COURSE 103
Filing Representative Training
for
Class 1 Filing Representatives and Class 2 Code and Zoning Representatives

Includes:

• Pre-filing, Data Entry, and Various application/Forms
• Boilers - PW-1C Combustion Equipment
• 2014 New York City Energy Conservation Code
• Permits
• Home Improvement Contractors
• Builders Pavement Plan
• Limited Alteration Application and Permits Renewals
Pre-filing, Data Entry, and Various Application/Forms

Linette Castillo
Director

Code and Zoning Representative
Training Module 3.1-3.7
Required Administrative Forms

- PW1 – Plan/Work Approval Application
- PW1A – Schedule A: Occupancy/Use
- PW1B – Schedule B: Plumbing/Sprinkler/Standpipe
- PW4 – Equipment Use Application/Permit
- PD1 – Plot Diagram
- ST1 – Street Tree Checklist
- AO1 – Administrative Objections Form
- PER11 – Manual Appointment Request and Drop Off Request
PW1 Plan/Work Approval Application

Major Items for Input

1. Location
2. Applicant Information (P.E., R.A., Sign Hanger or Homeowner)
3. Filing Representative Information
4. Filing Status
   - Select correct Building Code to be used for this review
   - Choose Pro-Cert or Plan Examination, PAA or W/D
5. Job Project Typed
6. Work Types
Major Items for Input

7. Plans/Construction Documents Submitted

8. Additional Information
   - Plumbing, Construction Costs
   - Building Enlargement/Demolition
   - Job Cost

9. Additional Considerations, Limitations or Restrictions

10. New York City Energy Conservation Code
Major Items for Input

11. Job Description
12. Zoning Characteristics
13. Building Characteristics
   • Structural system
   • Structural occupancy
   • Building Type
   • Building Code
14. Fill for Site
15. Construction Equipment
16. Curb Cut Description
17. Tax Lot Characteristics
18. Fire Protection Equipment
**Major Items for Input**

19. Open Spaces

20. Site Characteristics

21. Demolition Details

22. Asbestos Abatement Compliances
   - ACP5
   - ACP 21 Closeout

23. Sign
   - Purpose
   - Type

24. Comments
   - Additional information related to the application.
Applicant’s Statement and Signatures

Property Owner’s Statements and Signatures
PW1A Schedule A: Occupancy/Use

<table>
<thead>
<tr>
<th>Existing Legal Use</th>
<th>Proposed Use</th>
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<tbody>
<tr>
<td>Floor</td>
<td>Maximum</td>
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<tr>
<td></td>
<td>Number of</td>
</tr>
<tr>
<td></td>
<td>Persons</td>
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<tr>
<td></td>
<td>2014 Code</td>
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<tr>
<td></td>
<td>Designations</td>
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<td></td>
<td>Proposed</td>
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<tr>
<td></td>
<td>Use Group(s)</td>
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<tr>
<td></td>
<td>Description</td>
</tr>
<tr>
<td></td>
<td>Yes [ ] No</td>
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<tr>
<td>Description</td>
<td>Yes [ ] No</td>
</tr>
</tbody>
</table>

**2 Building Notes to appear on the Certificate of Occupancy**

**Applicant’s Statements and Signatures**

Fabrication of any statement is a misdemeanor and is punishable by a fine or imprisonment, or both. It is unlawful to give to a city employee, or for a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both. I hereby state all the above information is complete and correct to the best of my knowledge.

**Internal Use Only**

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PW1A Schedule A: Occupancy/Use

Common Errors

- Incorrect description on floors
- Dwelling unit count incorrect
- Wrong Zoning Use Group listed
- Number of persons listed in occupancy count differs from what’s listed in item 13 of the PW1
- Other entries also duplicated from PW1

A PAA is required if these items, or similar require change

However, the “Comments” section can be amended without a PAA being filed
Required for all New Buildings and any Alterations involving plumbing work

PW1-B is filed for all Plumbing, Sprinkler and Standpipe work-types.

For all New Building applications, indicate the type of drainage system(s)

Administrative approval will not be given if the plumbing work type is not signed-off
1. The EUP originated in the 1968 Building Code

2. The 2008 Building Code has renamed the EUP to “Certificate of Compliance” – but the PW4 EUP form is still required

3. If the information on the EUP card (permit) does not correspond with section 5, a Certificate of Occupancy (CO) and possibly a Temporary Certificate of Occupancy (TCO) will not be issued
• The information on the EUP card (permit) must match the information provided on the PW-4 Equipment Use Application form.
Plot Diagram

- Provides the zoning lot description and also identifies tax lots within the zoning lot
- Provides metes and bounds of land and premises as obtained from the Tax Department
- This form must be completed by a licensed professional
- Sample shown:
  - One zoning lot with two tax lots
• Required for all New Buildings, Alt1 and Alt2 enlargement applications.

3. Certification – certifies that the application complies with all street tree requirements

• Relevant to Zoning Resolution – Number of trees on a Zoning Lot (ZR), not a Tax Lot (DOF)

• Certificate of Occupancy is dependent on Parks Department signoff and must match the information submitted for total required trees and total proposed trees
4. Exemptions - only fill out if the proposed work or dominant use group is exempt as specified by the NYC Zoning Resolution

5. Statements & Signature:
   - Owner must sign and notarize the affidavit statement
   - Applicant must sign and seal the affidavit statement
 AO1 Administration Objection Form

- This form is used by the DOB borough office to capture the reason(s) why an application could not be processed prior to approval.
- This form can be viewed online via nyc.gov/bis. Use the 9 digit application number to access.

<table>
<thead>
<tr>
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<td>1</td>
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<tr>
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<tr>
<td>3</td>
<td>Schedule B</td>
<td>document missing/incomplete/inaccurate information (see below)</td>
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<td>4</td>
<td>TR1</td>
<td>document missing/incomplete/inaccurate information (see below)</td>
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<td>Pre-Approval DEP forms</td>
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<td>6</td>
<td>Building Permit Plan (BPP)</td>
<td>document missing/incomplete/inaccurate information (see below)</td>
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<td>7</td>
<td>Required BPP (Pro-Cert Only)</td>
<td>checklist missing/incomplete</td>
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<tr>
<td>8</td>
<td>Certification</td>
<td>check missing/incomplete/inaccurate information (see below)</td>
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<tr>
<td>9</td>
<td>Other</td>
<td></td>
</tr>
</tbody>
</table>

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The PER11 is used by the filing representative or customer to:

- Schedule appointments
- Request withdrawals and reassignments
- Submit document to be reviewed by the Deputy & Borough Commissioners
Thank You!
Boilers

Robert Daly
Director, Central Inspections Boiler Division

Juan Ruiz
Operations Manager, Central Inspections

Code and Zoning Representative
Training Module 3.8
The Department of Buildings Boiler Division oversees the installation and operation of New York City’s boilers.

Property owners are responsible for ensuring that their boilers:
- Operate safely; and
- Are in compliance with the Building Code and all related regulations.

Administrative § 28-303, was enacted in conjunction to the Rules and Codes of New York (RCNY 103.01 and RCNY 103.05), requiring property owners of low pressure and high pressure boilers to:
- Inspect their boilers annually; and/or
- Affirm the correction of defects by periodically filing their inspections with the Department.
Type of Boiler Forms

- **BO-9**: Annual Inspection Report or Disc Filing
  - The standard filing report on annual boiler inspections
- **BO-13**: Affirmation of Correction Report
  - The standard filing report on corrections found during annual boiler inspections
- **BO-13E**: Affirmation of Correction Extension Request
  - The standard request report on correction extension for repairs
- **OP-49**: Self Certification of Removal and Disconnection
  - The standard filing report on boiler devices removed or disconnected
- **Schedule C**: Application for Boiler Installation/Replacement
  - The application filing report for new installation or replacement that requires a first test inspection by the Boiler Division
Annual Boiler Inspections

The following must be inspected and filed with the Department annually:

- Low pressure boilers in residential buildings with six or more families
- Low pressure boilers in mixed-used buildings
- Low pressure boilers in commercial buildings
- Low pressure boilers in properties classified as a Single Room Occupancy
- H-stamp domestic hot water heaters with over 350,000 BTUs in residential, mixed-used and commercial buildings
- Mobile Boilers
- High Pressure Boilers
Annual Boiler Inspection Filing Requirements

**Annual Inspection Filings**

- A Boiler Inspection Report ([BO-9 form](#) or ABI Disc-Filing) must be filed within 45 days of performing the inspection
  - Reports submitted more than 45 days after the date of inspection will receive a late penalty of $50 per boiler for each month the report is late
  - Reports submitted 12 months after the date of inspection will be deemed expired and a penalty of $1,000 per boiler will be imposed for non-filing or incomplete reports
- If defects are found during an inspection, defects must be corrected and an Affirmation of Correction ([BO-13 form](#) or ABI Disc-Filing) filed within the 180 days of performing the inspection.
  - Reports submitted more than 180 days after the date of inspection will receive a late penalty of $50 per boiler for each month the report is late
  - Reports submitted 12 months after the date of inspection will be deemed expired and a penalty of $1,000 per boiler will be imposed for non-filing or incomplete reports
- An owner may request an extension of the filing deadline based on the criteria outlined in [1 RCNY 103-01/05](#). The request can be submitted using the Extension Request ([BO-13E form](#)).

**Self Certification of Removal or Disconnection**

- An OP-49 form must be filed within 30 days of the removal or disconnection of the boiler
Online Boiler Device Information

- Look up Boiler Device information using the Boiler Search feature in BIS at nyc.gov/bis
- Click on the hyperlinked boiler number to view detailed inspection information
BO-9: DOB Boiler Inspection Report

### Property Information (Address where the boiler is presently located)

<table>
<thead>
<tr>
<th>Description</th>
<th>Status</th>
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<tr>
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<tr>
<td>Address</td>
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<tr>
<td>Street Name</td>
<td></td>
</tr>
<tr>
<td>House No</td>
<td></td>
</tr>
<tr>
<td>Street Name</td>
<td></td>
</tr>
<tr>
<td>License</td>
<td></td>
</tr>
<tr>
<td>Total Number of Residential</td>
<td></td>
</tr>
<tr>
<td>Units</td>
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</tr>
</tbody>
</table>

Note: This inspection report must be filed within 15 days following the inspection date. Only use if one boiler.

### Authorized Inspector Information

<table>
<thead>
<tr>
<th>License Name</th>
<th>License No.</th>
<th>Address</th>
<th>City</th>
<th>State</th>
<th>ZIP</th>
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<tbody>
<tr>
<td></td>
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<td></td>
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<td></td>
</tr>
</tbody>
</table>

Note: Licensed inspector (s) must be present at time of inspection.

### Boiler Information

<table>
<thead>
<tr>
<th>DOB Boiler Number</th>
<th>Make</th>
<th>Model</th>
<th>Pressure with test</th>
<th>BTU/hr</th>
<th>Location/Ext</th>
</tr>
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<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Boiler Inspection Defect Summary

- **Inspection Date:**
- **No Defects:**
- **Revisions:**
- **Defects:**

### Authorized Inspector’s Statements and Signature

<table>
<thead>
<tr>
<th>License Name</th>
<th>License No.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: The Department of Buildings Bureau of Fire must receive this form within 45 days of the inspection date. If the form is not filed prior to expiration, the owner shall be given 10 days to correct any required information. A violation shall be issued if such information is not corrected within 45 days of the inspection date. After 90 days, 100% of the administrative code is applicable by fire enforcement or both. It is the responsibility of the owner to ensure any required information is corrected by the inspector or in accordance with the provisions of the Administrative Code. The form must be signed by the inspector.

Date: [Redacted]
BO-13: Boiler Affirmation of Corrections

BO-13, DOB Boiler Affirmation of Correction Inspection Report

1. Property Information (Owner's name for boiler in parentheses)
   - Building: [Building Name]
   - Address: [Address]
   - City: [City]
   - State: [State]
   - Zip: [Zip]

2. Owner/Representative Information
   - Owner/Contact Name: [Name]
   - Phone: [Phone]

3. Boiler Changed Information
   - DOB Boiler Number: [Number]
   - Change: [Change]
   - Inspectors Name: [Name]
   - Inspectors Phone: [Phone]
   - Inspectors Date: [Date]
   - Inspectors Location: [Location]

4. Boiler Corrections, Secretary Information
   - Affirmation of Corrections: [Affirmation]
   - Corrections: [Corrections]
   - Secretary Notes: [Notes]

5. Authorized Inspector Information, Statements and Signature
   - License Number: [Number]
   - License Name: [Name]
   - License Holder: [Holder]
   - License Phone: [Phone]
   - License Address: [Address]
   - State: [State]
   - Inspectors Signature: [Signature]

6. Additional Information
   - Affirmation of Affirmation of Corrections: [Affirmation]
   - Inspectors: [Inspectors]

Note: This inspection report must be filed within forty-five (45) days following the inspection date. Only one form per boiler. Filing Fee Payment Required. Refer to Agency Fee Rule.
OP-49: Self Certification of Removed, Disconnected, or Non-Existing Boiler
<table>
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<th>Property Type</th>
<th>Installation Type</th>
<th>BTU’s</th>
<th>Requires Schedule C Yes or No</th>
<th>Requires LAA Yes or No</th>
<th>Requires First Test Insp. Boiler Division Yes or No</th>
<th>Requires Annual Insp. Yes or No</th>
<th>Requires DEP Renewal Yes or No</th>
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<tbody>
<tr>
<td>1 to 5 Family</td>
<td>New Installation</td>
<td>Up to 350,000 [Gas]</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>No</td>
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<tr>
<td></td>
<td>Or Direct Replacement</td>
<td>Up to 350,000 [Oil]</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td></td>
<td></td>
<td>350,000 to 800,000</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td></td>
<td></td>
<td>Over 800,000 or more</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>6 Family or More Multi-Dwelling Commercial/SRO</td>
<td>New Installation</td>
<td>Up to 350,000</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>Or Direct Replacement</td>
<td>350,000 to 800,000</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
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<tr>
<td></td>
<td></td>
<td>800,000 or more</td>
<td>Yes</td>
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<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
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<td>6 Family or More Multi-Dwelling Commercial/SRO</td>
<td>Fuel Burner</td>
<td>Up to 350,000</td>
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<td>Yes</td>
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<td>No</td>
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<td>350,000 to 2.8 million</td>
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<td>Over 2.8 million</td>
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<td>No</td>
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<td>660 Gallons or more</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
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</table>
PW1C: Schedule Heating & Combustion Equipment

1. Filling Status: Required for all applications.
   - Filling status, choose one: New Installation, Replacement/Modification, Removal/Disconnection, Change Grade of Oil Used

