

## NEW YORK CITY DEPARTMENT OF BUILDINGS

### Notice of Public Hearing and Opportunity to Comment on Proposed Rules

**What are we proposing?** The Department of Buildings (DOB) is proposing to amend a variety of penalties in its Penalty Schedule, 1 RCNY § 102-01(k).

Due to the current health emergency, the public hearing for this rule is being scheduled as a virtual hearing, which may be accessed according to the information given below in this Notice.

- **When and where is the hearing?** DOB will hold a public hearing on the proposed rule online. The public hearing will take place on 7/28/20 at 11am.

Join through Internet:

- To join the hearing via your browser either click on the following URL link or copy and paste it into your browser's address bar. Then follow the prompts.  
<https://buildings.webex.com/buildings/j.php?MTID=m55e731dbe8c663c165086679a9863b2e>

When prompted, enter the following meeting password: 10007

When joining the meeting, choose either **“Use computer for audio,”** or **“Call in,”** for the audio portion of the public hearing. If you choose the “Call in” option, the information needed to connect (**phone number, Access Code and Attendee ID**) will automatically be presented to you immediately **after** you join the Webex meeting.

If you have low bandwidth or inconsistent Internet connection, we suggest you use the “Call-in” option for the hearing. This will reduce the possibility of dropped audio and stutters.

- Join via phone only:  
To join the meeting only by phone, use the following information to connect:

Phone: 646-992-2010

Access code: 160 136 8162

Password (if requested): 10007

**How do I comment on the proposed rules?** Anyone can comment on the proposed rules by:

- **Website.** You can submit comments to the DOB through the NYC rules website at <http://rules.cityofnewyork.us>.
- **Email.** You can email comments to [dobrules@buildings.nyc.gov](mailto:dobrules@buildings.nyc.gov).

- **Comments cannot be submitted by mail or fax at this time because the DOB office is temporarily closed.**
- **Speaking at the hearing.** Anyone who wants to comment on the proposed rule at the public hearing must sign up to speak. You can sign up by emailing [dobrules@buildings.nyc.gov](mailto:dobrules@buildings.nyc.gov) by 7/21/20 and including your name and affiliation. While you will be given the opportunity during the hearing to indicate that you would like to provide comments, we prefer that you sign up in advance. You can speak for up to three minutes.

**Is there a deadline to submit comments?** Yes, you must submit comments by 7/28/20.

**What if I need assistance to participate in the hearing?** You must tell the Office of the General Counsel if you need a reasonable accommodation of a disability at the hearing. You can tell us by email at [dobrules@buildings.nyc.gov](mailto:dobrules@buildings.nyc.gov). Advance notice is requested to allow sufficient time to arrange the accommodation. You must tell us by 7/21/20.

This location has the following accessibility option(s) available: Simultaneous transcription and an ASL interpreter for people who are hearing impaired, and audio only access for those who are visually impaired.

**Can I review the comments made on the proposed rules?** You can review the comments made online on the proposed rules by going to the website at <http://rules.cityofnewyork.us/>.

**What authorizes DOB to make this rule?** Sections 643 and 1043(a) of the City Charter, Local Laws 106 and 118 of 2019, and Section 28-201.2 of the Administrative Code of the City of New York authorize DOB to make this proposed rule. This proposed rule was included in DOB's regulatory agenda for this Fiscal Year.

**Where can I find DOB's rules?** DOB's rules are in Title 1 of the Rules of the City of New York.

**What laws govern the rulemaking process?** DOB must meet the requirements of Section 1043 of the City Charter when creating or changing rules. This notice is made according to the requirements of Section 1043(b) of the City Charter.

### **Statement of Basis and Purpose**

The proposed rule updates the penalty amounts for violations related to several provisions of Chapter 33 of the Building Code in order to conform to DOB's methodology for calculating penalty amounts.

