occupancy, in accordance with this code and the zoning resolution.
9. The type of construction as defined in this code.
10. The design occupant load of floors and spaces.
11. Types of major fire suppression or alarm systems.
12. Any special stipulations and conditions of the building permit.
13. The maximum permissible live loads on the several floors of the building.
14. The number of parking spaces.
Thank You!
Construction Permits

Raymond Plumey, FAIA
Bronx Deputy Borough Commissioner

Code and Zoning Representative
Training Module 2.3
Work Permits Required

Administrative Code §28-105.1 General. It shall be unlawful to construct, enlarge, alter, repair, move, demolish, remove or change the use or occupancy of any building or structure in the city, to change the use or occupancy of an open lot or portion thereof, or to erect, install, alter, repair, or use or operate any sign or service equipment in or in connection therewith, or to erect, install, alter, repair, remove, convert or replace any gas, mechanical, plumbing, fire suppression or fire protection system in or in connection therewith or to cause any such work to be done unless and until a written permit therefore shall have been issued by the commissioner in accordance with the requirements of this code, subject to such exceptions and exemptions as may be provided in section 28-105.4.
Administrative Code §28-105.2. Classification of Work Permits:

1. New Building
2. Alteration Work
3. Foundation and Earthwork
4. *Earthwork*
5. Full Demolition
6. Plumbing
7. Signs
8. Service Equipment
9. Temporary Construction Equipment
10. *Fire Protection* and Suppression Systems
11. Cranes and Derricks
§28-105.3 *Separate permits required.* Separate work permits shall be required, as provided above, except that separate permits for foundations and earthwork, or for the installation or alteration of air conditioning systems, ventilation systems, and heating systems shall not be required whenever such work is included in and forms a part of the construction documents filed for the construction of a new building or the alteration of a building or structure.

§28-105.4.2

**Minor alterations and ordinary repairs**

A permit shall *not* be required for minor alterations and ordinary repairs.
Minor Alterations & Ordinary Repairs

Minor Alterations:

- Minor changes or modifications in a building, excluding additions, that do not affect health, fire or structural safety of the building or safe use and operation of the service equipment.

Ordinary Repairs:

- Replacements or renewals of existing work in a building, or parts of the service equipment, with the same or equivalent materials or equipment parts, that are made in the ordinary course of maintenance and do not affect health, fire or structural safety of the building or safe use and operation of the service equipment.
§28-105.4 Work exempt from permit

Exemptions from permit requirements of this code shall not be deemed to grant authorization for any work to be done in any manner in violation of the provisions of this code, the Zoning Resolution or any other law or rules enforced by the Department. Such exemptions shall not relieve any owner of the obligation to comply with the requirements of or file with other city agencies. Unless otherwise indicated, permits shall not be required for the following:
Minor Alterations or Ordinary Repairs

1. Emergency work, as set forth in section 28-105.4.1.
2. Minor alterations and ordinary repairs, as described in section 28-105.4.2
3. Certain work performed by a public utility corporation, as set forth in section 28-105.4.3.
4. Ordinary plumbing work, as set forth in section 28-105.4.4.
5. Permits for the installation of certain signs, as set forth in section 28-105.4.5.
6. Geotechnical investigations, as set forth in section 28-105.4.6.
7. Other categories of works as described in departmental rules, consistent with public safety,
When are Work Permits Required?
Minor Alterations or Ordinary Repairs

1 RCNY 101-14

- Previous 1 RCNY 44-01 is repealed.
- On October 2, 2011, DOB adopted the addition of section 101-14 to Chapter 100 of Title 1 of the Official Compilation of the Rules of the City of New York (RCNY).

1 RCNY 101-14 establishes categories of work that may be classified as minor alterations or ordinary repair and therefore, may be exempt from the permit requirements of the NYC Construction Codes.
Minor Alterations or Ordinary Repairs

In addition to the categories exempt from permit requirements of section 28-105.1, pursuant to 28-105.4, items 1 through 7, the following categories may be considered minor alterations or ordinary repairs that may be exempt from permit requirements.