2. Location Information: Required for all applications.
   - Location of Boiler: Borough, Block, Lot, BIN, C.B. No.

3. Owner of Boiler: Complete only if different from owner of PlanWork Approval Application.
   - Last Name, First Name, Middle Initial
   - Business Name, Business Telephone
   - Address

4. Boiler Specifications: Required for all applications. Only one boiler type per Schedule C.
   - Boiler Type: High Pressure or Low Pressure
   - Operating Gage Pressure
   - Steam or Hot Water
   - Power Ratings of Heating Valves
   - Operating Weight of Water
   - Manufacturer/Trade Name, M.E.A./E.S.A. Number, Model Number, Qty.
   - Input Capacity (B.T.U./Hr.), Output Capacity (B.T.U./Hr.), Efficiency, Test Procedure
   - The device complies with the NYCECC Code 310.2.3.68 Efficiency and test procedures as indicated above, or EGC 410.6 as applicable

5. Plan Requirements for Fuel Burning Equipment & Fuel Oil Storage Tanks required if any of the following are checked:
   - Capacity of equipment exceeds 350,000 B.H.U.
   - Tanks are in a building adjacent to the line of a subway
   - Capacity of each oil storage tanks exceeds 275 gallons
   - Tanks are located above the lowest story of a building
   - Tanks are buried or vaulted or enclosed
   - Tanks are in a Multiple Dwelling
   - Fuel burning equipment is located above the lowest story of a building

6. Burner Specifications
   - Item Manufacturer/Trade Name, M.E.A./E.S.A. Number, Model Number, Gross Heating Rate of Oil Burners

7. Fuel Storage Specifications
   - Qty, Tank 1, Tank 2, Tank 3, Tank 4, Oil Grade, Grade 1, Grade 2, Grade 3, Grade 4, Grade 5
   - Storage #1, Diesel/Boiler, Storage #2, Storage #3, Storage #4, Storage #5

8. Chimney Information
   - Full Name, Address, Telephone
   - Full Name, Date

9. Registered Architect or Professional Engineer Seal and Affirmation
   - Full Name, Address, Telephone
   - Full Name, Date

10. Oil Burner Installer/Master Plumber: This section required after work is completed.
    - Verified Statement of Readiness: This statement must be affirmed under the installer’s professional seal as proof that the conditions as stated have been met prior to requesting an appointment. Failure to afford the inspector’s professional seal as proof that the conditions as stated have been met prior to requesting an appointment. Failure to afford the inspector’s professional seal as proof that the conditions as stated have been met prior to requesting an appointment. Failure to afford the inspector’s professional seal as proof that the conditions as stated have been met prior to requesting an appointment. Failure to afford the inspector’s professional seal as proof that the conditions as stated have been met prior to requesting an appointment.
Thank You!
2014 New York City Energy Conservation Code (NYCECC)

Emily Hoffman
Director of Energy Code Compliance
Applicability

As of January 1, 2015, all New Building and Alteration applications must comply

Applications filed on or before December 31, 2014, must comply with the codes in effect at the time of filing.
# NYC Buildings

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<th>FILING DATE</th>
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<th>2/19/08-10/14/08</th>
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<td>SUPPORTING DOCUMENTATION</td>
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<td>NA</td>
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1) Match energy analysis - show building sections, lighting, layouts and legend, mechanical efficiencies;
2) Mandatory requirements;
3) Progress inspections.

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<table>
<thead>
<tr>
<th>FILING DATE</th>
<th>12/28/10-12/31/10</th>
<th>1/1/2011-2/6/11</th>
<th>2/7/11-4/14/11</th>
<th>4/15/11-12/31/14</th>
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<td>2007</td>
<td>2007</td>
<td>2010</td>
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<td><strong>PROFESSIONAL STATEMENT</strong></td>
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<td>Required on PW1 and drawings</td>
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<td>Required on PW1 and drawings</td>
<td>Required on PW1 and drawings</td>
</tr>
<tr>
<td><strong>ENERGY ANALYSIS</strong></td>
<td>Required for NBs, and A1s, A3s: REScheck, COMcheck, EC1, Tabular analysis</td>
<td>Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EC1, Tabular analysis</td>
<td>Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EC1, Tabular analysis</td>
<td>Required for NBs, and A1s, A2s, A3s: REScheck, COMcheck, EN1, Tabular analysis</td>
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</tr>
<tr>
<td><strong>SUPPORTING DOCUMENTATION</strong></td>
<td>1) Match energy analysis - show building sections, lighting layouts and legend, mechanical efficiencies; 2) Mandatory requirements; 3) Progress inspections.</td>
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</tr>
</tbody>
</table>

**ENERGY CODE: WHAT APPLIES**

<table>
<thead>
<tr>
<th>COMPLIANCE RULE</th>
<th>1 RCNY §5000-01, effective 9/7/2010</th>
<th>1 RCNY §5000-01, effective 9/7/2010</th>
<th>1 RCNY §5000-01, effective 9/7/2010</th>
<th>1 RCNY §5000-01, effective 4/15/2011</th>
<th>1 RCNY §5000-01</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRESS INSPECTOR RULE</td>
<td>1 RCNY §101-07, effective 1/1/2011</td>
<td>1 RCNY §101-07, effective 1/1/2011</td>
<td>1 RCNY §101-07, effective 1/1/2011</td>
<td>1 RCNY §101-07, effective 1/1/2011</td>
<td>1 RCNY §101-07</td>
</tr>
<tr>
<td>PW1</td>
<td>2008+, with «fix» for Sec. 10</td>
<td>2008+, with «fix» for Sec. 10</td>
<td>2011</td>
<td>2011</td>
<td>2014</td>
</tr>
<tr>
<td>PW1-C</td>
<td>As applicable</td>
<td>As applicable</td>
<td>2011</td>
<td>2011</td>
<td>2011</td>
</tr>
<tr>
<td>TR1</td>
<td>As applicable</td>
<td>As applicable</td>
<td>2011</td>
<td>2011</td>
<td>2014</td>
</tr>
<tr>
<td>TR8</td>
<td>NA</td>
<td>NA</td>
<td>2011</td>
<td>2011</td>
<td>2014</td>
</tr>
<tr>
<td>EN1 (EC1)</td>
<td>EC1 2007</td>
<td>EC1 2007</td>
<td>EN1 2011</td>
<td>EN1 2011</td>
<td>2014</td>
</tr>
<tr>
<td>EN2</td>
<td>NA</td>
<td>NA</td>
<td>2011</td>
<td>2011</td>
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</tr>
</tbody>
</table>
2. Those that do not contain conditioned space.

**101.5.3 Demonstration of compliance.** For a building project application or applications required to be submitted to the department, the following documentation, as further described in the rules of the department, shall be required in order to demonstrate compliance with this code:

**101.5.3.1 Professional statement.** Any registered design professional or lead energy professional filing an application or applications for a new building or alteration project shall provide on a signed and sealed drawing a statement of compliance or exemption in accordance with the rules of the department.

**101.5.3.2 Energy analysis.** For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, an energy analysis shall be provided on a sheet or sheets within the construction drawing set. The energy analysis shall identify the compliance path followed, demonstrate how the design complies with this code and be in a format as prescribed in the rules of the department. The energy analysis shall meet the requirements of this code for the entire project. Projects that utilize trade-offs among disciplines shall use DOE2-based energy modeling programs or other energy-modeling programs as prescribed in the rules of the department and shall be signed and sealed by a lead energy professional.

**101.5.3.3 Supporting documentation.** For any application that is not exempt from this code and for which a work permit is required in accordance with Section 28-105 of the Administrative Code, supporting documentation shall be required in the approved construction drawings. See Section 103 for further requirements.
2014 NYCECC

Compliance Requirements

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</tr>
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<tbody>
<tr>
<td><strong>1 RCNY §5000-01</strong></td>
</tr>
<tr>
<td><strong>Tabular Analysis</strong></td>
</tr>
<tr>
<td><strong>REScheck - NYS</strong></td>
</tr>
<tr>
<td><strong>COMcheck – NYS or ASHRAE 90.1</strong></td>
</tr>
<tr>
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RESIDENTIAL BUILDING. The term “residential building” includes:

1. Detached one-family dwellings having not more than three stories above grade plane;
2. Detached two-family dwellings having not more than three stories above grade plane;
3. Buildings that (i) consist of three or more attached townhouse units and (ii) have not more than three stories above grade plane;
4. Buildings that (i) are classified in accordance with Chapter 3 of the 2010 edition of the Building Code of New York State in Group R-2, R-3 or R-4 and (ii) have not more than three stories above grade plane;
5. Factory manufactured homes (as defined in section 372(8) of Executive Law); and
6. Mobile homes (as defined in section 372(13) of the Executive Law).

For the purposes of this definition of the term “residential building,” the term “townhouse unit” means a single-family dwelling unit constructed in a group of three or more attached units in which each unit (i) extends from the foundation to roof and (ii) has open space on at least two sides.
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COMMERCIAL BUILDING. The term “commercial building” shall include all buildings not included in the definition of “residential building.”
The 2014 ECCCNY3
+
Local Law 4 of 2015
=
2014 NYCECC
1 RCNY §101-07

Agency & Inspector Qualifications
1 RCNY §101-07

CHAPTER 100

Subchapter A Administration

§101.07 Approved Agencies.

(a) Definitions. For the purposes of this section, all terms used herein shall have the same meanings as set forth in the New York City Building Code ("Building Code"). In addition, the following terms shall have the following meanings:

(1) Approved boiler inspection agency. An agency employing qualified boiler inspectors.

(2) Approved inspection agency. An agency that is approved by the department as qualified to perform one or more of the inspections required by the New York City Construction Codes ("Construction Codes").

(3) Approved pipe welder qualifying agency. An agency that is approved by the department to qualify welders of gas piping installations in accordance with section 406.1.1 of the New York City Fuel Gas Code ("Fuel Gas Code") and high pressure steam piping systems in accordance with section 1216 of the New York City Mechanical Code ("Mechanical Code").

(4) Approved product certification agency. An inspection agency that is approved by the department as qualified to inspect at regular intervals the material that is to be or is listed and labeled, to verify that the labeled material is representative of the material tested.

(5) Approved progress inspection agency. An agency that is approved by the department as qualified to perform one or more of the progress inspections required by section 1C.109 of the Building Code.

(6) Approved testing agency. An agency that is approved by the department as qualified to test and evaluate the performance of one or more of the materials regulated in its use by the Construction Codes. Such test shall include, when approved pursuant to department rules, a third party testing or certification agency, evaluation agency, testing laboratory, testing service or other entity concerned with product evaluation. Such test shall also include a licensed concrete testing laboratory.

(7) Certificate of compliance. A certificate stating that materials meet specified standards or that work was done in compliance with approved construction documents and other applicable provisions of law.

(8) Construction documents. Plans and specifications and other written, graphic and pictorial documents prepared or assembled for describing the design, location and physical characteristics of the elements of the project necessary for obtaining a building permit.

(9) Qualified boiler inspector. An inspector who has been issued a certificate of competence by the State Department of Labor and who is employed by an authorized insurance company, a high pressure boiler operating engineer licensed pursuant to the provisions of the New York City Administrative Code ("Administrative Code"), a class A or class B oil burning equipment installer licensed pursuant to the provisions of such Code, a master plumber licensed pursuant to the provisions of such Code, or a journeyman plumber acting under the direct and continuing supervision of a master plumber licensed pursuant to the provisions of such Code. For inspection of boilers at properties owned or managed by the Department of Education, such term shall include an individual who has passed the National Board Commission examination and who has 5 years relevant experience, as defined below, approved by the department.

(10) Qualified elevator inspector. An individual who has obtained a Qualified Elevator Inspector ("QEI") Certificate from an ASME-accredited agency to witness elevator inspections and tests.

(11) Qualified elevator inspector supervisor. An individual who has obtained a Qualified Elevator Inspector Supervisor ("QEIS") Certificate from an ASME-accredited agency to supervise a QEI’s witnessing and/or to witness directly elevator inspections and tests.

(12) Qualified exterior wall inspector. A registered design professional with at least 1 year of relevant experience.

(13) Registered design professional. A New York State licensed and registered architect (RA) or a New York State licensed and registered professional engineer (PE).
1 RCNY §101-07

Agency & Inspector Qualifications

department may from time to time request, and any other such information that the commissioner deems appropriate in assessing the competency of the agency's operations.

(vi) All approved testing and approved inspection agency inspection and test reports shall be retained in a form acceptable to the department and shall bear the name of the approved agency, its accreditation, license, or department acceptance identification information where applicable, the name of the director who supervised the inspection or test, the names of all personnel who performed the inspection or test, and the names of all witnesses to such inspection or test.

(3) Progress inspection agencies.

(i) Responsibility of owner. It shall be the responsibility of the owner to retain an approved agency to perform all required progress inspections for a new building or alteration project.

(ii) Obligation to avoid conflict of interest. A progress inspector and/or progress inspection agency shall not engage in any activities that may conflict with their objectivity, independence, and integrity, including, but not limited to, having a financial and/or other interest in the construction, installation, manufacture, or maintenance of structures or components that they inspect.

(iii) Agency qualifications. Registered design professionals with relevant experience shall be deemed approved progress inspection agencies, without further requirement of registration or accreditation, for the purpose of conducting the progress inspections required by section BC 109.3.