Specifically, the proposed rule amends section 102-01 of Title 1 of the Rules of the City of New York to:

- Indicate that violations charged as "Aggravated I" are never eligible for Cure, Stipulation, or Mitigation even if there is a "Yes" in the corresponding column of the Buildings Penalty Schedule for that violation description;

- Add civil penalties for failure to submit a Tenant Protection Plan (“TPP”) pursuant to Administrative Code § 28-120.1 as required in Local Law 106 and 118 of 2019;
- Amend existing penalties for failure to post and distribute Notice of TPP to reflect the preferred charging section;
- Remove an existing Class 1 penalty related to Administrative Code § 28-210.1;
- Amend existing penalties related to Administrative Code § 28-211.1 as required in Local Law 118 of 2019, doubling penalties related to the filing of documents that make material false statements;
- Amend existing Class 2 penalties related to miscellaneous provisions of the Administrative Code and New York City Building Code to match the statutory maximum for Class 2 penalties;
- Amend existing Class 2 penalties related to miscellaneous provisions of the Administrative Code and the Zoning Resolution of the City of New York to allow Cures for these penalties in accordance with an initiative by the Department of Small Business Services;
- Amend existing penalties related to several provisions of Chapter 33 of the Building Code in order to conform to DOB’s methodology for calculating penalty amounts (DOB’s methodology sets the “Aggravated I” penalty at two and a half times the Standard penalty, both the “Standard Default” and “Aggravated II” penalties at five times the Standard penalty, and the “Aggravated II Default” penalty at the statutory maximum);
- Remove Cures for two existing Class 1 penalties related to 1 RCNY § 3319-02(j)(3) and miscellaneous violations of the Energy Conservation Code’s residential provisions because Class 1 penalties are not eligible for Cure; and
- Amend an existing Class 3 penalty related to § 28-104.8.4.3, which was incorporated into § 28-120.1.3 pursuant to Local Law 106 of 2019.

DOB’s authority for this rule is found in Sections 643 and 1043(a) of the New York City Charter, Local Laws 106 and 118 of 2019, and Section 28-201.2 of the Administrative Code of the City of New York.

New material is underlined.

[Deleted material is in brackets.]

"Shall" and "must" denote mandatory requirements and may be used interchangeably in the rules of this department, unless otherwise specified or unless the context clearly indicates otherwise.

Section 1. Subdivision (d) of section 102-01 of Subchapter B of Chapter 100 of Title 1 of the Rules of the City of New York is amended to read as follows:

- (d) *Mitigated and zero penalties.* Mitigated or zero penalties are available in the following circumstances under the following conditions.
- (1) *Cure.*<sup>1</sup> An eligible violation may be cured by correction before the first scheduled hearing date at ECB. All violations that are designated as Class 3 violations are eligible for cure. Some, but not all, types of violations that are designated as Class 2 violations are eligible for cure. Those types of Class 2 violations that are eligible for cure will be indicated within the Buildings Penalty Schedule found below. In order to cure, a certificate of correction acceptable to the Department must be filed at the Department within forty days from the date of the Commissioner's order to correct set forth in the NOV. A cure constitutes an admission of the violation; dispenses with the need for a hearing at ECB; constitutes a predicate violation for subsequent violations; and, consistent with the provisions of § 28-204.2, and with the provisions of the Buildings Penalty Schedule, results in a

zero penalty. A violation that has been charged as an Aggravated I or Aggravated II violation is never eligible for a cure, even if there is a "Yes" in the "Cure" column in the Buildings Penalty Schedule for that violation description.

<sup>1</sup> Section 28-204.2 of the Administrative Code provides for a zero penalty for Lesser violations that are corrected within the prescribed, or cure, period. For purposes of this rule, certain Major violations will also be treated as eligible for cure to the extent that Section 28-202.1 of the Administrative Code specifies no minimum penalty for such violations.