- **Table 1**: Work Exempt from Permits in 1 & 2-Family Dwellings
- **Table 2**: Work that may be Exempt from Permit in all Buildings
- **Table 3**: Façade Work that may be Exempt from Permit in all Buildings

The categories in Tables 1-3 are not an exclusive list of all types of minor alterations or ordinary repairs that may be exempt from permit requirements.
### 1 RCNY 101-14: Table 1
#### One and Two-Family Dwellings

<table>
<thead>
<tr>
<th>Building component or system</th>
<th>Permit Required?</th>
</tr>
</thead>
</table>
| **1. Sheds.** Temporary portable freestanding sheds erected on the same zoning lot as, and accessory to, a one- or two-family dwelling, provided that all of the following requirements are met:  
(1) The shed shall not exceed 120 square feet in area and shall not be more than 7’6” in height; and  
(2) The shed shall not obstruct any required window; and  
(3) The shed shall not be located within 3 feet (915 mm) of any lot line; and  
(4) The shed shall be used for storage of normal household goods, tools, or similar items; and  
(5) There shall not be more than one such shed on any tax lot. | No |
| **2. Fences.** Fences 6 feet (1829 mm) or less in height, as measured from the higher of the two adjoining grades, in connection with one- and two-family dwellings. | No |
### Work Exempt from Permit in One- and Two-family Dwellings

<table>
<thead>
<tr>
<th>Building component or system</th>
<th>Permit Required?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3. Small swimming pools.</strong> Outdoor in-ground or above-ground pools accessory to a one- or two-family dwelling limited to 400 square feet in area, provided that the distance from the edge of an in-ground pool to any building or lot line is greater than the depth of the deepest portion of the pool, and: (1) there is an existing slop sink for indirect waste; or (2) a plumbing permit is obtained for the installation of such sink.</td>
<td>No</td>
</tr>
<tr>
<td><strong>4. Playground equipment.</strong> Playground equipment accessory to a one- or two-family dwelling.</td>
<td>No</td>
</tr>
<tr>
<td><strong>5. Packaged air-conditioning unit in existing buildings.</strong> Packaged air conditioning unit not exceeding 5 tons rated capacity, installed in an existing building, including installations in existing windows or in existing sleeves under windows, and that is not part of an alteration that otherwise requires a permit.</td>
<td>No</td>
</tr>
</tbody>
</table>
# Work Exempt from Permits in all Buildings

<table>
<thead>
<tr>
<th>Permit required?</th>
<th>1 RCNY 101-14: Table 2</th>
<th>Building component or system (all buildings)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NO</td>
<td>1. Retaining walls.</td>
<td>Retaining walls less than 4 feet (1219 mm) in height, measured from the top of the footing to the top of the wall, and the wall: (1) does not support a surcharge; or (2) does not impound Class I, II or III-A liquids, as defined by section 307.2 of the New York City Building Code.</td>
</tr>
<tr>
<td>NO</td>
<td>2. Nursery or agricultural shade cloth structures.</td>
<td>Shade cloth structures constructed solely for nursery or agricultural purposes, and not covering mechanical equipment, plumbing fixtures or automobiles.</td>
</tr>
<tr>
<td>NO</td>
<td>1. Air conditioning and ventilating systems.</td>
<td>Air conditioning and ventilating system installed as a voluntary system, serving only one floor of a building, and that: (1) does not use lot line openings for the intake or exhaust of air or the mounting of equipment; and (2) is not installed in any public hallway, passageway, or stairway; and (3) does not in any way reduce the ventilation of any room or space below that required by code provisions; and (4) does not penetrate any fire division, roof, floor, or wall.</td>
</tr>
</tbody>
</table>
## Work that may be Exempt from Permits in all Buildings