(iv) Inspector qualifications. A progress inspection agency shall conduct required progress inspections provided such inspections are conducted by a registered design professional with relevant experience or an otherwise qualified individual pursuant to the following table:

<table>
<thead>
<tr>
<th>Progress Inspection Category</th>
<th>2008 Code Section</th>
<th>Qualifications</th>
<th>Supplemental Inspector under direct supervision of Inspection Supervisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary inspection</td>
<td>AC 28-116.2.1</td>
<td>• Registered design professional with relevant experience</td>
<td>• A person with relevant experience</td>
</tr>
<tr>
<td>Compliance inspections</td>
<td>AC 28-116.2.2</td>
<td>• Registered design professional with relevant experience</td>
<td>• A person with relevant experience</td>
</tr>
<tr>
<td>Footing and foundation</td>
<td>BC 109.3.1</td>
<td>• Registered design professional with relevant experience</td>
<td>• A person with relevant experience</td>
</tr>
<tr>
<td>Lowest floor elevation</td>
<td>BC 109.3.2; BC G105.3, Item 1</td>
<td>• Engineer with relevant experience or licensed professional land surveyor with relevant experience</td>
<td>• A person with relevant experience</td>
</tr>
<tr>
<td>Frame</td>
<td>BC 109.3.3</td>
<td>• Registered design professional with relevant experience</td>
<td>• A person with relevant experience</td>
</tr>
<tr>
<td>Fire-resistance</td>
<td>BC 109.3.4</td>
<td>• Registered design</td>
<td>• A person with relevant experience</td>
</tr>
</tbody>
</table>
1 RCNY §5000-01
Construction document approval requirements including list of progress inspections
### TABLE I – PROGRESS INSPECTIONS FOR ENERGY CODE COMPLIANCE – RESIDENTIAL BUILDINGS

<table>
<thead>
<tr>
<th>Inspection/Test</th>
<th>Frequency (minimum)</th>
<th>Reference Standard (See ECC Chapter 6) or Other Criteria</th>
<th>ECC or Other Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>IA1 Envelope Inspections</td>
<td>Prior to backfill</td>
<td>Approved construction documents</td>
<td>303.2.1</td>
</tr>
<tr>
<td>IA1 Protection of exposed foundation insulation</td>
<td>Prior to backfill</td>
<td>Approved construction documents</td>
<td>303.2.1</td>
</tr>
<tr>
<td>IA2 Insulation placement and R-values</td>
<td>As required to verify continuous enclosure while walls, ceilings and floors are open</td>
<td>Approved construction documents</td>
<td>303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table 402.4.2</td>
</tr>
<tr>
<td>IA3 Fenestration thermal values and product ratings</td>
<td>As required during installation</td>
<td>Approved construction drawings, NFRC 100</td>
<td>303.1, 303.1.3, 402.1, 402.3, 402.6</td>
</tr>
<tr>
<td>IA4 Fenestration product ratings for air leakage</td>
<td>As required during installation</td>
<td>NFRC 400, AAMA/WDMA/CSA 101/E.8.2/A440</td>
<td>402.4.4</td>
</tr>
<tr>
<td>IA5 Fenestration areas</td>
<td>Prior to final construction inspection</td>
<td>Approved construction documents</td>
<td>402.3, 402.6</td>
</tr>
<tr>
<td>IA6 Air sealing and insulation – visual inspection option</td>
<td>As required during envelope construction</td>
<td>Approved construction documents, ASTM E831; ASTM E84; RCNY</td>
<td>402.4.1, 402.4.2.2, 402.4.3</td>
</tr>
<tr>
<td>IA7 Air sealing and insulation – testing option</td>
<td>Prior to final construction inspection</td>
<td>ASHRAE/ASTM E779; ANSI Z65; Approved construction documents</td>
<td>402.4.2.1</td>
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<tr>
<td><strong>IA A. Envelope Inspections</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IA1 Protection of exposed foundation insulation: Insulation shall be visually inspected to verify proper protection where applied to the exterior of basement or cellar walls, crawl-space walls and/or the perimeter of slab-on-grade floors.</td>
<td>Prior to backfill approved construction documents</td>
<td>303.2.1</td>
<td></td>
</tr>
<tr>
<td>IA2 Insulation placement and R-values: Insulation for each component of the conditioned space envelope and at junctions between components shall be visually inspected to ensure that the R-values are marked, that such R-values conform to the R-values identified in the construction documents and that the insulation is properly installed. Certifications for unmarked insulation shall be similarly visually inspected.</td>
<td>As required to verify continuous enclosure while walls, ceilings and floors are open approved construction documents</td>
<td>303.1, 303.1.1, 303.1.2, 402.1, 402.2, 402.4.2.2, Table 402.4.2</td>
<td></td>
</tr>
<tr>
<td>IA3 Fenestration thermal values and product ratings: U-factors or installed fenestration shall be verified by visual inspection for conformance with the U-factors identified in the construction drawings either by verifying the manufacturer’s NFRC labels or, where not labeled, using the values in ECC Tables.</td>
<td>As required during installation approved construction drawings; NFRC 100</td>
<td>303.1, 303.1.3, 402.1, 402.3, 402.6</td>
<td></td>
</tr>
</tbody>
</table>

### 3 Energy Code Progress Inspection

*Required for applications where Energy Code Compliance Progress Inspection is needed*

<table>
<thead>
<tr>
<th>3A Identification of Requirement</th>
<th>3B Identification of Responsibilities</th>
<th>3C Certificate of Complete Inspections / Testing</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Y</strong></td>
<td><strong>N</strong></td>
<td>Progress Inspections</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>Protection of exposed foundation insulation</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>Insulation placement and R values</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>Fenestration u-factor and product rating</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>Fenestration air leakage</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>Fenestration areas</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>Air sealing and insulation — visual</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>Air sealing and insulation — testing</td>
</tr>
</tbody>
</table>

Requirements detailed in such section. TR8 documents.
Commissioning is required when:

- Total installed cooling capacity >480,000 BTU/h; or
- Total installed heating capacity >600,000 BTU/h; or
BB 2010-031
BB 2010-032
BB 2011-015
BUILDINGS BULLETIN 2010-031
Technical

Supersedes: None

Issuer: James P. Colgate, R.A., Esq.
Assistant Commissioner for Technical Affairs and Code Development

Issuance Date: December 29, 2010

Purpose: This document clarifies conditions under which an addition, alteration, renovation or repair to HVAC and/or service water heating systems may not be required to comply with the New York City Energy Conservation Code (NYCECC), pursuant to section NYCECC 101.4.3.

Related Code/Zoning: NYCECC 101.4.3
Section(s): NYCECC 403, ASHRAE 6.1.1.2

Subject(s): Additions, mechanical system; Alterations, mechanical system; Renovations, mechanical systems; Repairs, mechanical system; Replacement, mechanical system; Additions, service water heating system; Alterations, service water heating system; Renovations, service water heating system; Repairs, service water heating system; Replacement, service water heating system; Additions, HVAC; Alterations, HVAC; Renovations, HVAC; Repairs, HVAC; Replacement, HVAC; New York City Energy Conservation Code; Energy Code

In accordance with section NYCECC 101.4.3, 403, 503, 504, and ASHRAE 6.1.1 sections 6, 7 and 10, additions to mechanical and/or service water heating systems shall comply with such sections for new construction. Alterations, renovations and/or repairs to mechanical and/or service water heating systems shall be as follows, provided that energy use of the building is not increased:

1. Equipment. Replacement of head-end or terminal equipment, ductwork and/or piping regulated by sections NYCECC 403, 503, 504 and ASHRAE 6.1.1 sections 6, 7 and 10 shall be required to comply with the NYCECC, except where there is insufficient space or access to meet ductwork and/or piping requirements. Replacement of equipment parts, such as boiler burners or tubes within a boiler, is not regulated by the NYCECC.

Exception for terminal unit:
Where replacement equipment is a terminal unit of a non-compliant system and there is no compliant equipment that would fulfill the function of the equipment, the replacement equipment need not comply, provided the energy use of the building is not increased.
BUILDINGS BULLETIN 2010-032

Technical

Supersedes: None

Issuer: James P. Colgate, R.A., Esq.
Assistant Commissioner for Technical Affairs and Code Development

Issuance Date: December 29, 2010

Purpose: This document clarifies conditions under which an addition, alteration, renovation or repair to a lighting or electrical power system or control equipment may not be required to comply with the New York City Energy Conservation Code (NYCECC), pursuant to section NYCECC 101.4.3.

Related Code: NYCECC 101.4.3
Section(s): NYCECC 404
ASHRAE 90.1 Section 8
NYCECC 505
ASHRAE 90.1 Section 9
1 RCNY 5000-01
ASHRAE 90.1 Section 10

Subject(s): Additions, lighting systems; Alterations, lighting systems; Renovations, lighting systems; Repairs, lighting systems; Replacement, lighting systems; Lighting systems, luminaires; Lighting systems, lighting fixtures; Lighting systems, lighting fixtures, lamps; Lighting systems, lighting fixtures, ballasts; Lighting systems, lighting power density; Interior lighting; Exterior lighting; Electrical, electrical or control equipment; Electrical, energy use; New York City Energy Conservation Code; Energy Code

In accordance with sections NYCECC 101.4.3, 404, 505 and ASHRAE 90.1 sections 8, 9 and 10, additions, alterations, renovations and/or repairs to lighting and/or power systems and equipment shall be as follows, provided that energy use of the building is not increased:

1. **Interior lighting systems.** For additions, refer to section NYCECC 101.4.3. For alteration, renovation or repair to lighting systems, refer to section NYCECC 101.4.3, including exceptions 7 and 9, and to the following:
   a. **Luminaires.** When 50 percent or more of the luminaires within the area of the entire scope of work are being replaced, and/or when 50 percent or more of the luminaires within a space are being replaced, the addition, alteration, renovation or repair in each case shall comply with the lighting provisions of the NYCECC or ASHRAE 90.1 as applicable.
   b. **Lamps.** Lamp replacement shall be as follows:
      i. **Dwelling units.** Replacement of lamps within dwelling units shall be by high-efficacy lamps where such lamps are available for such lighting fixtures, but such replacement need not exceed the minimum requirements of sections NYCECC 404 and 505.
BUILDINGS BULLETIN 2011-015
Technical

Supersedes: None

Issuer: James P. Colgate, R.A. Esq.
Assistant Commissioner for Technical Affairs and Code Development

Issuance Date: June 17, 2011

Purpose: This document clarifies conditions under which an addition, alteration, renovation or repair to a building envelope may not be required to comply with the New York City Energy Conservation Code (NYCECC), pursuant to section NYCECC 101.4.3.

Related Code
Section(s):
NYCECC 101.2.4
NYCECC 101.4.3
NYCECC 402
NYECC 502
NYCBC 3202.2.1
ASHRAE 90.1 Section 5
IPRNY 5000-01

Subject(s): Additions, building envelope; Alterations, building envelope; Renovations, building envelope; Repairs, building envelope; Energy Code, existing building thermal envelope; Energy Code, roof; Energy Code, existing exterior wall; Energy Code, existing curtain wall; Energy Code, existing frame wall; Energy Code, existing masonry wall; Energy Code, existing basement wall; Energy Code, existing slab-on-grade; Energy Code, existing doors; Energy Code, existing windows; Energy Code, existing skylights; New York City Energy Conservation Code; Energy Code.

In accordance with Sections 101.4.3, 402, 502 of the NYCECC, and Section 5 of ASHRAE 90.1, additions, alterations, renovations and/or repairs made to a building envelope shall comply with this bulletin, provided that the energy use of the building is not increased.

1. Definitions. Terms used in this bulletin shall have the same meanings as set forth in Chapter 2 of the NYCECC, IPRNY 5000-01 and, for the purposes of this bulletin only, as follows.

   a. Roof plane. A single plane of a roof assembly, whether at the top of a building or a roof setback.
Exemptions

1 RCNY §5000-01 – PW1

the applicant’s firm and discipline for any anticipated related applications.

(e) **Professional statement.** Every application filed by a registered design professional for approval of construction documents for a new building or alteration shall include a professional statement of either compliance with or exemption from the Energy Code.

(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

(i) **Historic building.** All the proposed work is in or on the premises of

(A) a National- or State-designated historic building

(B) a building certified as a contributing building within a National or State historic district

(C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)

(B) FP (fire suppression in a range hood)

(C) SD (standpipe)

(D) SP (sprinklers)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (curb cut)

(H) OT/BPP (builder’s pavement plan)

(I) OT/FPP (fire protection plan).
ARTICLE 111
TEMPORARY STRUCTURES AND USES

§28-111.1 General. The commissioner is authorized to issue a permit for temporary structures and temporary uses. Such permits shall be limited as to time of service or use, but shall not be permitted for more than 30 days. The commissioner may grant extensions for demonstrated cause.

Exception: No permit shall be required for:

SECTION BC 3103
TEMPORARY STRUCTURES

3103.1 General. The provisions of this section shall apply to temporary platforms, reviewing stands, outdoor bandstands and similar miscellaneous structures erected for a period of 30 days or less. Such structures may be constructed of wood whether located inside or outside of the fire districts.
### Exemptions

1 RCNY §5000-01 – PW1

#### NYCECC Compliance

*New York City Energy Conservation Code*

- To the best of my knowledge, belief, and professional judgment, all work under this application is in compliance with the NYCECC.
- Code Compliance Path *(choose one)*:  
  - NYCECC
  - ASHRAE

- Energy Analysis *(choose one)*:  
  - Tabular Analysis
  - REScheck
  - COMcheck
  - Energy Modeling (EN1)

To the best of my knowledge, belief, and professional judgment, all work under this application is exempt from the NYCECC in accordance with one of the following *(choose one)*:

- The work is an alteration of a State or National historic building.
- The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
- The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
- This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

#### Exemption

- Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

  1. **Historic building.** All the proposed work is in or on the premises of:
     - (A) a National- or State-designated historic building
     - (B) a building certified as a contributing building within a National or State historic district
     - (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

  2. **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

  3. **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

     - (A) FA (fire alarm)
     - (B) FP (fire suppression in a range hood)
     - (C) SD (standpipe)
     - (D) SP (sprinklers)
     - (E) FS (fuel storage)
     - (F) EQ (construction equipment)
     - (G) CC (car cut)
     - (H) OT/BPP (builder's pavement plan)
     - (I) OT/FPP (fire protection plan)
### Exhibit 1

#### 5 Job/Project Types
*Choose one and provide specified associated information.*

<table>
<thead>
<tr>
<th>Alteration Type 1 or Alteration Type 1 required to meet New Building requirements (28-101.4.5)</th>
<th>Alteration Type 2 5A, 6A-D, 8A-B, 9-10, 13C-E, &amp; 14, 20, 22</th>
</tr>
</thead>
<tbody>
<tr>
<td>6A-E, 8B-C, 9-10, 12, 13C-F, 14, 18-20, 22 &amp; PW1A, PD1</td>
<td>Full Demolition 6B, 8D, 9A &amp; 9C-D, 9K, 13D-E, 14, 21A, 22</td>
</tr>
<tr>
<td>Alteration Type 1, OT: &quot;No Work&quot; 8C, 9-10 &amp; 12, 13C-F, 14, 18-19, 22, PW1A, PD1</td>
<td>Subdivision 9A, 9D, 12A-B</td>
</tr>
<tr>
<td>New Building 6A-E, 8F-G, 9A, 9C-K, 10, 12 &amp; 13A-E, 14, 18-20, PW1A, PD1</td>
<td></td>
</tr>
<tr>
<td>Sign 5A, 6B-D, 9A, 9D, 22-23</td>
<td></td>
</tr>
</tbody>
</table>

#### 6 Work Types
*Select all that apply but no more than allowed by job and filing type. "OT" required on all NB and Alteration 1 initial applications.*

<table>
<thead>
<tr>
<th>6A</th>
<th>6B</th>
<th>6C</th>
<th>6D</th>
</tr>
</thead>
<tbody>
<tr>
<td>BL - Boiler PW1C</td>
<td>EQ - Construction</td>
<td>OT/GC - General Construction</td>
<td>OT - Other, describe: SOE</td>
</tr>
<tr>
<td>FA - Fire Alarm</td>
<td>FB - Fuel Burning PW1C</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FS - Fuel Storage PW1C</td>
<td>MH - Mechanical</td>
<td>SP - Sprinkler PW1B</td>
<td></td>
</tr>
<tr>
<td>PL - Plumbing PW1B</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FP - Fire Suppression</td>
<td>SD - Standpipe PW1B</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CC - Curb Cut 16</td>
<td>OT/LAN - Landscape</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OT/ANT - Antenna</td>
<td>OT/BPP - Builders Pavement Plan 8D</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OT/FPP - Fire Protection Plan</td>
<td>OT/MAR - Marquee 8E, 26B</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 5. Job/Project Types

Choose one and provide specified associated information.

