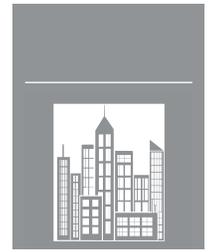


DEPARTMENT OF BUILDINGS

Rick D. Chandler, Commissioner



WHAT WE DO

The Department of Buildings (DOB) ensures the safe and lawful use of more than 1,000,000 buildings and construction sites by enforcing the City's Building Code, Construction Codes and Zoning Resolution, as well as the New York State Multiple Dwelling Law. The Department enforces compliance with these regulations and promotes public safety through its review and approval of building plans, permitting and licensing functions, and inspections.

FOCUS ON EQUITY

The Department of Buildings promotes the safety of all people who build, live and work in New York City.

The Department's motto, 'Build Safe | Live Safe,' underscores the importance of safe construction and the safe use of buildings, even after a property's final Certificate of Occupancy is issued.

In addition to code and zoning compliance review, the Department provides emergency response and performs professional analysis of accidents, with the goal of preventing future incidents. The Department has strengthened its educational outreach efforts to remind construction professionals, property owners, and tenants that safety must always come first.

The Department is committed to operating efficiently and equitably distributing its resources to meet the safety and service needs of residents in all five boroughs. As part of its transformative Building One City plan, in May 2016 the Department announced new, more equitable filing fees for construction permits. The new fee structure lowers the rates for one-to-three family homes by half, while fees for major developments will be commensurate with the amount of Department resources required to review and regulate these projects.

OUR SERVICES AND GOALS

SERVICE 1 Facilitate safe and compliant development.

- Goal 1a Improve application processing efficiency.
- Goal 1b Promptly review initial construction plans.
- Goal 1c Promptly schedule development inspections.

SERVICE 2 Ensure the safe and lawful use of buildings and properties by enforcing the Building Code and the Zoning Resolution.

- Goal 2a Promptly address complaints.
- Goal 2b Rigorously enforce building and zoning laws.
- Goal 2c Prevent construction-related fatalities and injuries.

HOW WE PERFORMED IN FISCAL 2016

SERVICE 1 Facilitate safe and compliant development.

Goal 1a Improve application processing efficiency.

Overall job filings increased by 1.3 percent, or approximately 1,200 filings, compared to 2015. Filings for new buildings experienced a 7.9 percent decrease while filings for major renovations (Alteration I) and minor renovations (Alterations II and III) increased by 2.9 and 1.6 percent, respectively. The average time to complete application processing improved to 0.05 days from 0.07 days a year ago.

The Department issued 109,277 initial building construction permits, five percent higher than the 104,087 issued last year.

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|---------------------------------------------------------|--------|--------|--------|---------|---------|--------|------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| Jobs filed | 68,911 | 72,288 | 82,551 | 91,933 | 93,130 | * | * | Neutral | Up |
| ★Average time to complete application processing (days) | 0.20 | 0.09 | 0.09 | 0.07 | 0.05 | 0.10 | 0.10 | Down | Down |
| Building permits issued - Initial | 87,190 | 88,290 | 98,302 | 104,087 | 109,277 | * | * | Neutral | Up |
| Building permits issued - Renewals | 39,321 | 41,230 | 44,538 | 44,774 | 52,244 | * | * | Neutral | Up |
| Certificates of Occupancy issued | 6,642 | 5,949 | 5,694 | 5,289 | 5,893 | * | * | Neutral | Down |

★ Critical Indicator "NA" - means Not Available in this report ↕ shows desired direction

Goal 1b Promptly review initial construction plans.

Completed plan reviews continued on an upward trend, increasing by 4.8 percent over the prior fiscal year and 40.3 percent compared to Fiscal 2012. Largely due to the improvements following the Fiscal 2016 implementation of [Building One City](#), the Department's action plan, average plan review times improved at both the Borough offices and the Hub. The average days to complete first plan reviews for new buildings and major renovations at the Borough offices decreased by three or more days to 11.1 and 12.2 days, respectively, and averaged nearly a day faster for minor renovations at 3.2 days. For jobs filed through the Hub, average plan review times for new buildings and major renovations were reduced by eight and 7.2 days, respectively, and held steady for minor renovations at 2.7 days.

As part of Building One City, the Department is working to simplify and streamline application and review processes while also encouraging professional certification for low-risk projects, such as minor alterations. This allows plan examiners to focus on higher risk projects while expediting the permitting process. At approximately 62 percent of jobs filed, the proportion of jobs professionally certified maintained its steady growth due, in large part, to an increase in the number of professionally certified applications for minor alterations. The percent of all professionally certified jobs that were audited grew by less than one percent, remaining below the target of 20 percent.