<table>
<thead>
<tr>
<th>1 RCNY 101-14: Table 2</th>
<th>Permit required?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Building component or system (all buildings)</strong></td>
<td></td>
</tr>
<tr>
<td>2. Packaged air-conditioning unit.</td>
<td>NO</td>
</tr>
<tr>
<td>Packaged air-conditioning unit not exceeding 3 tons rated capacity, installed in an existing building, including installations in existing windows or in existing sleeves under windows, and that is not part of an alteration that otherwise requires a permit.</td>
<td></td>
</tr>
<tr>
<td>3. Fuel-burning and fuel-oil storage.</td>
<td>NO</td>
</tr>
<tr>
<td>Portable fuel-burning equipment that does not require a chimney or vent connection.</td>
<td></td>
</tr>
<tr>
<td>4. Fuel-burning and fuel-oil storage during construction.</td>
<td>NO</td>
</tr>
<tr>
<td>Portable heaters, having a fuel-storage capacity of 6 gallons or less, used in construction work.</td>
<td></td>
</tr>
<tr>
<td>5. Fuel-burning and fuel-oil storage.</td>
<td>NO</td>
</tr>
<tr>
<td>Oil-fired heaters, other than internal combustion engines, having a fuel-storage capacity of 6 gallons or less.</td>
<td></td>
</tr>
<tr>
<td>6. Refrigerating systems.</td>
<td>NO</td>
</tr>
<tr>
<td>Refrigerating systems twenty-five tons or less in capacity and using a Group A1 refrigerant.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td></td>
<td><strong>1 RCNY 101-14: Table 2</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Building component or system (all buildings)</strong></td>
</tr>
<tr>
<td></td>
<td>Permit required?</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>7. Refrigerating systems.</strong></td>
</tr>
<tr>
<td></td>
<td>Refrigerating systems installed in a vehicle, railroad car, or vessel.</td>
</tr>
<tr>
<td></td>
<td><strong>8. Refrigerating systems.</strong></td>
</tr>
<tr>
<td></td>
<td>Refrigerating systems that use water or air as the refrigerant.</td>
</tr>
<tr>
<td></td>
<td><strong>9. Temporary boilers.</strong></td>
</tr>
<tr>
<td></td>
<td>Temporary boilers, whether placed on private property or on the street (related electrical and plumbing connections also require separate permits).</td>
</tr>
</tbody>
</table>
### Work that may be Exempt from Permits in all Buildings

<table>
<thead>
<tr>
<th>Building component or system (all buildings)</th>
<th>Permit required?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Non-fire-rated and non-load-bearing wall, temporary removal.</strong> Where the cutting away and temporary removal of any portion of a nonload-bearing, non-fire rated partition is limited to the lesser of 50% of a given wall or 45 square feet in area, and where at the completion of work the partition is restored to its original condition.</td>
<td>NO</td>
</tr>
</tbody>
</table>
| **2. Non-fire-rated and non-load-bearing wall, permanent removal in Group R occupancies.** In Group R occupancies, where the cutting away and permanent removal of any portion of a non-load-bearing, non-fire-rated partition is limited to the lesser of 50% of a given wall surface or 45 square feet in area. Exception: a permit shall be required where the cutting away and permanent removal of any size occurs in a dwelling unit satisfying either of the following conditions:  
   i. The dwelling unit is located in any of the following areas**:  
      a. Special Hudson Yards District  
      b. Preservation Area P-2 of the Special Garment Center District  
      c. Special Clinton District  
      d. Special West Chelsea District  
      e. Greenpoint-Williamsburg anti-harassment areas in Community District 1, Borough of Brooklyn; and | NO |
### Work that may be Exempt from Permits in all Buildings

<table>
<thead>
<tr>
<th>Building component or system (all buildings)</th>
<th>Permit required?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ii. the dwelling unit is within a single room occupancy multiple dwelling††</strong> <strong>The permanent removal of a portion of the partition resulting in a change in the layout of rooms within a dwelling unit shall constitute a “material alteration” in accordance with Zoning Resolution sections 93-90 and 96-01. Any “material alteration” to a dwelling unit located within the “anti-harassment areas” as provided for in Zoning Resolution Sections 23-013, 93-90, 96-01, and 98-70 shall constitute an alteration in accordance with the Building Code and, therefore, require a building permit. †† Such work shall be considered an alteration and therefore require a building permit and, where applicable, a Certificate of No Harassment in accordance with section 28-107.4 of the Administrative Code.</strong></td>
<td>NO</td>
</tr>
</tbody>
</table>

In Groups B, M, and S-1 occupancies, where the cutting away and permanent removal of a non-load-bearing, non-fire-rated partition is limited to 50 linear feet in buildings of Type I or II construction (Class I construction in buildings subject to the 1968 Building Code). | NO |
# Work that may be Exempt from Permit in all Buildings