<table>
<thead>
<tr>
<th>Option</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alteration Type 1 or Alteration Type 1 required to meet New Building</td>
</tr>
<tr>
<td>requirements (28-101.4.5)</td>
</tr>
<tr>
<td>0A-E, 8B-C, 9-10, 12, 13C-F, 14, 18-20, 22 &amp; PW1A, PD1</td>
</tr>
<tr>
<td>Alteration Type 2 5A, 6A-D, 8A-B, 9-10, 13C-E, &amp;</td>
</tr>
<tr>
<td>14, 20, 22</td>
</tr>
<tr>
<td>Alteration Type 3 5A, 6B-F, 8C, 9-10, 13C-E, 20, 22</td>
</tr>
<tr>
<td>New Building 6A-E, 8F-G, 9A, 9K-C, 10, 12 &amp;</td>
</tr>
<tr>
<td>13A-E, 14, 18-20, PW1A, PD1</td>
</tr>
<tr>
<td>Sign 5A, 6B-D, 9A, 9D, 22-23</td>
</tr>
<tr>
<td>Full Demolition 6B, 8D, 9A &amp;</td>
</tr>
<tr>
<td>9C-D, 9K, 13D-E, 14, 21A, 22</td>
</tr>
<tr>
<td>Subdivision 9A, 9D, 12A-B</td>
</tr>
<tr>
<td>Condominium</td>
</tr>
<tr>
<td>Improved 17</td>
</tr>
<tr>
<td>Directive 14 acceptance requested?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>No</td>
</tr>
</tbody>
</table>

### 6. Work Types

Select all that apply but no more than allowed by job and filing type. "OT" required on all NB and Alteration 1 initial applications.

<table>
<thead>
<tr>
<th>Option</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>6A BL - Boiler PW1C</td>
<td>6E</td>
<td>CC - Curb Cut 16</td>
</tr>
<tr>
<td>6A FA - Fire Alarm</td>
<td>6E</td>
<td>OT/LAN - Landscape</td>
</tr>
<tr>
<td>6A FB - Fuel Burning PW1C</td>
<td>6F</td>
<td>OT/ANT - Antenna</td>
</tr>
<tr>
<td>6B EQ - Construction Equipment 15</td>
<td>6G</td>
<td>OT/BPP - Builders Pavement Plan 8D</td>
</tr>
<tr>
<td>6D OT - Other, describe:</td>
<td></td>
<td>OT/FPP - Fire Protection Plan</td>
</tr>
<tr>
<td>6C OT/GC - General Construction</td>
<td></td>
<td>OT/MAR - Marquee 8E, 26B</td>
</tr>
</tbody>
</table>

### 10. NYCECC Compliance

New York City Energy Conservation Code

- To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC.
- Code Compliance Path (choose one): NEW YORK CITY, ASHRAE
- Energy Analysis (choose one): TABULAR ANALYSIS, RESCHECK, COMCHECK, ENERGY MODELING (EN1)

For some applications, the work is not exempt from the NYCECC in accordance with the following:

- The work is an alteration of a State or National historic building.
- The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
- The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.

- This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

### 11. Job Description

EXCAVATION - SHEETING & SHORING; AND INSTALLATION OF A PRECAST CONCRETE VAULT AS PER SUBMITTED DRAWINGS. THIS APPLICATION IS FILED IN CONJUNCTION WITH NB #

### 11A. Related DOB Job Numbers

<table>
<thead>
<tr>
<th>Number</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 11B. Primary application job number:

- 30
(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

- **(i) Historic building.** All the proposed work is in or on the premises of
  - a National- or State-designated historic building
  - a building certified as a contributing building within a National or State historic district
  - or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

- **(ii) Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

- **(iii) Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:
  - FA (fire alarm)
  - FP (fire suppression in a range hood)
  - SD (standpipe)
  - SP (sprinklers)
  - FS (fuel storage)
  - EQ (construction equipment)
  - CC (curb cut)
  - OT/BPP (builder’s pavement plan)
  - OT/FPP (fire protection plan).

---

**10 NYCECC Completion**

- To the best of my knowledge, the location meets all energy code requirements.
- The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
- This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

**11 Job Description**

EXCAVATION - SHEETING & SHORING; AND INSTALLATION OF A PRECAST CONCRETE VAULT AS PER SUBMITTED DRAWINGS. THIS APPLICATION IS FILED IN CONJUNCTION WITH NB #

---

**11A Related DOB Job Numbers**

INCOMPLETE
10 NYCECC Compliance  New York City Energy Conservation Code

To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC. 

Code Compliance Path (choose one): □ NYCECC □ ASHRAE

Energy Analysis (choose one): □ Tabular Analysis □ REScheck □ COMcheck □ Energy Modeling (EN1)

To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC in accordance with one of the following (choose one):

☐ The work is an alteration of a State or National historic building.
☐ The scope of the work is entirely in a “low-energy building” and is limited to the building envelope.
☒ The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
☐ This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

11 Job Description

BUILDERS PAVEMENT PLAN FOR 40 LF OF STREET FRONTAGE FILED HEREWITH

11A Related DOB Job Numbers

11B Primary application job no.
Exemption. Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

(i) **Historic building.** All the proposed work is in or on the premises of

(A) a National- or State-designated historic building
(B) a building certified as a contributing building within a National or State historic district
(C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

(A) FA (fire alarm)
(B) FP (fire suppression in a range hood)
(C) SD (standpipe)
(D) SP (sprinklers)
(E) FS (fuel storage)
(F) EQ (construction equipment)
(G) CC (curb cut)
(H) OT/BPP (builder’s pavement plan)
(I) OT/FPP (fire protection plan).
### Exhibit 3

#### Job Types

<table>
<thead>
<tr>
<th>Alteration Type 1</th>
<th>New Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change in Exits/Egress</td>
<td>□</td>
</tr>
<tr>
<td>Change in Number of Stories</td>
<td>□</td>
</tr>
<tr>
<td>Change in Number of Dwelling Units</td>
<td>□</td>
</tr>
<tr>
<td>Change in Room Count / Dwelling Units</td>
<td>□</td>
</tr>
<tr>
<td>Change in Occupancy / Use</td>
<td>□</td>
</tr>
<tr>
<td>Change inconsistent with current Cert. of Occup.</td>
<td>□</td>
</tr>
</tbody>
</table>

- **Alteration Type 1, OT "No Work"**

- Directive 14 acceptance requested? [ ] Yes [ ] No

#### Work Types

<table>
<thead>
<tr>
<th>BL - Boiler</th>
<th>FA - Fire Alarm</th>
<th>FB - Fuel Burning</th>
<th>FS - Fuel Storage</th>
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<tr>
<td>FP - Fire Suppression</td>
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</tr>
<tr>
<td>SP - Sprinkler</td>
<td>EQ - Construction Equipment</td>
<td>CC - Curb Cut</td>
<td></td>
</tr>
</tbody>
</table>

| OT - GEN CONSTR |

#### Plans/Construction Documents Submitted

**Plans Page Count:** 1
### Job/Project Types

Choose one and provide specified associated information.

- Alteration Type 1 or Alteration Type 1 required to meet New Building requirements (28-101.4.5)
  - 6A-E, 8B-C, 9-10, 12, 13C-F, 14, 18-20, 22 & PW1A, PD1
- Alteration Type 1, OT: “No Work” 8C, 9-10 & 12, 13C-F, 14, 18-19, 22, PW1A, PD1
- New Building 6A-E, 8F-G, 9A, 9C-K, 10, 12 & 13A-E, 14, 18-20, PW1A, PD1
- Sign 5A, 6B-D, 9A, 9D, 22-23
- Full Demolition 6B, 6D, 9A & 9C-D, 9K, 13D-E, 14, 21A, 22
- Subdivision 9A, 9D, 12A-B
- Condominium 17
- Improved
- 17
- 5A Directive 14 acceptance requested?
  - Yes
  - No

### Work Types

Select all that apply but no more than allowed by job and filing type. "OT" required on all NB and Alteration 1 initial applications.

- 6A
  - BL - Boiler PW1C
  - FA - Fire Alarm
  - FB - Fuel Burning PW1C
- 6B
  - EQ - Construction
  - Equipment 15
- 6C
  - OT/GC - General Construction
- 6D
  - OT - Other, describe:
- 6E
  - CC - Curb Cut 16
  - OT/LAN - Landscape
- 6F
  - OT/ANT - Antenna
- 6G
  - OT/BPP - Builders Pavement Plan 8D
  - OT/FPP - Fire Protection Plan
  - OT/MAR - Marquee 6E, 26B

### NYCECC Compliance

New York City Energy Conservation Code

- To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC*
  - Code Compliance Path (choose one):
    - NYCECC
    - ASHRAE
  - Energy Analysis (choose one):
    - Tabular Analysis
    - REScheck
    - COMcheck
    - Energy Modeling (EN1)
- To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose one):
  - The work is an alteration of a State or National historic building.
  - The scope of the work is entirely in a “low-energy building” and is limited to the building envelope.
  - The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
  - This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

### Job Description

PROPOSED A NEW FRONT PORCH TO EXISTING ONE FAMILY DWELLING AS PER PLAN NO CHANGE IN USE, EGRESS OR OCCUPANCY UNDER THIS APPLICATION.

### Related DOB Job Numbers

11A

11B Primary application job no.
(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

(i) **Historic building.** All the proposed work is in or on the premises of

   (A) a National- or State-designated historic building

   (B) a building certified as a contributing building within a National or State historic district

   (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

   (A) FA (fire alarm)

   (B) FP (fire suppression in a range hood)

   (C) SD (standpipe)

   (D) SP (sprinklers)

   (E) FS (fuel storage)

   (F) EQ (construction equipment)

   (G) CC (curb cut)

   (H) OT/BPP (builder’s pavement plan)

   (I) OT/FPP (fire protection plan).
### Energy Analysis
#### 2014 NYCECC Chapter 1, 4
Climate Zone 4A

"PROPOSED A NEW FRONT PORCH TO EXISTING ONE FAMILY DWELLING AS PER PLAN. NO CHANGE IN USE, EGRESS OR OCCUPANCY UNDER THIS APPLICATION."

<table>
<thead>
<tr>
<th>ITEM DESCRIPTION</th>
<th>PROPOSED DESIGN VALUE</th>
<th>CODE PRESCRIPTIVE VALUE AND CITATION</th>
<th>SUPPORTING DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construct new open stone porch with stone steps.</td>
<td>N/A</td>
<td>N/A</td>
<td>A-101 (Elevation, Section))</td>
</tr>
<tr>
<td>Install 15’ of wood trellis above 2 front windows. Paint.</td>
<td>N/A</td>
<td>N/A</td>
<td>A-101 (Elevations)</td>
</tr>
<tr>
<td>Replace existing stone walkway.</td>
<td>N/A</td>
<td>N/A</td>
<td>A-101 (Plot Plan)</td>
</tr>
<tr>
<td>Install new roof over portico.</td>
<td>N/A</td>
<td>101.4.3 Exception # 3</td>
<td>A-101 (Floor Plans)</td>
</tr>
</tbody>
</table>
101.4.3 Additions, alterations, renovations or repairs. Additions, alterations, renovations or repairs to an existing building, building system, equipment or portion thereof, other than repairs of equipment, shall conform to the provisions of this code as they relate to new construction without requiring the unaltered portion(s) of the existing building, building system or equipment to comply with this code. Additions, alterations, renovations or repairs shall not create an unsafe or hazardous condition or overload existing building systems. An addition shall be deemed to comply with this code if the addition alone complies or if the existing building and addition comply with this code as a single building.

Exception: The following need not comply with the provisions of this code provided that the energy use of the building is not increased:

1. Storm windows installed over existing fenestration.

2. Glass-only replacements in an existing sash and frame, provided that the U-factor and the solar heat gain coefficient (SHGC) shall be equal to or lower than before the glass replacement.

3. Alterations, renovations or repairs to roof/ceiling, wall or floor cavities, including spaces between furring strips, provided that such cavities are insulated to the full existing cavity depth with insulation having a minimum nominal value of R-3.0/inch.
101.4.3 Additions, alterations, renovations or repairs. Additions, alterations, renovations or repairs to an existing building, building system, equipment or portion thereof, other than repairs of equipment, shall conform to the provisions of this code as they relate to new construction without requiring the unaltered portion(s) of the existing building, building system or equipment to comply with this code. Additions, alterations, renovations or repairs shall not create an unsafe or hazardous condition or overload existing building systems. An addition shall be deemed to comply with this code if the addition alone complies or if the existing building and addition comply with this code as a single building.

Exception: The following need not comply with the provisions of this code provided that the energy use of the building is not increased:

1. Storm windows installed over existing fenestration.
2. Glass-only replacements in an existing sash and frame, provided that the U-factor and the solar heat gain coefficient (SHGC) shall be equal to or lower than before the glass replacement.
3. Alterations, renovations or repairs to roof/ceiling, wall or floor cavities, including spaces between framing strips, provided that such cavities are insulated to the full existing cavity depth with insulation having a minimum nominal value of R-3.0/inch (R-2.0/cm).
4. Alterations, renovations or repairs to walls and floors in cases where the existing structure is without framing cavities and no new framing cavities are created.
5. Reroofing where neither the sheathing nor the insulation is exposed. Roofs without insulation in the cavity and where the sheathing or insulation is exposed during reroofing shall be insulated either above or below the sheathing.
6. Replacement of existing doors that separate conditioned space from the exterior shall not require the installation of a vestibule or revolving door, provided, however, that an existing vestibule that separates a conditioned space from the exterior shall not be removed.
7. An alteration that replaces less than 50 percent of the luminaires in a space, provided that such alteration does not increase the installed interior lighting power.
8. An alteration that replaces only the bulb and ballast within the existing luminaires in a space, provided that such alteration does not increase the installed interior lighting power.