- (2) *Stipulation.* An eligible violation may be subject to stipulation where the Commissioner offers to the respondent a stipulation prior to or at a hearing to extend the time for compliance upon such terms and conditions as the Commissioner prescribes. Violations that are eligible for stipulation are indicated as such on the Buildings Penalty Schedule. The respondent must admit the violation subject to stipulation and agree to correct it and file an acceptable certification of correction with the Department. The stipulation may be signed and submitted to ECB either before the first scheduled hearing date at ECB or else on the first scheduled hearing date but prior to any actual hearing on that date, in which case it is considered a pre-hearing stipulation, or may be entered into at the first ECB hearing in which case it is considered a hearing stipulation. A reduced penalty will be imposed in connection with a pre-hearing stipulation in an amount indicated for the charge in question in the Buildings Penalty Schedule. Specifically, the penalty imposed for that violation will be half of the penalty amount (rounded to the nearest dollar) of the penalty amount that would otherwise have been imposed at a hearing for that particular violation. In connection with a stipulation entered into at a hearing, a hearing penalty will be imposed in an amount indicated for the charge in question in the Buildings Penalty Schedule. A stipulation, whether a pre-hearing stipulation or a hearing stipulation, gives the respondent seventy-five days from the first scheduled hearing date within which to correct the violation and file a certificate of correction, failing which any reduced penalty that may have been imposed in connection with a pre-hearing stipulation will be adjusted to the standard hearing penalty set forth in the Buildings Penalty Schedule. A stipulation is effective only if it is approved by ECB. A pre-hearing stipulation dispenses with the need for a hearing at ECB. No stipulation shall take effect unless, in the case of a pre-hearing stipulation, it is offered by the Department prior to the first scheduled hearing date, signed by respondent prior to the first scheduled hearing date and approved by ECB in writing, or unless, in the case of a hearing stipulation, it is offered by the Department at the hearing, accepted by the respondent at that hearing, and is approved in writing by ECB. A violation that has been charged as an Aggravated I or Aggravated II violation is never eligible for a stipulation, even if there is a "Yes" in the "Stipulation" column in the Buildings Penalty Schedule for that violation description.
- (3) *Mitigation.* An eligible violation may be subject to mitigation where the respondent proves at the hearing that the condition was corrected prior to the first scheduled hearing date at ECB. Violations that are eligible for mitigation are indicated as such on the Buildings Penalty Schedule. A penalty is imposed on mitigations in accordance with the Buildings Penalty Schedule. If a mitigated penalty is imposed, that penalty will be half of the penalty amount of the penalty amount that would otherwise have been imposed at a hearing for that particular violation. An acceptable certificate of correction must thereafter be filed at the Department. A violation that has been charged as an Aggravated I or Aggravated II violation is never eligible for mitigation, even if there is a "Yes" in the "Mitigation" column in the Buildings Penalty Schedule for that violation description.

§ 2. Penalties for violations of 1 RCNY 3319-02 (j)(3), 27-Misc, 28-Misc, BC-Misc, 28-105.1, 28-104.8.4.3, 27-2009.2, 28-210.1, 28-211.1, 28-301.1, 28-303.7, BC 3307.7, BC 3319.8.4.2, BC 3319.8.6, ZR 32-64, ZR 32-652, ZR 32-653, ZR-Misc., Misc. – ZR Misc. – Title 28, and ECC – R-Misc. in subdivision (k) of section 102-01 of Subchapter B of Chapter 100 of Title 1 of the Rules of the City of New York are amended to read as follows:

Section of Law	Classification	Violation Description	Cure	Stipulation	Standard Penalty	Mitigated Penalty	Default Penalty	Aggravated I Penalty	Aggravated I Default Penalty	Aggravated II Penalty	Aggravated II Default – Max Penalty
1 RCNY 3319-02 (j)(3)	Class 1	Lift director failed to conduct/record meeting (pre-shift or subsequent).	[Yes] <u>No</u>	Yes	\$5,000	Yes	\$25,000	\$12,500	\$25,000	\$25,000	\$25,000
27-Misc, 28-Misc, BC-Misc	Class 2	Miscellaneous violations.	Yes	Yes	\$1,250	Yes	\$6,250	\$3,125	<del>[\$12,500]</del> <u>\$10,000</u>	\$6,250	\$10,000
28-105.1	Class 2	Failure to obtain a temporary construction permit prior to installation/use of temporary construction equipment.	Yes	No	\$1,250	Yes	\$6,250	\$3,125	<del>[\$12,500]</del> <u>\$10,000</u>	\$6,250	\$10,000
[28-104.8.4.3]	[Class 3]	[Failure to post or distribute a notice meeting requirements 28-104.8.4.3]	[No]	[No]	[\$500]	[Yes]	[\$500]	[\$500]	[\$500]	[\$500]	[\$500]
[27-2009.2]	[Class 2]	[Failure to post or distribute Notice of TPP.]	[No]	[No]	[\$1,250]	[No]	[\$6,250]	[\$3,125]	[\$10,000]	[\$6,250]	[\$10,000]