<table>
<thead>
<tr>
<th>1 RCNY 101-14: Table 2</th>
<th>Permit required?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Building component or system (all buildings)</strong></td>
<td></td>
</tr>
<tr>
<td>1. Roof repair and reroofing above the deck/sheathing. Roof repair or replacement, limited to the roof membrane, roof coverings, cant strip, and any insulation above the roof deck/sheathing, provided that the New York City Energy Conservation Code does not require additional thermal insulation for the roof.</td>
<td><strong>NO</strong></td>
</tr>
<tr>
<td>2. Roof repair and reroofing, including the deck/sheathing. Roof repair or replacement that includes replacement of roof deck/sheathing.</td>
<td><strong>YES</strong></td>
</tr>
<tr>
<td>3. Green roofs not more than 4 inches in depth. Green roof systems, not more than 4 inches in depth measured from the upper surface of the roof covering to the top of the growth medium, located on buildings of noncombustible construction or buildings greater than 100 feet in height.</td>
<td><strong>NO</strong></td>
</tr>
<tr>
<td>Exterior Façade Restoration Item (all buildings)</td>
<td>Permit required?</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------------------------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>1. Brick re-pointing (or other unit masonry).</td>
<td>NO</td>
</tr>
<tr>
<td>2. Removal and replacement of individual bricks - single outside wythe up to 10 sf., not to exceed 4 ft. horizontally, in any 100 sf. of wall area, and the cumulative area of all brick replacement on all facades does not exceed 150 sq. ft.</td>
<td>NO</td>
</tr>
<tr>
<td>3. Mechanical anchorage (pinning) of brick masonry to underlying structure.</td>
<td>YES</td>
</tr>
<tr>
<td>4. Parapet demolition and reconstruction.</td>
<td>YES</td>
</tr>
<tr>
<td>5. Increasing height of an existing parapet.</td>
<td>YES</td>
</tr>
<tr>
<td>6. Installation of new parapet coping (masonry).</td>
<td>NO</td>
</tr>
<tr>
<td>7. Installation of new parapet guardrail.</td>
<td>YES</td>
</tr>
<tr>
<td>8. Replacement of existing guardrail or parapet to the same height (for masonry parapets, replacement of existing parapet limited to 10 sq. ft. in any 100 sq. ft. of continuous parapet vertical surface area.</td>
<td>NO</td>
</tr>
<tr>
<td>9. Installation of expansion or control joints in existing masonry construction (entailing saw-cutting of masonry).</td>
<td>YES</td>
</tr>
</tbody>
</table>
## Façade Work that may be Exempt from Permit in All Buildings

<table>
<thead>
<tr>
<th>Exterior Façade Restoration Item (all buildings)</th>
<th>Permit required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>10. Installation of flashing and weeps, repair or replacement of relieving angles (or lintels), installation of new brickwork, exceeding limits noted in #2 above.</td>
<td>YES</td>
</tr>
<tr>
<td>11. Flashing: cutting in reglet, removing one or two courses of brick from a single wythe on inside face of parapets, exceeding limits noted in #2 above.</td>
<td>YES</td>
</tr>
<tr>
<td>12. Masonry crack repair with injection of repair mortar.</td>
<td>NO</td>
</tr>
<tr>
<td>13. Masonry cladding of existing exterior building walls.</td>
<td>YES</td>
</tr>
<tr>
<td>14. Replacement of masonry sills.</td>
<td>NO</td>
</tr>
</tbody>
</table>
## Façade Work that may be Exempt from Permits in All Buildings

<table>
<thead>
<tr>
<th>Permit required?</th>
<th>Exterior Façade Restoration Item (all buildings)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> Structural repair, reinforcement of concrete (repair of re-bars, posttension cables, curtain panel wall, pre-cast concrete).</td>
<td><strong>YES</strong></td>
</tr>
<tr>
<td><strong>2.</strong> Spandrels: repair of cracked or spalled concrete on exterior concrete spandrel beams, concrete fascias or balconies (whether or not repair of deteriorated steel reinforcement is required).</td>
<td><strong>YES</strong></td>
</tr>
<tr>
<td><strong>3.</strong> Repair or re-anchoring of existing aluminum or steel balcony handrails.</td>
<td><strong>NO</strong></td>
</tr>
<tr>
<td>4. Concrete crack repair with injection of repair cement.</td>
<td><strong>NO</strong></td>
</tr>
<tr>
<td><strong>1.</strong> For buildings subject to the requirements of §28-302, patching of spalls or cracks on exterior stone or terra cotta masonry.</td>
<td><strong>YES</strong></td>
</tr>
<tr>
<td><strong>2.</strong> Removal and replacement of exterior stone or terra cotta ornamentation with an alternative material.</td>
<td><strong>YES</strong></td>
</tr>
<tr>
<td><strong>3.</strong> Mechanical anchorage (pinning) of displaced stone or terra cotta masonry to underlying structure.</td>
<td><strong>YES</strong></td>
</tr>
</tbody>
</table>
### Façade Work that may be Exempt from Permits in All Buildings