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Proposed Design</th>
<th>Value Code</th>
<th>Prescriptive Value Code</th>
<th>Supporting Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Install new roof over portico.</td>
<td>N/A</td>
<td>101.4.3 Exception # 3</td>
<td>A-101 (Floor Plans)</td>
<td></td>
</tr>
</tbody>
</table>
### Energy Analysis

#### 2014 NYCECC Chapter 1.4

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Proposed Design</th>
<th>Code Precriptive Value</th>
<th>Supporting Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construct new open stone porch with stone steps.</td>
<td>N/A</td>
<td>N/A</td>
<td>A-101 (Elevation, Section)</td>
</tr>
<tr>
<td>Install 15’ of wood trellis above 2 front windows. Paint.</td>
<td>N/A</td>
<td>N/A</td>
<td>A-101 (Elevations)</td>
</tr>
<tr>
<td>Replace existing stone walkway.</td>
<td>N/A</td>
<td>N/A</td>
<td>A-101 (Plot Plan)</td>
</tr>
<tr>
<td>Install new roof over portico.</td>
<td>N/A</td>
<td>101.4.3 Exception # 3</td>
<td>A-101 (Floor Plans)</td>
</tr>
</tbody>
</table>
9  Additional Considerations, Limitations or Restrictions

9E □ □ BSA Calendar Numbers (max. 5):
9F □ □ CPC Calendar Numbers (max. 5):
9G □ □ Work includes lighting fixture and/or controls, installation or replacement. [ECC §404 and §505]

10  NYCECC Compliance  New York City Energy Conservation Code

☐ To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC*

Code Compliance Path (choose one):
☐ NYCECC  ☐ ASHRAE

Energy Analysis (choose one):
☐ Tabular Analysis  ☐ REScheck  ☐ COMcheck  ☐ Energy Modeling (EN1)

☒ To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose one):

☐ The work is an alteration of a State or National historic building.
☒ The scope of the work is entirely in a “low-energy building” and is limited to the building envelope.
☒ The entire scope of work involves a temporary structure and/or one or more of the following work types:
   FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
☐ This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings.

11  Job Description

CONSTRUCT DETACHED ONE CAR GARAGE ACCESSORY TO NB. NO ON OR OFFSITE FILL TO EXCEED 300 CUBIC YARDS.

11A Related DOB Job Numbers

11B Primary application job no.
(1) **Compliance.** All new building and alteration applications must indicate compliance on the application form, except as specifically excluded in paragraph (2) of this subdivision.

(2) **Exemption.** Only applications that consist entirely of work exempt from the Energy Code may indicate exemption in the professional statement. The application must state one of the following bases for exemption:

(i) **Historic building.** All the proposed work is in or on the premises of
   
   (A) a National- or State-designated historic building
   
   (B) a building certified as a contributing building within a National or State historic district
   
   (C) or, a building certified as eligible for such designation, as provided in section ECC 101.4.2.

(ii) **Envelope of low-energy building.** All the proposed work is related to the envelope system of a low-energy or unconditioned building, as described in section ECC 101.5.2.

(iii) **Categories of work not affecting energy use.** Temporary structures (as described in sections 28-111 and BC 3103) are exempt from compliance with the Energy Code. In addition, the following work types are exempt:

   (A) FA (fire alarm)
   (B) FP (fire suppression in a range hood)
   (C) SD (standpipe)
   (D) SP (sprinklers)
   (E) FS (fuel storage)
   (F) EQ (construction equipment)
   (G) CC (curb cut)
   (H) OT/BPP (builder’s pavement plan)
   (I) OT/FP (fire protection plan).
| 10 | NYCECC Compliance  
New York City Energy Conservation Code |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>□</td>
<td>To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC*</td>
</tr>
</tbody>
</table>
| □ | Code Compliance Path *(choose one)*:  
NYCECC ☐  
ASHRAE ☐ |
| □ | Energy Analysis *(choose one)*:  
Tabular Analysis ☐  
REScheck ☐  
COMcheck ☐  
Energy Modeling (EN1) ☐ |
| ☒ | To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following *(choose one)*:  
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FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP.  
Other work types are not exempt.  
☐ This is a post-approval amendment and exempt under a prior edition of the energy code. See statement of exemption on attached drawings. |

<table>
<thead>
<tr>
<th>11</th>
<th>Job Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>THIS APPLICATION IS FILED TO DO A 1-CAR MASONRY GARAGE</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>11A</th>
<th>Related DOB Job Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td></td>
</tr>
</tbody>
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<tr>
<th>11B</th>
<th>Primary application job no.</th>
</tr>
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(C) SD (standpipe)

(D) SP (sprinklers)

(E) FS (fuel storage)

(F) EQ (construction equipment)

(G) CC (curb cut)

(H) OT/BPP (builder’s pavement plan)

(I) OT/FPP (fire protection plan).
101.5.2 Low energy buildings. The following buildings, or portions thereof, separated from the remainder of the building by building thermal envelope assemblies complying with this code shall be exempt from the building thermal envelope provisions of this code.

1. Building spaces with a peak design rate of energy usage less than 3.4 Btu/h per square foot or 1.0 watt per square foot (10.7 W/m²) of floor area for space conditioning purposes.

2. Building spaces that do not contain conditioned space.
## Energy Analysis

2014 NYCECC Chapters 1, 4  
Climate Zone 4A

"THIS APPLICATION IS FILED TO DO A 1 CAR MASONRY GARAGE."

<table>
<thead>
<tr>
<th>ITEM DESCRIPTION</th>
<th>PROPOSED DESIGN VALUE</th>
<th>CODE PRESCRIPTIVE VALUE AND CITATION</th>
<th>SUPPORTING DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construct foundation, walls, and roof of garage. Install 1 window, 1 door, and 1 overhead door.</td>
<td>N/A</td>
<td>1 RCNY 5000-01(e)(2)(ii) Envelope of a low-energy building is exempt.</td>
<td>A-101.00 Plan, Elevations</td>
</tr>
<tr>
<td>Install 1 permanently-installed light fixture on sheetrock ceiling.</td>
<td>(1) 23 watt bulb 1600 lumens 70 efficacy</td>
<td>404.1 A minimum of 50% of the lamps in permanently installed lighting fixtures shall be high-efficacy lamps.</td>
<td>A-102.00 Floor Plan</td>
</tr>
</tbody>
</table>
Energy Analysis
2014 NYCECC Chapters 1, 4
Climate Zone 4A

“This Application is filed to do a 1 car masonry garage.”

<table>
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<th>ITEM DESCRIPTION</th>
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</table>

**Efficacy = Lumens/Watt**

1600 / 23 = 69.6
**HIGH-EFFICACY LAMPS (Sect 202 Gen Definitions)**

Compact fluorescent lamps, T-8 or smaller diameter linear fluorescent lamps, or lamps with a minimum efficacy of:

1. 60 lumens per watt for lamps over 40 watts,
2. 50 lumens per watt for lamps over 15 watts to 40 watts, and
3. 40 lumens per watt for lamps 15 watts or less.

"THIS APPLICATION IS FILED TO DO A 1 CAR MASONRY GARAGE."

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**Efficacy = Lumens/Watt**

\[
\frac{1600}{23} = 69.6
\]
1. **Check the PW1.** Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.
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2. **Check for Demonstration of compliance.**
   - Professional statement
   - Energy Analysis - Agrees with scope of work?
   - Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format? Commissioning required?
1. Check the PW1. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.

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   - Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format? Commissioning required?

3. Check the submitted forms.
   - PW1C – for boilers >350,000 Btu
1. Check the PW1. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1C)

### Checklist

- Energy Analysis - Agrees with scope of work?
  - Professional statement
    - Check the PW1. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1C)
  - Check the submitted forms.
    - Check for Demonstration of compliance.
  - Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format?

### Boiler Specifications

<table>
<thead>
<tr>
<th>No. of Boilers to be Installed</th>
<th>Operating Gauge Pressure</th>
<th>If Modular, Number of Units</th>
<th>Operating Weight of Boiler</th>
<th>DEP Installation No.*</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Pressure Settings of Relief Valves</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Boiler Type: High Pressure or Low Pressure and
  - Steam or Hot Water

- Fuel Used: Oil or Gas or Electric

- Item Manufacturer / Trade Name MEA / BSA Number Model Number Qty. Boilers Input Capacity (btu/hr) Output Capacity (btu/hr) Efficiency / Test Procedure

- The device complies with the NYCECC Table 503.2.3(5) efficiency and test procedures as indicated above, or ECC 403.6 as applicable.

- PW1C – for boilers >350,000 Btu
1. Check the PW1. Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.

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   - Energy Analysis - Agrees with scope of work?
   - Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format?

3. Check the submitted forms.
   - PW1C – for boilers >350,000 Btu
   - EN1 – scanned on plans (for energy modeling)
**EN1: Energy Cost Budget Worksheet**

Must be typewritten

### 1. Location Information

- **House No:**
- **Street Name:**
- **Borough:**
- **Block:**
- **Lot:**
- **BIN:**
- **CB No.:**
- **Work Floor(s):**
- **Apt/Condo No(s):**

### 2. Applicant Information

- **Last Name:**
- **First Name:**
- **Middle Initial:**
- **Business Name:**
- **Business Telephone:**
- **Business Address:**
- **Business Fax:**
- **City:**
- **State:**
- **Zip:**
- **Mobile Telephone:**
- **Email:**
- **License Number:**

### 3. Energy Modeling Information

- **Energy Modeling Protocol (check one):**
  - [ ] Section 11 ECB
  - [ ] Appendix G PRM
- **Modeling Software & Version:**
- **Weather File:**
- **Total Modeled Square Feet:**
- **Conditioned Square Feet:**
- **Proposed Unmet Load Hours:**
- **Baseline Unmet Load Hours:**
- **Proposed Site EUI (kBtu/sf):**
- **Baseline Site EUI (kBtu/sf):**

### 4. Purchased Energy Rates

- **Fuel:**
  - [ ] Electric
  - [ ] Gas
  - [ ] Steam
  - [ ] Other:

  - **Utility Rate Provider/Rate Structure (i.e. ConEd):**
  - **Virtual Utility Rate (S/unit):**
  - **Baseline Design Total Charge ($)**
  - **Proposed Design Total Charge ($)**
  - **Supporting Doc. Location**
  - **Model Output Report**

**This project contains on-site generation.**

### 5. Energy Modeling Usage Summary

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>Electric Usage (kwh)</td>
<td>Gas/Electric Usage (kBtu/yr)</td>
<td>Other Usage (i.e. chilled water) (Indicate units)</td>
<td>Electric Usage (kwh)</td>
<td>Gas/Electric Usage (kBtu/yr)</td>
<td>Other Usage (i.e. chilled water) (Indicate units)</td>
<td>Model Output Location (Report)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 6. Energy Inputs and Supporting Documentation Index

#### Above-Grade Wall & Fenestration Areas

<table>
<thead>
<tr>
<th>Orientation</th>
<th>Window Wall Area (ft²)</th>
<th>Vertical Glazing Area (ft²)</th>
<th>Vertical Glazing Area (ft²)</th>
<th>Supporting Doc. Location</th>
<th>Model Output Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>North</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>East</td>
<td></td>
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<tr>
<td>South</td>
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<td>West</td>
<td></td>
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<tr>
<td>Total</td>
<td></td>
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<td></td>
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</table>

<table>
<thead>
<tr>
<th>Roof &amp; Skylight Area</th>
<th>Skylight Area (ft²)</th>
<th>Skylight Area (ft²)</th>
<th>Skylight Area (ft²)</th>
<th>Supporting Doc. Location</th>
<th>Model Output Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td></td>
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   - Professional statement
   - Energy Analysis - Agrees with scope of work?
   - Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format?

3. Check the submitted forms.
   - PW1C – for boilers >350,000 Btu
   - EN1 – scanned on plans (for energy modeling)
   - TR1 – “Energy Code Progress Inspections”
Checklist

1. **Check the PW1.** Is it filled out correctly? Is the entire scope of work really exempt? If it is not in the list of exemptions in 1 RCNY §5000-01 (or 4th exemption on PW1), then compliance should be checked.

2. **Check for Demonstration of compliance.**
   - Professional statement
   - Energy Analysis - Agrees with scope of work?
   - Supporting documentation - Do plans match Analysis? TR8 items in BIS? TR8 inspections in required format?

3. **Check the submitted forms.**
   - PW1C – for boilers >350,000 Btu
   - EN1 – scanned on plans (for energy modeling)
   - TR1 – “Energy Code Progress Inspections”
   - TR8 – Inspections should match those on plans

   • Commissioning indicated on TR-8
Commissioning is required when:

- Total installed cooling capacity ≥480,000 BTU/h; or
- Total installed heating capacity ≥600,000 BTU/h; or
One City Built to Last GOAL:

Reduce carbon emissions by 80% by 2050 from 2005 levels
**One City: Built to Last**

City buildings will lead by example.

We will empower New Yorkers to act to improve the efficiency of their buildings.

We will ensure benefits are shared by New Yorkers in every neighborhood.
INVENTORY OF NEW YORK CITY GREENHOUSE GAS EMISSIONS

November 2014
Executive Summary

New York City reduced its greenhouse gas (GHG) emissions by 19 percent since 2005. Cleaner generation of electricity and steam were responsible for the majority of emissions reductions, and New Yorkers are using electricity and heating fuel more efficiently in their buildings.

This inventory reports on two inter-related sets of data: GHG emissions attributable to all activities occurring within the five boroughs of the City of New York, which are aggregated as the “citywide” GHG inventory (referred to as “community” in relevant GHG protocols), and the subset of GHG emissions attributable to operation of New York City’s government, such as the energy used to heat schools and propel fire trucks, and fugitive GHG emissions that result from wastewater treatment and solid waste disposal, which are aggregated as the “City government” GHG inventory.

This inventory reports annual levels of GHG emissions and reports the causes of variations in emissions levels over time. By measuring and analyzing GHG emissions, the City is able to track the progress it is making toward achieving many of the sustainability policy measures outlined in PlaNYC, such as improving buildings’ energy efficiency, cleaning the city’s power supply, creating low-carbon transportation options, and reducing GHG emissions from City government buildings, wastewater treatment, solid waste disposal, and other sources.