[28-210.1]	[Class 1]	[1- or 2-family residence converted to or maintained as a dwelling for more than the number of families legally authorized by the C of O or official records – Less than three additional dwelling units]	[No]	[No]	[\$2,500]	[No]	[\$12,500]	[\$6,250]	[\$25,000]	[\$12,500]	[\$25,000]
28-211.1	Class 1	Filed a certificate, form, application etc., containing a material false statement(s).	No	No	[\$5,000] <u>\$10,000</u>	No	\$25,000	[\$12,500] <u>\$25,000</u>	\$25,000	\$25,000	\$25,000
28-211.1	Class 1	Filed a certificate of correction or other related materials containing material false statement (s).	No	No	[\$5,000] <u>\$10,000</u>	No	\$25,000	[\$12,500] <u>\$25,000</u>	\$25,000	\$25,000	\$25,000
28-301.1	Class 2	Failure to maintain sign in accordance w Tit.27; Tit.28; ZR; RCNY.	[No] <u>Yes</u>	Yes	\$1,250	Yes	\$6,250	\$3,125	\$10,000	\$6,250	\$10,000
28-303.7	Class 2	Failure to file a complete boiler inspection report.	[No] <u>Yes</u>	No	\$625	No	\$3,125	\$1,563	\$6,250	\$3,125	\$10,000
BC 3307.7	Class 2	Job site fence not constructed or maintained pursuant to section.	Yes	No	\$1,000	Yes	[\$4,000] <u>\$5,000</u>	[\$2,000] <u>\$2,500</u>	[\$8,000] <u>\$10,000</u>	[\$4,000] <u>\$5,000</u>	\$10,000

BC 3319.8.4.2	Class 1	Failure to provide time schedule indicating erection, jumping, climbing or dismantling of crane.	No	No	\$2,000	No	[\$6,500] \$10,000	[\$3,125] \$5,000	[\$12,500] \$25,000	[\$6,250] \$10,000	\$25,000
BC 3319.8.6	Class 1	No meeting log available.	No	No	\$2,000	No	[\$6,250] \$10,000	[\$3,125] \$5,000	[\$12,500] \$25,000	[\$6,250] \$10,000	\$25,000
ZR 32-64	Class 2	Sign(s) in specified C District exceed(s) surface area restrictions.	[No] <u>Yes</u>	Yes	\$1,250	Yes	\$6,250	\$3,125	\$10,000	\$6,250	\$10,000
ZR 32-652	Class 2	Sign in specified C District extends beyond street line limitation.	[No] <u>Yes</u>	Yes	\$1,250	Yes	\$6,250	\$3,125	\$10,000	\$6,250	\$10,000
ZR 32-653	Class 2	Prohibited sign on awning, canopy, or marquee in C District.	[No] <u>Yes</u>	Yes	\$1,250	Yes	\$6,250	\$3,125	\$10,000	\$6,250	\$10,000
ZR-Misc.	Class 2	Misc. sign violation under the Zoning Resolution.	[No] <u>Yes</u>	Yes	\$1,250	Yes	\$6,250	\$3,125	\$10,000	\$6,250	\$10,000
Misc. – ZR Misc. – Title 28	Class 2	Misc. outdoor sign violation of ZR and/or Building Code.	[No] <u>Yes</u>	No	\$2,500	No	\$10,000	[\$6,250] \$6,250	\$10,000	\$10,000	\$10,000