**1 RCNY 101-14: Table 3**  
**Exterior Façade Restoration Item (all buildings)**

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Permit required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Repair, replacements of structural components of panel wall system.</td>
<td>YES</td>
</tr>
<tr>
<td>2.</td>
<td>Removal or replacement of inspection plates.</td>
<td>NO</td>
</tr>
<tr>
<td>3.</td>
<td>Repair or replacement of sheet metal window clip covers.</td>
<td>NO</td>
</tr>
<tr>
<td>4.</td>
<td>Replacement of exterior glass panels in kind, limited to 1,000 square feet of glass in any given 10,000 square feet of wall area.</td>
<td>NO</td>
</tr>
<tr>
<td>5.</td>
<td>Replacement of inner glass panels from within the building.</td>
<td>NO</td>
</tr>
<tr>
<td>6.</td>
<td>Cleaning, coloring or painting of masonry (brick, stone, terra cotta), concrete.</td>
<td>NO</td>
</tr>
<tr>
<td>7.</td>
<td>Application of (trowel applied) cementitious material (stucco) no greater than 1&quot; (25.4 mm) in thickness or other material (brownstone) no greater than 1/8&quot; (3.2 mm) in thickness to exterior surfaces of building walls, excluding newly installed exterior insulation finish systems (EIFS). The application must be limited to a height of 40 feet, measured vertically from the adjoining grade or an adjoining setback that is at least 10 feet deep.</td>
<td>NO</td>
</tr>
<tr>
<td>8.</td>
<td>Application of sealant, caulking, regrouting.</td>
<td>NO</td>
</tr>
<tr>
<td>9.</td>
<td>Minor repair of exterior insulation finish systems (EIFS), not to exceed 10 square feet in any given 100 square feet of continuous EIFS wall surface area.</td>
<td>NO</td>
</tr>
</tbody>
</table>
### Façade Work that may be Exempt from Permits in All Buildings

<table>
<thead>
<tr>
<th>Exterior Façade Restoration Item (all buildings)</th>
<th>Permit required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. For buildings subject to the requirements of §28-302, scraping and painting, flashing and coloring, sealing and coating of steel structural members (including lintels over windows) entailing removal and replacement of brick or other masonry, exceeding 10 sq. ft., 4 ft. horizontally, in any 100 sf. of wall area.</td>
<td>YES</td>
</tr>
<tr>
<td>2. Removal and replacement of steel structural members (including lintels over windows), exceeding 10 sq. ft., 4 ft. horizontally, in any 100 sf. of exterior wall area.</td>
<td>YES</td>
</tr>
<tr>
<td>3. Reinforcement of steel structural members (spandrels, beams columns).</td>
<td>YES</td>
</tr>
<tr>
<td>4. Reinforcement of fire escape bars, struts, baskets, or supports.</td>
<td>NO</td>
</tr>
<tr>
<td>5. Installation of handrails at perimeters of balconies, terraces, or rooftops.</td>
<td>YES</td>
</tr>
<tr>
<td>6. Installation of appurtenances (signs more than six square feet (0.56 m²) in area, flagpoles, water tanks, awnings, satellite dishes) to the exterior wall or at perimeters of balconies, terraces, or rooftops. Exception: flagpoles, awnings, and satellite dishes accessory to one-and two-family dwellings shall not require a permit for installation.</td>
<td>YES</td>
</tr>
</tbody>
</table>
### Façade Work that may be Exempt from Permits in All Buildings

**1 RCNY 101-14: Table 3**
**Exterior Façade Restoration Item (all buildings)**

<table>
<thead>
<tr>
<th>Item</th>
<th>Allowance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Sheet metal cladding of facades of existing cornice.</td>
<td>YES</td>
</tr>
<tr>
<td>2. Localized (non-structural) repairs/patching to sheet metal cornice.</td>
<td>NO</td>
</tr>
<tr>
<td>3. Repair reinforcement of the structural supports of sheet metal cornices.</td>
<td>YES</td>
</tr>
<tr>
<td>4. Installation of new (replacement) sheet metal or glass fiber reinforced concrete (GFRC) cornice.</td>
<td>YES</td>
</tr>
<tr>
<td>5. Installation of parapet coping cover (sheet metal).</td>
<td>NO</td>
</tr>
<tr>
<td>6. Sheet metal cladding of exposed surfaces of parapet wall.</td>
<td>YES</td>
</tr>
</tbody>
</table>
### Façade Work that may be Exempt from Permit in All Buildings