Citywide emissions changes from 2005 to 2013:

- Citywide emissions were 19 percent lower in 2013 than in 2005 (See Fig. 2)
- Reduced carbon intensity in the city’s electricity supply was the largest driver of GHG emissions reduction, reducing GHG emissions by 6.58 million metric tons (or 11 percent)
- Reduced carbon intensity in the city’s steam supply is a major

Reductions in energy use per unit of building area indicate New Yorkers used energy more efficiently in 2013 than in 2005, a sign that PlaNYC’s initiatives have taken effect.

Electricity used in buildings (generated both in and out of the city) is the largest source of GHG emissions related to activities in New York City. Given this, the reduced carbon-intensity of the city’s electricity supply was the largest overall driver of citywide GHG emissions reductions from 2005 to 2013. This reduction is the result of increased natural gas-fired generation displacing more carbon intensive oil- and coal-fired generation; investments in new and cleaner generation; the retirement of coal-fired and other inefficient generation in New York State; and several other factors. Market forces along with local, state and federal policies all contributed to the change in the fuel mix of the city’s electricity supply since 2005.
What will we look like in 2050?
2014 New York City
Energy Conservation Code
(NYCECC)

Thank You for your time!
Permits

Martin Ramos
Borough Coordinator

Code and Zoning Representative
Training Module 6.1
Permits Overview

- Introduction to forms for different types of permits including PW2, PW5 and the e-filing of permit forms
- Applicants for permits: General Contractor (GC), Fire Suppression Contractor (FSC), Master Plumber (MP), Oil Burner Installer (OBI), Sign Hanger (SH), Professional Engineer (PE), Registered Architect (RA), Homeowner
- Important data on form:
  - Tracking #, HIC # & License #
  - If Master Plumber also indicate if “Primary” or “Secondary”
  - If filing rep, basic information
  - Insurance including expiration dates
- Project Specific Liability Insurance / General Liability (PGL1 form)
- Certain jobs also require information on:
  - Construction Superintendent (BC Chapter 33) (BC 3301.3)
  - Demolition, Concrete, Concrete Safety subcontractors
Permit Process

Application Filing and Permit Process

- Department data enters application information
- Department reviews plans OR
- Department approves Plan
- Department Issues Permit
- Applicant Applies for Permit
- If disapproved, Applicant calls for appointment
- Applicant professionally certifies plans
- Applicant pays the fee
- Applicant Profiles application

START CONSTRUCTION
# Types of Permits

<table>
<thead>
<tr>
<th>Type</th>
<th>Form / Agency</th>
<th>Who can pull a permit</th>
<th>Renewals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alteration, Equipment (Shed and more), Demolition, Foundation (Earthwork), Mechanical &amp; New Building</td>
<td>PW2 (e-filing of PW-2)</td>
<td>Owner, GC, PE or RA</td>
<td>YES, but Shed &amp; Demolition applications need Borough Commissioner approval</td>
</tr>
<tr>
<td>Standpipe, Sprinkler, Gas Boiler &amp; all Plumbing</td>
<td>PW2/ e-filing</td>
<td>Master Plumber Fire Protection Contractor (only sprinkler &amp; standpipe)</td>
<td></td>
</tr>
<tr>
<td>Curb Cut &amp; No-Work</td>
<td>PW2/ e-filing</td>
<td>Owner, GC, PE or RA</td>
<td>NO</td>
</tr>
<tr>
<td>Oil Fired Fuel Burning, Fuel Storage &amp; Boiler</td>
<td>PW2/ e-filing</td>
<td>OBI</td>
<td>YES</td>
</tr>
<tr>
<td>Sign</td>
<td>PW2/ e-filing</td>
<td>Sign Hanger, PE or RA</td>
<td>YES</td>
</tr>
<tr>
<td>Place Of Assembly</td>
<td>PW2/ e-filing</td>
<td>Owner, PE or RA</td>
<td>YES</td>
</tr>
</tbody>
</table>
## Types of Permits

<table>
<thead>
<tr>
<th>Permit Type</th>
<th>DOB Form / Other Agency</th>
<th>Permit Applicant</th>
<th>Renewals</th>
</tr>
</thead>
<tbody>
<tr>
<td>After Hours</td>
<td>PW5 / Online</td>
<td>GC</td>
<td>e-Filing</td>
</tr>
<tr>
<td>BPP/Fire Alarm/Fire Suppression</td>
<td>Other City Agencies: DOT &amp; FDNY</td>
<td>Refer to instructions from the agency in question</td>
<td>n/a</td>
</tr>
</tbody>
</table>

…and there are other types of permits and associated procedures for Cranes & Derricks, Elevators, & Electrical work
• Use only latest version of form (12/14) or file electronically for some HUB jobs.
• Complete all required sections
• Before submitting the form to DOB, you need:
  • An active approved job
  • A tracking number (insurance)
  • License number
• Emergency Procedure also available
Common Mistakes on PW-2:

- Full Demolition permits need a DEP ACP5 form submitted indicating no asbestos as present – ACP21 and ACP20 forms are no longer accepted (DEP Service Notice)
- Check PGL1 expiration date of Insurance before renewing NB, ALT1, or DEMO permits
Asbestos Abatement Requirement

• An Asbestos Assessment Report (DEP ACP5) must be submitted prior to permit for full demolitions
Project Specific General Liability Insurance

- Project Specific General Liability Insurance (PGL1 form) is required on all demolition & major alteration applications.
- The amount of insurance required is determined by:
  - Building type / height
  - Tower crane usage
  - Depth of excavation
  - Lot line proximity
  - Height of construction
  - Adjacent building size
  - Type of permit pulled

Additional information can be found on the Department's website (RCNY 101-08) (AC §28-103.15)
General Liability Insurance - UPDATED

Operational Changes
For projects requiring additional project-specific insurance, the following documentation must be submitted to the Department before a new or renewed permit will be issued:

- Project Specific General Liability Insurance Summary and Affirmation (PGL1 form).
  The Project Specific General Liability Insurance Tool will automatically generate this form, based upon the information the user provides. You may also access this program in the Applications and Permits section of nyc.gov/buildings. Once the PGL1 is generated, applicants must:
  1. Print the PGL1;
  2. Sign the form and have it notarized; and
  3. Have an authorized insurance broker sign it.
- Certificate of Liability Insurance (ACORD)
- Expiration Date of Permits: The permit's expiration may coincide with the expiration of the project-specific insurance. The permit expiration date will be the earliest of the following:
  1. One year from the date the permit was issued;
  2. The expiration date of the project-specific general liability insurance policy that was provided as proof when the permit was obtained; or
  3. The expiration date of the general liability insurance policy provided to the Department's Licensing Unit.

Permits that do not require project-specific general liability insurance will expire one year from the date the permit was issued or the day the general liability insurance policy expires, whichever is earlier.
### Exemptions to Rule 6101-08
Project-specific general liability insurance is not required for jobs that are:

- A one- or two-family home, and
- The excavation is less than 12 feet deep, and
- The project is not on the lot line with an existing structure, and
- The project’s height is less than 35 feet.

In addition, project-specific general liability insurance is not required for storage sheds, garages or similar accessory uses for residential structures. Tower crane projects are not exempt from these insurance requirements.

### Determining Insurance Requirements by Project
The insurance requirements are determined by: permit type, height and number of stories of the tallest adjacent building; and height and number of stories of the proposed construction.

The following page outlines the new insurance requirements; the table Use these tables to determine the amount of liability insurance the project must have.

### Tower Crane Jobs
For every project that will use a tower crane, the project must have general liability insurance of $50 million, regardless of the permit or scope of work.

### Foundation or Full Demolition Permits

<table>
<thead>
<tr>
<th>Tallest Adjacent Building</th>
<th>Foundation Permit</th>
<th>Full Demo Permit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 7 Stories AND less than 75 ft</td>
<td>$5 million</td>
<td>$5 million</td>
</tr>
<tr>
<td>Between 7-14 stories AND less than 150 ft</td>
<td>$10 million</td>
<td>$15 million</td>
</tr>
<tr>
<td>Less than or equal to 14 stories AND between 75-150 ft</td>
<td>$10 million</td>
<td>$15 million</td>
</tr>
<tr>
<td>Greater than 14 Stories OR greater than or equal to 150 ft</td>
<td>$15 million</td>
<td>$25 million</td>
</tr>
</tbody>
</table>

### New Buildings and Major Alterations*

<table>
<thead>
<tr>
<th>Tallest Adjacent Building</th>
<th>Proposed Construction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 7 stories AND less than 75 ft</td>
<td>$5 million</td>
</tr>
<tr>
<td>Between 7-14 stories AND less than 150 ft</td>
<td>$15 Million</td>
</tr>
<tr>
<td>Less than or equal to 14 stories AND between 75-150 ft</td>
<td>$15 Million</td>
</tr>
<tr>
<td>Greater than 14 Stories AND greater than or equal to 150 ft</td>
<td>$25 Million</td>
</tr>
</tbody>
</table>

* A Major Alteration is defined as:
1. Alteration permit involving demolition of more than 50% of the floor area of an existing building
2. Work that will result in the removal of one or more floors of an existing structure
3. Horizontal or Vertical enlargement affecting the exterior envelop of an existing building
Temporary Use Permit

• A temporary use permit may be issued for no more than 90 days (sometimes renewable) pursuant to Administrative Code (AC) Section 28-111.1.1

• To apply for a temporary use permit, an Alteration Type-2 application (non-Directive 14, inspections required) is filed for miscellaneous temporary uses

• Examples of temporary uses:
  • Temporary boilers
  • Temporary field office trailer for home sales
After Hour Variances

- After Hour Variance (PW5 form) dated (03/13) is required if work is to be performed:
  - Before 7:00 AM or after 6:00 PM
  - Weekends
  - City Holidays
- Up to 14 consecutive calendar days are allowed on one PW5 form
- As of July 2009, the following initial filing fees are required upon approval, in addition to, a daily fee of $80.00 per day:
  - $100 – up to 3 days
  - $200 – 4 to 6 days
  - $300 – 7 to 9 days
  - $400 – 10 to 12 days
  - $500 – 13 to 14 days
- Electronic filing is available through the NYC Development Hub
# PW5 Work Permit Form

## Initial Filing Status Information
- **Required for all applications:** Client applicable due for applicable type.

## Location Information
- **Required for all applications:**
  - **Borough:**
  - **Lot:**
  - **Block:**
  - **Bldg:**
  - **Cn:**
  - **Income (if known):**

## Contractor Information
- **Required for all applications:** Business fax and email are optional.

## Variance Information
- **Required for all applications:**
  - **In compliance with 208 Mipt of the code?**
  - **If work being done within an enclosed building?**
  - **Does any of this work involve full or partial demolition?**
  - **Does any of this work involve crane use?**
  - **Total Number of days Requested**

## Days of Work
- **Specify below:**

## Statements and Signature
- **Required for all applications:**

## Internal Use Only
- **Site Appr.:**
- **Site Location:**
- **Building:**
- **Date:**

---

**Note:**
- All applications must be submitted with the required information and fees.
- Application will be rejected if any information is missing or incomplete.
- Applications must be submitted at least 48 hours prior to the start of the proposed work.
- Approved applications will be valid for the duration of the project.
- A new application must be submitted for each new project or phase of the project.
- Applications must be submitted to the Building Department or online through the City of New York's official website.

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**Signatures:**

---

**Date:**
Thank You!
Home Improvement Contractors (HIC) Licenses

Richard Rosen
Senior Project Advocate

Code and Zoning Representative
Training Module 9.13
HIC Objectives

- The Department of Buildings (DOB) assists the Department of Consumer Affairs (DCA) in the enforcement of licensing for home improvement contractors (HIC).
- To ensure that home improvement work is done by HIC licensed contractors, the DOB requires contractors to submit their DCA HIC license number when obtaining a DOB work permit.
Operations Policy and Procedure Notice # 3/05

TO: Distribution
FROM: Robert LiMandri
DATE: November 4, 2005
SUBJECT: Home Improvement Contractor's License Requirement for Certain Permits.

EFFECTIVE: November 15, 2005
OBJECTIVE: To confirm that applicants/contractors seeking work permits for certain types of work possess a New York City Department of Consumer Affairs (“DCA”) Home Improvement Contractor's License (HIC license).

BACKGROUND:

To ensure that home improvement work is performed by licensed contractors, the Department of Buildings will require contractors to submit their DCA-issued HIC license or a copy thereof for certain work as set forth below.

APPLICATION and EXCEPTIONS:
This requirement applies to work being performed in:
- 1, 2, 3 or 4-family residence, or
- individual co-op, condominium unit or rented apartment unit.

If the applicant/contractor is one of the following, an HIC license is not required:
- A Professional Engineer or a Registered Architect who does not have a Design-Build Contract
- A subcontractor
- A homeowner performing his or her own work
- A contractor for a new building or for work done to fulfill a guarantee of completion of a new building
- Performing work in a residence that is owned or controlled by a government agency
- Performing work in only the commercial portion of a building
- Performing work in a Multiple Dwelling Units building when hired by the building owner or Board of Directors

PROCEDURES:

DOB Plan Examination:
At the point of plan review, DOB plan examiners will review the submission to verify if a DCA HIC license is required. If a HIC license is required, the plan examiner will select the Required Item “HIC License or Affidavit” to be an Item Required “Prior to Permit” for the job. The Required Item can be satisfied by non-technical staff.

DEAR Processing for Professionally-certified jobs.
The professional will determine if a DCA HIC license is required. If a HIC license is required, the professional will select (or write-in) the Required Item “HIC License or Affidavit” to be an Item Required “Prior to Permit” for the job. The DEAR clerk will data enter the Required Item.

Applicant/Contractor:
The applicant/contractor must submit a Work Permit Application (PW-2).
As of April 7, 2005, the PW-2 form includes a question requiring the HIC license number.
The following steps should be taken to complete the PW-2:
- In section 6 (Applicant Information) of the PW-2, the contractor must indicate either “Yes” or “No” to the question “Does the Work Permit applied for require an HIC license?” If “Yes”, she must indicate the HIC license number on the form and will be asked to present the HIC license or a copy thereof to the Permit Clerk.
- If the contractor also has a DOB general contractor tracking number, she should also check the “General Contractor” box and provide the tracking number.
- If the work is on the commercial portion of a mixed-use building, it should be stated in the “Part A Job Description” portion of the PW-1 form, and the contractor does not need to check the HIC box on the PW-2 form.

