



**EXECUTIVE OFFICES**  
60 HUDSON STREET, NEW YORK, NY 10013-3394

SATISH K. BABBAR, R.A., Acting Commissioner  
(212) 312-8000, TTY: (212) 312-8188

Website: NYC.gov/buildings

Issuance #600

Ronny A. Livian, P.E.  
Deputy Commissioner  
Technical Affairs  
(212) 312-8324  
Fax (212) 312-8319

---

**TECHNICAL  
POLICY AND PROCEDURE NOTICE #1/01**

---

TO: Distribution

FROM: Ronny Livian, P.E. *R. Livian, PE*  
Deputy Commissioner, Technical Affairs

DATE: September 24, 2001

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

---

**EFFECTIVE:** Immediately

**Supercedes and Modifies:**

Technical PPN #7/94.

**PURPOSE:** Pursuant to Section 27-143 of the Administrative Code, the Commissioner may designate portions of the examination for limited supervisory check when the application is submitted by an architect or an engineer.

Consistent with this provision of the code and with the objective of expediting approvals and issuance of permits for all types of applications filed for all type of Buildings and Structures, the registered architect ("R.A.") or the licensed professional engineer. ("P.E.") filing the application will have the option of self-certifying the removal of objections issued after plan examination.

**"Ensuring a Safe Foundation"**

**SPECIFICS:** The following procedure will be instituted for self-certification of removal of objections issued on applications filed under Directive 2 of 1975 and Directive 14 of 1975:

1. The filed application and plans must be complete as per Section 27-139 of "the code" and fully address pertinent zoning resolution issues in order that all applicable objections may be issued at the time of first examination.

Applications requiring B.S.A. or C.P.C. approvals or certifications may utilize "the self-certification of objections" option only after obtaining such approval or certification from the respective agencies.

Applications requiring a Certificate of no Harassment or Landmark Approval, may utilize the self-certification of objections option only after obtaining such approval from the respective agency.

Applicants not electing self-certification of removal of objections on an application at the time of initial filing shall not be permitted to utilize this option later on (unless specific situations accepted by Borough Commissioner).

At the time of first examination, the plan examiner will check off on the on-line (BIS) checklist, "self-certification of the objections to be submitted by the applicant," as a required item. The objections will be mailed to the applicant without a scheduled appointment.

2. The R.A. or P.E. filing the application must state: "The filed application is complete as required in Item 1 above. I will self-certify the removal of all objections to be issued on this application" on the PW-1 form, in the comments section under Item #16.
3. The R.A. or P.E. will resolve the objections by "self-certifying" compliance on an AI-1 form ("Additional Information" form) by listing all outstanding objections(s) along with the issuance date and explaining how the objections have been corrected, e.g. by correcting plans, adding necessary documents, etc.

In addition:

- a) The applicant will conclude this certification on the AI-1 form noting, "I have self-certified compliance of objections. I am aware that the Commissioner will rely upon the truth and accuracy of the above statement as to compliance with the provisions of all applicable building laws and regulations. If non-compliance with such laws is disclosed at any later examination or review, I will take the necessary remedial measure to obtain objection compliance expeditiously.

I further realize that any falsification of facts will render me liable for any legal and disciplinary action by the Department of Buildings and other appropriate authorities.

- b) The owner(s) will make a statement saying, "I have read the above statement and have authorized the request for 'self-certification' of objection(s) by the applicant for work specified on the plans and the application. I agree to comply with any requirements for remedial measures, if same becomes necessary."
4. The R.A. or P.E. will then bring the application, and executed "Additional Information" form and a copy to a Department employee designated for accepting all such applications. The employee will stamp the application and plans "Approved/Accepted with Self-Certification of Objections" and keep the copy of the "Additional Information" form for DOB records and approve the job in the computer system.
  5. Within 45 days of approval, at least 20% of all self-certified applications shall be audited under the supervision of the Borough Commissioner. Such examination shall also be made at any time upon receipt of complaints or other evidence of non-compliance. Sampling of selected applications must insure review of a cross section of applications that deserve most attention based on factors unique to the borough, public safety and health, degree of complexity, project size, etc. Results of the audits shall be reported monthly to the Assistant Commissioner of Technical Affairs, the Director of Investigations and Discipline and the Assistant Commissioner for Operations.

Applications with serious non-compliance and matters affecting public safety shall be revoked in compliance with Section 27-197 of the "the code" by the Borough Commissioner. Copies of revocation letters citing specific reasons shall be forwarded to the Director of Investigations and Discipline for any appropriate action, which may include immediate suspension of the self-certification privileges outlined in this PPN and notification to peer review groups.

6. In an exceptional situation where "self-certification" of compliance for issued objections would not be feasible, the Borough Commissioner or his designee may permit the applicant to relinquish this option. A revised PW-1 form for Item #16 must be filed and recorded in the computer system. The applicant then may call the original examiner to schedule an appointment to resolve pending objections.