<table>
<thead>
<tr>
<th>Exterior Façade Restoration Item (all buildings)</th>
<th>Permit required?</th>
</tr>
</thead>
</table>
| 1. Replacement of existing windows (balcony doors) that satisfy the following conditions:  
  a. such window is not located on the lot line; and  
  b. the replacement does not require a modification of existing masonry openings; and  
  c. the replacement window does not affect access to light or ventilation; and  
  d. there is no change in the operable area of the window. | NO |
| 2. Replacement of required fire-rated windows. | YES |
| 3. Repair or replacement of window and door sills. | NO |
# Façade Work that may be Exempt from Permit in All Buildings

<table>
<thead>
<tr>
<th>IX. Miscellaneous</th>
<th>1 RCNY 101-14: Table 3</th>
<th>Exterior Façade Restoration Item (all buildings)</th>
<th>Permit required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Probes involving the removal of less than 10 sf. of unit masonry (with a maximum horizontal dimension not to exceed 4 ft.) in any 100 sf. Of wall area, and the cumulative area of all probe openings on all facades does not exceed 150 sq. ft.</td>
<td></td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>2. Replacement in kind of exterior gutters and leaders.</td>
<td></td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>3. Removal of existing signs and marquees.</td>
<td></td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>4. Replacement of existing signs and marquees.</td>
<td></td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>5. Installation of new signs and marquees, other than painted signs.</td>
<td></td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>6. Open screen balcony enclosures on balconies less than 40 feet above grade.</td>
<td></td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>7. Weather-resistant balcony enclosures, such as windows and solid walls.</td>
<td></td>
<td>YES</td>
<td></td>
</tr>
</tbody>
</table>
Thank You!
Electrical Permits

Mathher Abbassi, P.E., C.E.M., LEED AP BD+C
Senior Electrical Engineer

Code and Zoning Representative
Training Module 2.4
Electrical Filing Requirements

- 2011 New York City Electrical Code (Local Law 39 of 2011) contains the current Administrative and Electrical Code Technical Standards enforced by DOB

- The Technical Standards consists of:
  - NFPA 70 (2008), the National Electrical Code (NEC)
  - New York City Amendments

- Electrical Permits must be filed by NYC Licensed Electrician before commencing electrical work
  - ED16A is the electrical application form
  - The Plan/ Work Approval Application (PW1) filing does not require the submission of electrical plans
  - The Work Permit Application (PW2) does not apply to electrical work
There are two types of Electrical Work (AC §27-3018):

- **Minor work**: primarily repair or replacement in kind. The permit application fee is $15, and doesn’t require DOB inspection. The categories of work are listed on the ED16A instruction sheet.
- **All other work**: is addressed on the ED16A and requires DOB inspection. The Electrical Contractor schedules the inspection upon completion of the work.
Filing Electrical Applications:

- Most applications are electronically filed (eFiling)
- Applications can also be dropped off at 280 Broadway
- Large installations where the combined electrical service switches are over 1000kVA, require Electrical Advisory Board approval prior to filing
Electrical Material and Inspections

- All electrical equipment, material, or apparatus must be listed by a Nationally Recognized Testing Lab. Unlisted material will require field evaluation by such labs.

- Electrical Advisory Board (1 RCNY §34-05) is authorized to:
  - Review Large Electrical Installation applications. Requires ED16A, plans and fee of $650*
  - Advise the Department re granting Special Permission for proposed installations or variance of existing installations. Requires cover letter and fee of $350* for variances only
  - Review of material not covered by the Electrical Code, the fee is $200*

*Fees listed as of February 2013, are subject to change
Electrical Violations

Violations may be by issued for improper or illegal electrical work

- Generally, electrical contractors are issued Objections by DOB for non-compliant work which requires correction. These violations can be corrected and removed without paying financial penalty.