DOB Permit Processing:
The Department’s permit clerk will receive the PW-2 form and:
1. Check the Required Item list to determine if the Required Item “HIC License or Affidavit” is present.
2. If it is present, check the PW-2 to ensure the applicant/contractor completed the question “Does the Work Permit applied for require an HIC license?” If “Yes”, she must indicate the HIC license number on the form and will be asked to present the HIC license or a copy thereof to the Permit Clerk.
3. Permit Clerk will confirm the existence of the HIC License. Clerk does not need to retain the document. At a future date, the HIC # may be recorded in BIS.
4. The Applicant may submit the HIC Affidavit (HIC-1) if the HIC License requirement does not apply. Is submitted, the Affidavit should be retained in the job folder.

Note: No HIC or Affidavit is required unless the Required Item is present on the Required Item list for the job.

Renewal Processing:
The Department’s Permit Clerk will check the Required Item list to determine if the Required Item “HIC License or Affidavit” is present. If it is present, follow same procedure as above. If it is not present, renew the permit. No HIC license or Affidavit is required unless the Required Item is present on the Required Item list for the job.
An HIC license is required by a contractor

- When performing Alteration Type 1, 2 or 3 application work, and
- When the contractor’s contract involves any of the following:
  - a 1, 2, 3 or 4 family residence, or
  - a shareholder of a co-op unit, or
  - a condominium unit holder, or
  - a tenant of a rented apartment unit.
In General, the following entities need an HIC license:

- all types of contractors performing construction work, and
- professional engineers and registered architects performing design/build work,

*but there are exceptions*...
OPPN 3/05:
Who Doesn’t Need the HIC License?

- A registered design professional, professional engineer (PE) or registered architect (RA) who does not have a Design/Build contract
- A subcontractor (to a general contractor)
- A homeowner performing his or her own work
- A contractor for a new building; a contractor for work done to fulfill a guarantee of completion of a new building
- An applicant (contractor or registered design professional) performing work in a residence that is owned or controlled by a government agency
- A contractor or registered design professional performing work in only the commercial portion of a building
- A contractor or design professional performing work in a Multiple Dwelling Unit building, when hired by the building owner or Board of Directors
Affirmation of HIC Requirement

- Added as a non-technical “Required Item” that must be submitted “Prior to Permit” during plan examination.
- Applicant must produce their HIC ID at the borough office permit window

Proactive enforcement

- DOB performs random audits that include
  - reviews of plans and applications
  - site inspections
- DCA performs inspections of the site
When submitting a request for a work permit,

- the contractor must
  - present a valid HIC license, or
  - if qualified for one of the exemptions previously discussed, an affidavit in lieu of the HIC license may be presented.
    - The form is available in the Forms section of the Department of Buildings website.

- This requirement also applies to permit renewal requests for jobs filed on or after November 15, 2005.
How to file

In Section 6 of the PW-2, the contractor must respond to the “HIC License” question (Does the Work Permit applied for require an HIC license?). If “Yes”, the contractor must provide the HIC license number in the space provided and present the license or a copy to the permit clerk for validation. If applicable, you may present an HIC Affidavit (HIC-1) to have the requirement waived.

6 Applicant Information

Please check which one of the following applies to the applicant for this permit (select one only):

- Licenses (Provide number and check off type):
  - O.F.E.
  - O.R.A.
  - O.M.P.
  - O.F.S.C.
  - O.O.B.I.
  - O.Sign Hanger
  - Lic. No.

- Does the Work Permit applied for require a H.I.C. license? □ No □ Yes (Provide H.I.C. # here if yes):

- General Contractor, Provide Tracking No. (mandatory):

- Demolition Contractor

- Home Owner (waiver of insurance from New York State Workman’s Compensation Board required and Borough Commissioner’s approval.)

If MP, FSC, or OBI applicant, are you responsible for all work on this permit? □ Yes □ No If not, please describe type of work below:
### Required Items Checklist for Professional Certification (PC-1)

#### 2 Required Items (Continued)

**Required for all applications. Yes or no must be selected for every item.**

<table>
<thead>
<tr>
<th>NO</th>
<th>ITEMS REQUIRED PRIOR TO PERMIT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CPC: HUDSON YARDS FINAL CERTIFICATION</td>
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<tr>
<td></td>
<td>JAMAICA: DEP SEWER CONNECTION APPROVAL</td>
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<tr>
<td></td>
<td>SITE SAFETY PLAN</td>
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<tr>
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<td>EXCAVATION OR DEMOLITION: 5-DAY NOTICE</td>
</tr>
<tr>
<td></td>
<td>SIDEWALK SHED APPLICATION &amp; PERMIT</td>
</tr>
<tr>
<td></td>
<td>TEMPORARY FENCE APPLICATION &amp; PERMIT</td>
</tr>
<tr>
<td></td>
<td>SCAFFOLD APPLICATION &amp; PERMIT</td>
</tr>
<tr>
<td></td>
<td>MICROFILM: INITIAL</td>
</tr>
<tr>
<td></td>
<td>INSURANCE: WORKERS' COMPENSATION</td>
</tr>
<tr>
<td></td>
<td>INSURANCE: WORKERS' COMP. WAIVER/AFFID</td>
</tr>
<tr>
<td></td>
<td>INSURANCE: LIABILITY</td>
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<td>INSURANCE: DISABILITY</td>
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<td>DIR-14 ID OF RESPONSIBILITY (TR1)</td>
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<td>MASONRY MANUFACTURER'S STATEMENT-FORM 10H</td>
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<td>EQUIPMENT (EQ) PERMITS</td>
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<td>MICROFILM: ADDITIONAL REQUIRED</td>
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<td>HIC LICENSE OR AFFIDAVIT</td>
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<td></td>
<td>ELECTRICAL APPLICATION FOR SIDEWALK SHED LIGHTING</td>
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<td></td>
<td>ASBESTOS: COMPLETION OR CLOSEOUT (ACP20 OR 21)</td>
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<td></td>
<td>STREET TREES’ RECEIPT OF STREET TREES SITE PLAN</td>
</tr>
<tr>
<td></td>
<td>ASBESTOS: VARIANCE (DEP FORM V5)</td>
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<tr>
<td></td>
<td>JAMAICA: DEP SEWER CONNECTION APPROVAL</td>
</tr>
<tr>
<td></td>
<td>2008 TR1 REQUIRED FOR NEW LIGHTED SIGNAGE</td>
</tr>
<tr>
<td></td>
<td>TRS. CONCRETE DESIGN MIX TECHNICAL REPORT</td>
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<td></td>
<td>PARTIAL DEMO: PLAN &amp; DS1 (FOR AL/EW—OT PERMITS)</td>
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<tr>
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<td>PARTIAL DEMO: 10-DAY NOTICE (FOR AL/EW—OT PERMITS)</td>
</tr>
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<td></td>
<td>STANDPIPE ALARM DRAWINGS 7 A11 (OR A11 PROOF)</td>
</tr>
<tr>
<td></td>
<td>STANDPIPE WORK PERMIT</td>
</tr>
<tr>
<td></td>
<td>OTHER:</td>
</tr>
</tbody>
</table>

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*build safe | live safe*
• The applicant submits the HIC-1 if the HIC License requirement does not apply. If submitted, the Affidavit should be retained in the job folder.
Thank You!
Builders Pavement Plan (BPP)

Frank Marchiano
Deputy Borough Commissioner
• General Overview
• Filing Procedure and Fees
• Required Items
• Forms Required
• Waivers
• DOT Rules and Regulations
• Inspection
• Sign-off Requirements
General Overview

- Required by Section 36 of the General City Law
- The Builders Pavement Plan (BPP) is an Engineering Drawing that depicts the Public Right of Way area abutting the property.
- Plan is designed to show curbs, curb cuts, trees, utility locations, sidewalks and roadway improvements in accordance w/ DOT standards and specifications
- Article 108 of the 2014 NYC Administrative Code (AC) establishes exceptions on filing a BPP application for Alterations
- Required for the issuance of a Certificate of Occupancy per AC 28-118.7
- All Public infrastructure work shall be designed in accordance w/ DOT Rules and Regulations.
The Builders Pavement Plan was also established to avoid the following undesirable conditions:

- Ponding and Icing – inadequate drainage
- Vehicular Skidding – inadequate roadway crown
- Slipping and Sliding – overly steep roadways or sidewalks
- Tripping and Falling – resulting from abrupt changes of grade
- Hazards for persons with disabilities – provide Code compliant accessibility
- Vehicular Hazards – obstructions & non-complying clearances
Undesirable Conditions

Ponding and Icing – inadequate drainage

Vehicular Skidding – inadequate roadway crown
Undesirable Conditions

Slipping and Sliding – overly steep roadway or sidewalk

Tripping and Falling – resulting from abrupt changes of grade
Undesirable Conditions

Hazards for persons with disabilities – provide Code compliant accessibility

Vehicular Hazards – obstructions & non-complying clearances
Filing Procedure

• Application must be filed as an Alteration Type-3
• A Professional Engineer or a Registered Architect must sign and stamp the submitted applications
• A BPP cannot be filed as a Directive 14
• Alteration to be processed through Application Processing and Plan Exam through Approval
• Filing Fee is $8 per linear foot of property frontage, with a minimum of:
  • $130 for 1- & 2-family dwelling; and
  • $195 for all other buildings, plus management fees
BUILDINGS BULLETIN 2009-016
Operational

Supersedes: None

Issuer: Fatma Amer, P.E.
First Deputy Commissioner

Issuance Date: September 1, 2009

Purpose: This document clarifies that all applications that involve altering the existing horizontal curb alignment of the street must be reviewed by the New York City Department of Transportation (DOT)

Related Code/Zoning Section(s):
- General  AC  28-108.2  AC  19-113  FC  503.8.2
- City Law  36 (2)  28-108.3  19-115

Subject(s): Builder’s Pavement Plan; curbs, horizontal alignment
The Department of Buildings (DOB) administers the Builders Pavement Plan (BPP) program to ensure that construction or alteration work on a building or the issuance of a certificate of occupancy (CO) include curb, sidewalk and roadway improvements in accordance with the Department of Transportation’s (DOT) standards and specifications. These standards and specifications are set forth in the current versions of DOT publications: *Standard Details of Construction; Standard Specifications*, and *Instructions for Filing Plans & Guidelines for the Design of Sidewalks, Curbs, Roadways and Other Infrastructure Components*. These publications include requirements that a property owner must maintain the existing horizontal curb alignment of the street upon which his/her property fronts.

Therefore, all BPP applications submitted to the DOB that seek to waive the above requirement and propose alterations to the existing horizontal curb alignment of the street upon which the lot fronts, whether the intent is to widen or narrow the street, must be reviewed and approved by DOT prior to the approval of the BPP.
Required Submissions with Application

- Engineering Drawings
  - Must show existing conditions and proposed design
  - DOT format and size (24x36)
- Topographical Survey of existing conditions
  - Required for all BPP jobs
  - Must be within 12 months of initial filing
- Photos - Signed, Sealed and Dated
  - Required for all BPP Jobs
  - Site plan to indicate location and direction
  - Free of debris, snow, leaves and/or any other obstruction
Unacceptable Photos - Examples
Acceptable Photos - Examples
Online Form Access

Look Here
Online Form Access

Adobe Acrobat Format
### Forms Required

<table>
<thead>
<tr>
<th>Form</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BPP1</td>
<td>Checklist for Alt-3 in lieu of plans</td>
</tr>
<tr>
<td></td>
<td>Filed only for small jobs that were previously built up</td>
</tr>
<tr>
<td>BPP5</td>
<td>Authorization to DOT to Issue permit</td>
</tr>
<tr>
<td></td>
<td>Required for all BPP jobs</td>
</tr>
</tbody>
</table>
Forms Required

**BPP8 – Required Items for Signoff**
- Required for all BPP jobs

**BPP9 – Request for Field Inspection**
- Required for all BPP jobs
Forms Required

- BPP11 – Affidavit as to Roadway Pavement and/or Sidewalk & Curb Construction
  - Certification by Engineer

- BPP15 – Application for Waiver of Requirements
  - Permissible on applications for upper floor additions, small backyard additions, garages or similar structures
• **BPP16 – Application for waiver of Curb Alignment and/or Sidewalk and Curb**
  
  • Required on Jobs where DOT waiver is warranted, based on width of mapped street
Waivers

**Waiver of Legal Grade**
- Required when existing adjacent curb at the lot line is three (3) inches or greater above or below legal grade
- Filed and Recorded with the County Clerk’s Office

**Waiver of Improvements**
- Property owner or Applicant may request a waiver of Sidewalks, Curbs, Pavement and/or Curb Alignment
- Supplementary materials to accompany submittal to support waiver request
- Form must be approved by DOT and DOB Borough Commissioners
**Waiver of Improvements**

**NEW YORK CITY DEPARTMENT OF TRANSPORTATION**

**BUILDERS PAVEMENT UNIT**

**55 WATER ST., 7TH FLOOR NEW YORK, NY 10041**

**PHONE: 212-839-8998**

---

**WAIVER OF IMPROVEMENTS**

- **R.P.P Plan #:**
- **Location(s):**
- **Intersection:**
- **Block(s):**

<table>
<thead>
<tr>
<th>Consideration for:</th>
<th>Granted</th>
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</thead>
<tbody>
<tr>
<td>Sidewalks</td>
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<td>Curb</td>
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<td>Paving</td>
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<td>Curb Alignment</td>
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<td>All Improvement</td>
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<tr>
<td>Other</td>
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</tbody>
</table>

**Notes:**

**PREPARED BY:**

**DATE:**

**REVIEVED BY:**

**DATE:**

**D.O.T B.C.:**

**DATE:**

**D.O.R B.C.**

**DATE:**

---

**FORM PROCEDURE:**

**DATE:**

**BUILT:**

**DATE:**

---

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Look Here

Look Here

Monday to Friday, and provide emergency information for the request. A refer number or a temporary emergency permit to immediately place the equipment will be issued. Applicants must follow up with standard permits when operations normalize. Temporary generators/boilers shall not be placed on highways, no standing anywhere, no stopping, authorized parking zones, bus stops or driveways. Applicants must follow up with standard permits when operations normalize. Applicants with over-dimensional vehicles must also submit a proposed route along with axle weights, axle spacing and vehicle dimensions to nycdoitts@dot.nyc.gov and tpmass@dot.nyc.gov to obtain travel approval.

- Cranes must have all necessary approvals through NYC Department of Buildings.
- To become a registered permittee you must complete the Permittee Registration Application, and ensure that all required insurances and bonds are up to date. The Street Works Manual provides additional information on registration/insurance/bond requirements and must be followed exactly. The completed Permittee Registration Application, along with all required insurance/bonds must be submitted at the temporary DOT Central Permit Office at 30-30 Thomson Avenue (2nd Floor), Queens, New York.