ECC – R-Misc.	Class 1	Miscellaneous violation of Energy Conservation Code residential provisions.	[Yes] <u>No</u>	Yes	\$1,600	No	\$8,000	\$4,000	\$16,000	\$8,000	\$25,000
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§ 3. Subdivision (k) of section 102-01 of Subchapter B of Chapter 100 of Title 1 of the Rules of the City of New York is amended by adding new penalties for violations of 28-120.1 and 28-120.1.3 in alphanumerical order to read as follows:

Section of Law	Classification	Violation Description	Cure	Stipulation	Standard Penalty	Mitigated Penalty	Default Penalty	Aggravated I Penalty	Aggravated I Default Penalty	Aggravated II Penalty	Aggravated II Default – Max Penalty
<u>28-120.1</u>	<u>Class 1</u>	<u>Failure to file a required Tenant Protection Plan</u>	<u>No</u>	<u>No</u>	<u>\$10,000</u>	<u>No</u>	<u>\$25,000</u>	<u>\$25,000</u>	<u>\$25,000</u>	<u>\$25,000</u>	<u>\$25,000</u>
<u>28-120.1.3</u>	<u>Class 2</u>	<u>Failure to post or distribute Notice of TPP meeting requirements.</u>	<u>No</u>	<u>No</u>	<u>\$625</u>	<u>Yes</u>	<u>\$3,125</u>	<u>\$1,563</u>	<u>\$6,250</u>	<u>\$3,125</u>	<u>\$10,000</u>
<u>28-120.1.3</u>	<u>Class 2</u>	<u>Failure to post and distribute Notice to occupants of TPP.</u>	<u>No</u>	<u>No</u>	<u>\$1,250</u>	<u>No</u>	<u>\$6,250</u>	<u>\$3,125</u>	<u>\$10,000</u>	<u>\$6,250</u>	<u>\$10,000</u>



NEW YORK CITY LAW DEPARTMENT  
DIVISION OF LEGAL COUNSEL  
100 CHURCH STREET  
NEW YORK, NY 10007  
212-356-4028

CERTIFICATION PURSUANT TO  
CHARTER §1043(d)

**RULE TITLE:** Amendment of Certain Penalties

**REFERENCE NUMBER:** 2020 RG 009

**RULEMAKING AGENCY:** Department of Buildings

I certify that this office has reviewed the above-referenced proposed rule as required by section 1043(d) of the New York City Charter, and that the above-referenced proposed rule:

- (i) is drafted so as to accomplish the purpose of the authorizing provisions of law;
- (ii) is not in conflict with other applicable rules;
- (iii) to the extent practicable and appropriate, is narrowly drawn to achieve its stated purpose; and
- (iv) to the extent practicable and appropriate, contains a statement of basis and purpose that provides a clear explanation of the rule and the requirements imposed by the rule.

/s/ STEVEN GOULDEN  
Acting Corporation Counsel

Date: 6/8/20

**NEW YORK CITY MAYOR'S OFFICE OF OPERATIONS  
253 BROADWAY, 10<sup>th</sup> FLOOR  
NEW YORK, NY 10007  
212-788-1400**

**CERTIFICATION / ANALYSIS  
PURSUANT TO CHARTER SECTION 1043(d)**

**RULE TITLE: Amendment of Certain Penalties**

**REFERENCE NUMBER: DOB-129**

**RULEMAKING AGENCY: Department of Buildings**

I certify that this office has analyzed the proposed rule referenced above as required by Section 1043(d) of the New York City Charter, and that the proposed rule referenced above:

- (i) Is understandable and written in plain language for the discrete regulated community or communities;
- (ii) Minimizes compliance costs for the discrete regulated community or communities consistent with achieving the stated purpose of the rule; and
- (iii) Provides a cure period.

/s/ Francisco X. Navarro  
Mayor's Office of Operations

June 16, 2020  
Date