- Environmental Control Board (ECB) Notice of Violations (NOV) may be issued for conditions including where work is performed without an electrical permit and for work that poses severe and immediate danger to people and/or property. These violations are split into three classes:
  - Class 1 – Immediately Hazardous (e.g., performing work without the required licensee)
  - Class 2 – Major Violation (e.g. Installed more than authorized number of electric meters)
  - Class 3 – Lesser Violation (e.g. failure to secure electrical electrical outlet boxes)

- Unresolved violations may result in delaying or rejecting an application.
Electrical Sign Off/ CO issuance

- All electrical permits must be signed off before the Department issues a Certificate of Occupancy (CO)

- The Electrical Contractor must provide the DOB Job Number in Box No. 3 of the ED16A electrical permit application for CO related work
Thank You!
Filing Organization and Strategy

Joseph Bruno, R.A.
Chief Plan Examiner

Code and Zoning Representative
Training Module 2.5
DOB Filing Type Distinctions

New Building
- Professionally filed
- Establish Use/Egress/occupancy
- Multiple work types
- Full DOB inspections
- CO issued at sign off

Alteration Type 1
- Professionally filed
- Change use/egress/occupancy
- Multiple work types
- Full DOB inspections
- CO may be issued at sign off

Alteration Type 2
- Professionally Filed
- Change Egress/structure
- Multiple work types
- Full DOB inspections
- No CO issued

Alteration Type 3
- Professional or non-professional
- No change to egress or structure
- Single work type
- Full DOB inspections
- No CO issued
Plan your Filing and Document Organization Ahead of Time

- File everything in a single application if possible and practical, fewer filings promotes better coordination and integration of the job.
- AC 28-104.7.1 Construction documents shall be complete and of sufficient clarity to indicate the location and entire nature and extent of the work proposed, and shall show in detail that they conform to the provisions of this code and other applicable laws and rules; if there exist practical difficulties in the way of carrying out the strict letter of the code, laws or rules, the applicant shall set forth the nature of such difficulties.
Consider your Project Scope

- Plan for all work types needed for a complete job: OT (in addition to OT General Construction, you may need OT Excavation, OT underpinning, OT structural, etc.), PL, MH, BL, SD, SP, FA, EQ, FP, CC, BPP, etc.

- Most work types must be included in the main filing, though they can be subsequent documents with different applicants, special inspectors, etc. You may file as many subsequent documents as you wish.

- A few work types must be filed separately
Separate Applications

All work necessary for a complete job must be filed as a single application. For example, all work necessary to complete a change of occupancy or use must be included in the Alt 1 application for the change of occupancy or use.

Breaking the job into multiple applications may result in your application(s) being marked as incomplete, which will delay your review. Furthermore, you will be told to consolidate the work into the main application and withdraw the surplus applications.

You may seek written authorization for a noncompliant filing from the commissioner.
Separate Applications

- The following applications must be filed separately:
  - Fire alarm
  - Fire suppression system
  - Builders Pavement Plan
  - Fire protection plan
  - Sign
  - Awning
  - Canopy
  - Marquee
  - Place of assembly
  - Subdivision of improved property
  - Subdivision of unimproved property
  - Subdivision Condominium
  - Full demolition
Separate Applications

The following work types may be filed separately:

- Sprinkler
- Standpipe
- Site preparation, such as, pile driving, dewatering
- Sidewalk sheds and other construction equipment
- Curb cut

If you need to deviate from these filing procedures; seek a waiver from the Borough Commissioner. Obtain written authorization by meeting with the commissioner or by filing a CCD1 or have the applicant submit a letter on letterhead explaining the hardship or other justification for a noncompliant filing. We understand that there may be extenuating circumstances and will consider your request.
AC 28-104.2.1 Less than full examination of construction documents. The commissioner may, in the commissioner’s discretion, establish a program whereby construction documents may be accepted with less than full examination by the department based on the professional certification of an applicant who is a registered design professional.
A licensed applicant may elect to professionally certify his project and thereby receive a construction permit upon submission of all necessary documentation and plans and passage of a zoning review (for NB and enlargements).

The drawings are not otherwise examined by the department and are stamped “Accepted for OPPN #1/04 Professional Certification Manhattan with the Date.”

Professionally certified jobs are subject to a 20% random audit as required by law.

AC 28-104.2.1.3 specifies mandatory program requirements including sanctions imposed upon professionals who abuse their privilege.
Professional Certification Filing

- Applicant checks Professional Certification in Box 4 on PW1 and submits:
  - Form PC1, Required Items Checklist for Professional Certification
  - Form POC1, Professional and Owner Certification

- Department performs Zoning Review to verify that proposal meets the requirements of the Zoning Resolution
Professional Certification Filing

• Examiner either issues zoning objections that the applicant must answer or, if the job is acceptable

• Examiner receives the Zoning Review required item, which is the indicator that the job may be stamped by the DEAR clerk

• Job is stamped “Accepted for OPPN #1/04 Professional Certification Manhattan with the Date.”