Street Works Manual

DOT publishes the Street Works Manual, a resource for everyone that performs work in New York City streets, from utilities and contractors installing, replacing and repairing underground infrastructure to developers replacing roadways and sidewalks adjacent to building sites and homeowners performing their own sidewalk repairs. The manual covers advance planning of construction projects, all construction-related DOT permits, and how and when to obtain these permits.

Visit the Street Works Manual

DOT issues over 150 different types of sidewalk and roadway construction permits to utilities, contractors, government agencies and homeowners. Permits cover activities such as street openings, sidewalk construction and installing canopies over sidewalks.

Apply for a street or sidewalk construction permit

Request a confirmation number for a protected street permit

Check the status of active street construction permits

Download a brochure on Excavation Safety Alerts (pdf)

Learn about reducing emissions (Local Law 77)

Plans and Guidelines for Sidewalks, Curb, and Roadways

Owners developing property are required to have a sidewalk, curb and paved roadway along the public right-of-way abutting the property. The Instructions for Filing Plans and Guidelines for the Design of Sidewalks, Curb, Roadways and Other Infrastructure Components (pdf) describe the documentation that must be submitted to the satisfaction of DOT.
DOT Curb Cut Details
NYC Zoning Resolution
- Governs the widths, distances between curbs cuts & allowable number of curbs cuts along a property frontage in a particular zoning district

Building Code (BC 406.7.6, pertaining to open parking lots)
- Regulates the location, size of curb cuts and distance from lot lines
Inspections

- All BPP inspections are to be performed by the Department’s Construction Division, standard process in all Boroughs
- Applicant must submit BPP9 form with a Final BPP Survey (sealed by licensed surveyor) to the Borough Construction Division
- Upon receipt of completed form and necessary documentation, the Construction Unit will schedule an Inspection
Signoff Requirements

- BPP8
- Engineer’s Affidavit
  - Verifies work performed by contractor
- Final Survey
  - Verifies that as-built conditions comply with approved plans
- DOT Work Permit
  - Required prior to any BPP construction work
- Roadway/Pavement and/or Sidewalk Concrete Cores
  - Required for street frontages equal to or in excess of 100 feet
The following requirements must be fulfilled as dictated by the BPP project:

- Department of Parks permit to remove and/or plant trees
- Waiver of Legal Grade
- Utility Companies approval to relocate utility pole(s)
- DOT approval to relocate bus stop(s)
- DEP approval to relocate and/or install catch or seepage basins and the relocation of fire hydrants
Thank You!
Limited Alteration Application
and
Permit Renewals

Gathfeny Sanders
Director, LAA/Permit Renewals
Overview

- The Limited Alteration Application (LAA1) form is utilized for plumbing work, fire suppression piping replacement and repairs, and oil burner installations which does not include construction work. With the implementation of the 2014 Code Revision the LAA1 now includes:
  
a) **Category 1** which is limited to an estimated cost of $35,000 per licensee within a 12 month period.

b) **Category 2** No estimated cost limitation or time period restriction.

- Generally, the work is restricted to repairs and/or replacements of existing equipment and does not require a Registered Architect or Professional Engineer.
### Limited Alteration Application for Plumbing, Oil Burning, or Fire Suppression

**Category 1: (Estimated Cost $3,000 or Less)**
- Oil Burner Installers (OBI) Only: Select only one Category, not both:
  - New Oil Burner Installation
  - Temporary Heating Apparatus
  - Relocate Oil Fired Heating Apparatus

**Category 2: (Estimated Cost $10,000 or Less)**
- Oil Burning Work
  - Temporary Heating Apparatus
  - Relocate Oil Fired Heating Apparatus

**Category 3: (Estimated Cost $30,000 or Less)**
- Oil Burning Work
  - Installation of New Sprinkler System
  - Replacement of Sprinkler Heads
  - Installation of New Sprinkler Heads

**Category 4: (Estimated Cost $50,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations

**Category 5: (Estimated Cost $100,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations

**Category 6: (Estimated Cost $300,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations

**Category 7: (Estimated Cost $1,000,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations

**Category 8: (Estimated Cost $5,000,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations

**Category 9: (Estimated Cost $10,000,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations

**Category 10: (Estimated Cost $50,000,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations

**Category 11: (Estimated Cost $100,000,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations

**Category 12: (Estimated Cost $500,000,000 or Less)**
- New Sprinkler System
  - Sprinkler Head Replacements
  - Sprinkler Head Installations
Licensed Master Plumbers can utilize the LAA1 form to perform minor plumbing work consisting of replacement or repair work, and in some cases add items which should be filed as the following:

**Category 1**
- Rearrange up to 20 sprinkler heads.
- Add up to 5 sprinkler heads.
- Installing gas fired appliances.
- Installation of up to five new fixtures.

**Category 2**
- Perform oil to gas conversions.
- Re-route existing plumbing or gas piping.
- Install back flow preventers.
- Replace up to 30 sprinkler heads.
- In kind replacement of gas fired appliances.
Oil Burner Installers can use the LAA1 form to file for the following work utilizing the appropriate category:

<table>
<thead>
<tr>
<th><strong>Category 1</strong></th>
<th><strong>Category 2</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Install replacement oil tanks</td>
<td>• May replace oil boilers up to 1 million ( BTU's )</td>
</tr>
<tr>
<td>• Perform fuel grade conversions</td>
<td>• Install Oil burners up to 2.8 million ( BTU's )</td>
</tr>
<tr>
<td></td>
<td>• Installation of temporary oil fired mobile boilers.</td>
</tr>
</tbody>
</table>
Fire Suppression Work

Fire Suppression Contractors may make the following changes to an existing system:

**Category 1**
- Install up to 5 new sprinkler heads
- Rearrange up to 20 sprinkler heads
- Replacement of parts of a combined standpipe.
- Replace hose cabinets

**Category 2**
- Replace Sprinkler heads

*Please be aware that any time a fire suppression system will be turned off for more than 8 hours, a Fire Department variance letter is required.*
Please Note:

- Any outstanding items for jobs submitted manually will be noted on a checklist.

- The job status of a given LAA may be found on the Buildings website with the latest updates and may be tracked by address or the BIS job number.

- In the event that a change is required on an approved LAA due to the addition of equipment, error in filing or a response to an objection, an Amendment may be filed.
Please Note:

- On occasions when a licensee cannot file a LAA, but has to respond to an emergency or hazardous condition, the contractor may file an Emergency Work Notification (EWN).

- A Superseding LAA may be filed to replace a contractor or business that is currently on record.
Limited Alteration Application
Electronic Filings

• Licensed Contractors can enroll in the Departments Electronic filing program. The licensee will need to go to the Department of Buildings website [www.nyc.gov/buildings](http://www.nyc.gov/buildings) in order to enroll.

• Once an accurate and completed Authentication form has been approved by our office. The licensee can electronically file Limited Alteration Applications.

• There are some restrictions on which type of Limited Alteration Application work can be filed electronically. Please visit our website for some examples of work that cannot be filed electronically.
AUTHENTICATION FORM

Instructions:
In order to participate in Buildings' electronic filing program, you must accurately complete this form. Please sign the form, have it notarized, and stamp it with your professional seal (if applicable). Any false or misleading statement(s) provided herein will result in the applicant's disqualification from being able to renew permits electronically and may lead to criminal prosecution.

<table>
<thead>
<tr>
<th>E-mail Address:</th>
<th>LAABUILDINGS.NYC.GOV</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last Name:</td>
<td>PERMIT RENEWAL</td>
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<tr>
<td>First Name:</td>
<td>LAA</td>
</tr>
<tr>
<td>MI:</td>
<td></td>
</tr>
<tr>
<td>Date:</td>
<td>1/8/2013</td>
</tr>
<tr>
<td>Business Address:</td>
<td>280 BROADWAY</td>
</tr>
<tr>
<td>City:</td>
<td>NY</td>
</tr>
<tr>
<td>State:</td>
<td>NY</td>
</tr>
<tr>
<td>Zip:</td>
<td>10007</td>
</tr>
<tr>
<td>Contact Tel:</td>
<td>212-666-4575</td>
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<tr>
<td>APT #.</td>
<td></td>
</tr>
<tr>
<td>Mobile Phone:</td>
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</tbody>
</table>

LICENSES AND TRACKING NUMBERS

<table>
<thead>
<tr>
<th>License Type</th>
<th>License Number</th>
<th>Business Name</th>
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</thead>
<tbody>
<tr>
<td>Master Plumber</td>
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<td></td>
</tr>
<tr>
<td>Fire Suppression &amp; Piping Contractor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Oil Burner Installer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sign Hanger</td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Contractor</td>
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<tr>
<td>Electrical Contractor</td>
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<tr>
<td>Professional Engineer</td>
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<td>LAA TEST</td>
</tr>
<tr>
<td>Registered Architect</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
LAA Audits

Audit Banner

Resolving Open Issues
Adding an AO Smith Hot Water Heater, 75 Gallon, 68,000 BTUS and a Weil McClain Boiler, 295 BTU's. Test existing gas line to stoves in cellar and on 1st floor.
Open Issues Banner

✓ Contact the LAA Unit to resolve “open issues”

✉ LAA-AUDITS@BUILDINGS.NYC.GOV
Premises: 1300 MOCKINGBIRD LANE MANHATTAN
BIN: 0000000  Block: 000  Lot 00

Location Information (Filed At):
House No(s): 1300  MANHATTAN
Borough: MANHATTAN

Administerative Notes: 081414- PAA APPROVED
Audit Results: ACCEPTED on 08/14/2014

Applicant of Record
Name: John Doe
Business Name: John Doe Plumbing & Heating
Business Address: 280 Broadway, New York, NY 10007
License Type: Master Plumber
License Number: 000000
Applicant Insured By: MERCHANTS MUTUAL INS CO
Insurance Expires: 09/14/2014

Work Detail
Plumbing: GAS EQUIPMENT/PIPING
Description of Work: REPLACING APPROXIMATELY 400FT OF 3/4" BLACK PIPE & FITTINGS FOR COOKING GAS TO APT. 1F, 2F, 2H, 3E, 4B, 4J, 6A, 6B, 6H. THE FIRE STOPPING WILL NOT BE COMPROMISE. WE ARE ALSO PERFORMING INTEGRITY TEST ON EXISTING GAS LINES TO APTS 2G, 4G, 5J, BOILER PILOT, SUPER APT. BUILDING HAS A TOTAL OF 72 APARTMENT AND THIS APPLICATION IS DONE IN CONJUNCTION WITH LAA 140231176. ONLY APT 6A REQUIRES REPAIRS OUT OF 60 APT FILE UNDER LAA 140231176 WITH 5 APRTS STILL TO BE TESTED.

Additional Gas Information
Filing Representative Training
Curriculum:

Permit Renewals
Permit Renewals

Which Form is Required?

- To renew a permit, a completed PW2 work permit application is required with a standard $100.00 filing fee. Applications may be mailed into our central processing unit, submitted at our customer service window or dropped off in the 5th floor waiting area drop off box.

- Similar to the LAA’s, a permit checklist will be attached to the PW2 indicating any outstanding items that must be resolved, prior to approval of the work permit application for manual submissions.
### PW2: Work Permit Application

**Reason For Filling:** Request for all applications.
- [ ] Initial Permit - Complete all sections. Expected work start date: ____________
- [ ] Renewal Permit with changes - Complete all sections. Renewal Permit without changes 1, 2, 3, 4, 7 - 12

**Location Information:** Required for all applications.
- House Nos.: ____________
- Street Name: ____________
- Borough: ____________
- Block: ____________
- Lot: ____________
- LBN: ____________
- C.B. No.: ____________
- Work on Floors: ____________
- Apt. (Condo No.): ____________

**Type of Permit:** Choose one and compare any appropriate sub-changes or other information.
- [ ] Alteration
- [ ] Addition
- [ ] Alteration + Addition
- [ ] Alteration + Addition + Demolition & Removal
- [ ] Alteration + Addition + Demolition & Removal + Electrical
- [ ] Alteration + Addition + Demolition & Removal + Mechanical
- [ ] Alteration + Addition + Demolition & Removal + Plumbing

**Applicant / Contractor:** Required for all applications. (" indicates optional.)
- Last Name: ____________
- First Name: ____________
- Middle Initial: ____________
- Name: ____________
- Business Address: ____________
- Business Name: ____________
- Business Telephone: ____________
- City: ____________
- State: ____________
- Zip: ____________
- Mobile Telephone: ____________
- Fax: ____________
- Registration Number: ____________

---

**Note:**
Build safe | live safe
Is Electronic Filing Available?

- General contractors, licensed contractors and licensed professionals may enroll in the Department of Buildings electronic filing program.

- Once the Authentication form has been mailed or dropped off to our unit, it is reviewed for activation. Upon activation, a confirmation email is sent and the enrollee may now file and make payments online to obtain electronic approval from their home or office.
Insurance?

- In cases where a new construction project requires General Liability Insurance, a signed, notarized and updated PGL1 form: Project Specific General Liability Insurance tool sheet with the associated Accord insurance form must be submitted.

Controlled Inspections?

- Prior to issuing a permit renewal on jobs that require concrete testing, a TR2: Concrete Sampling and Testing Technical Report and TR3: Concrete Design Mix Technical Report must be submitted with the appropriate signature and seal.
Site Safety?

- To ensure construction sites are managed by proper individuals, a Site Safety Coordinator or Site Safety Manager is required on all initial construction jobs that are over 10 stories.

Sidewalk shed permits are different?

- If you are renewing a permit for Shed equipment, a signed and sealed letter is required from a Registered Architect or Professional Engineer.
• The L2 form is used to request an override, reduction or waiver of a Work Without Permit violation.

• A L2 form must be submitted along with your Permit Renewal Application or Limited Alteration Application if there is an open Work Without Permit violation(s) on the premises accompanied by copies of all of the open work without permit violations.

• The completed signed and notarized form should be accompanied by documentation that supports the request along with the application. Applicants must submit separate L2 forms for each Work Without Permit violation. However, if you have the same L2 violation request for several violations then the applicant may use one L2 form for all applicable violations. Just be sure to list each violation number in the designated area.
Contact Information
Limited Alteration Application / Permit Renewal Unit
http://www1.nyc.gov/site/buildings/business/laa.page

New York City Department of Buildings
280 Broadway, 5th Floor
New York, NY 10007
9am - 4pm (M - F)
Telephone: 212-393-2406
Fax: 212-566-5823

Laa-pr@buildings.nyc.gov
Laa-audits@buildings.nyc.gov