• Job is ready for permit
PC1: Required Items for Professional Certification

Three page checklist of items that may be required for a complete application.

List includes:
- Forms
- Required Items
- Special and Progress inspections
- Approvals from other agencies
- Determinations, etc.
Self-Certification of Objections


- Removal of Objections Issued at Plan Examination: Optional Self-Certification of compliance by Registered Architects and Professional Engineers.

- Applicant must submit complete plans and all necessary documentation, including BSA or CPC approvals, Certificate of No harassment, etc. at the time of submission so all relevant objections may be raised at the first exam.
Self-Certification of Objections

- Applicant must indicate Self Cert. of Objections in Box 4 of PW1 at the time of filing and include the following statement in Box 11 of the PW1 form: “The filed application is complete as required in item 1 of the TPPN. I will self-certify the removal of all objections to be issued on this application.”

- Examiner will populate “self-certification of the objections to be submitted by the applicant” required item.
Self-Certification of Objections

- Examiner reviews job and issues objections
- The applicant self-certifies compliance on an AI1 form by listing each outstanding objection along with the issuance date and explaining how each objection has been corrected, e.g. by correcting plans, adding necessary documents, etc.
- Both applicant and owner provide additional certifications as specified in the TPPN on the AI1 form
Self-Certification of Objections

• Applicant brings the package along with the A11 form to the designated plan examiner who stamps the drawings with a Self-Cert of Objections stamp

• Job is ready for permit

• Self Cert of Objections projects are subject to 20% audit
• Plan your Filing Ahead

• Know the members of the design team and who will be responsible for what

• Decide what work types are required for the job and make sure they will be represented in the application whether through additional documents or additional filings as required or permitted by the commissioner.
• Sketch a road map for your filing
  
  • The Applicant of Record on Doc 1 is usually the lead professional for the job.
  
  • Individual work types (PL, MH, Etc.) may correspond to individual documents. Doc 1 may be OT, Doc 2 may be PL, Doc 3 may be MH, etc.
  
  • You may file as many documents as you need. Each document may have a different applicant, which makes it easy to divide responsibility for the work.
• Identify specific forms needed for each document. The owner may contract with a single inspection agency to perform all inspections, or members of the design team may perform inspections related to their specialty.

• Plan your TR1 and TR8 forms accordingly
You cannot add work types to the application after a job is approved. If you leave work types out; you may be required to re-file the job to keep all the work together in a single filing.

Additional documents are often added in the course of a job as Post Approval Amendments (PAA’s). Once a job is approved, the file is locked and cannot be altered unless a PAA is filed. These are routinely filed to amend plans and make changes to the Schedule B or other elements of the project record.
Subsequent Filings

Subsequent filings may be required to fully document the proposed work. Some are part of your design, and others only become apparent in the course of the work.

Examples include:

• Emergency shoring of the structure (distinct from excavation shoring which must be filed as part of the main application)

• Fire suppression system

• Sprinklers filed separately from the main job

• Fire alarm
Post Approval Amendments

• When a job is approved in BIS the job file is locked and cannot be changed until a Post Approval Amendment, a new document is filed.

• Post Approval Amendments (PAAs) are filed for all “material” changes, those that could affect the approval of the job:
  • structural changes
  • egress changes
  • Plan re-design
  • Schedule changes
  • Addition of required items
  • Change project cost, etc.
Post Approval Amendments

- The scope of the change is described in Box 24 on PW1.

- File and pay for the PAA and make an appointment to review the changes with the examiner.

- **Take your revised plans and/or documents with changes bubbled on the plans or highlighted on the documents to meet with the examiner.** The examiner will review the proposed changes against the approved plans and documents.
Post Approval Amendments

• The examiner will either issue objections or stamp the plans approved and amended and enter the approval for the document in the BIS system.

• The examiner will keep a copy of the approved plans and revised documents to send them for scanning.

• Minor as-built type changes, reversed door swings, minor plan changes to accommodate field conditions, may be made and bubbled on the plans, and described as amended on an AI1 form. This option is for minor changes only. Re-design is not as-built, that requires a PAA and examination.
Thank You!