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|----------------------------------------------------------------------------------------------------------|--------|--------|--------|--------|--------|--------|------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| First plan reviews completed | 63,130 | 69,380 | 76,669 | 84,449 | 88,542 | * | * | Neutral | Up |
| ★Average days to complete first plan review (Borough offices) - New buildings | 12.6 | 16.1 | 8.8 | 14.9 | 11.1 | 12.0 | 12.0 | Down | Down |
| ★Average days to complete first plan review (Borough offices) - Major renovation (Alteration I) | 11.3 | 12.0 | 11.3 | 15.2 | 12.2 | 10.0 | 10.0 | Down | Up |
| Average days to complete first plan review (Borough offices) - Minor renovation (Alterations II and III) | 3.9 | 4.2 | 3.8 | 4.1 | 3.2 | 4.0 | 4.0 | Down | Down |
| Average days to complete first plan review (Hub projects) - New buildings | 11.5 | 11.6 | 12.7 | 17.9 | 9.9 | * | * | Down | Up |
| Average days to complete first plan review (Hub projects) - Major renovation (Alteration I) | 9.5 | 11.9 | 11.9 | 16.2 | 9.0 | * | * | Down | Up |

★ Critical Indicator "NA" - means Not Available in this report ↕ shows desired direction

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|-------------------------------------------------------------------------------------------------------|--------|-------|-------|-------|-------|--------|-------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| Average days to complete first plan review (Hub projects) - Minor renovation (Alterations II and III) | NA | 1.4 | 1.1 | 2.6 | 2.7 | * | * | Down | NA |
| Jobs professionally certified (%) | 50.3% | 55.2% | 57.8% | 58.8% | 61.9% | * | * | Up | Up |
| Jobs professionally certified that were audited (%) | 24.8% | 20.3% | 18.2% | 13.8% | 14.5% | 20.0% | 20.0% | Up | Down |
| - Audits that resulted in revocation notices (%) | 9.8% | 10.4% | 13.1% | 14.6% | 7.7% | * | * | Down | Neutral |

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Goal 1c Promptly schedule development inspections.

Wait times for construction and plumbing inspections averaged 3.8 days, in line or better than last year as the Department continued to surpass performance targets and respond promptly to requests. However, the average wait time for an electrical inspection rose by 1.2 days to 6.4 days, largely due to an almost eight percent increase in inspection requests.

In December 2015 the Department released the second phase of DOB NOW: Inspections, a new online service portal that allows for online inspection scheduling, tracking and notification. It provides robust online accounts and has made it easier for DOB customers to make inspection requests and check the status of their requests. At the end of Fiscal 2016 the agency piloted an expansion of DOB NOW that allows for online filing and permitting of plumbing and sprinkler jobs. This program application was rolled out citywide in July 2016.

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|---------------------------------------------------------|--------|------|------|------|------|--------|------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| ★Average wait time for a construction inspection (days) | NA | 4.7 | 3.4 | 3.6 | 3.8 | 4.5 | 4.5 | Down | NA |
| ★Average wait time for a plumbing inspection (days) | NA | 5.1 | 4.5 | 4.5 | 3.8 | 5.0 | 5.0 | Down | NA |
| ★Average wait time for an electrical inspection (days) | NA | 6.3 | 6.1 | 5.2 | 6.4 | 6.0 | 6.0 | Down | NA |

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SERVICE 2 Ensure the safe and lawful use of buildings and properties by enforcing the Building Code and the Zoning Resolution.

Goal 2a Promptly address complaints.

The Department continued to prioritize allocation of its resources to emergencies and special inspections, while maintaining an adequate response time to non-emergency complaints. The number of Priority A (emergency) complaints received increased by 11.4 percent at the same time as the number of Priority B (non-emergency) complaints received increased by 11.9 percent. In total, DOB responded to over 7,500 more complaints compared to last year and completed almost 148,200 construction inspections, an increase of 6.3 percent.

The average response time to Priority A complaints rose by 0.1 days to 0.8 days but remained well below the 1-day target, while the response time to Priority B complaints rose by 4.4 days to 42.8 days, above the 40-day target. As inspectors acquire more experience with the Department's new automated system, productivity and response times are expected to improve.

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|--------------------------------------------------------------------------------------------|--------|--------|--------|--------|--------|--------|-------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| Priority A (emergency) complaints received | 14,662 | 14,511 | 14,654 | 15,827 | 17,629 | * | * | Neutral | Up |
| Priority B (nonemergency) complaints received | 64,402 | 58,983 | 70,089 | 63,160 | 70,661 | * | * | Neutral | Up |
| Priority A complaints responded to | 14,540 | 14,542 | 14,468 | 15,420 | 16,927 | * | * | Neutral | Up |
| Priority B complaints responded to | 59,236 | 51,990 | 63,215 | 54,688 | 60,716 | * | * | Neutral | Neutral |
| ★Average time to respond to Priority A complaints (days) | 0.6 | 0.7 | 0.7 | 0.7 | 0.8 | 1.0 | 1.0 | Down | Up |
| ★Average time to respond to Priority B complaints (days) | 41.1 | 48.5 | 34.6 | 38.4 | 42.8 | 40.0 | 40.0 | Down | Neutral |
| ★Residential illegal conversion complaints where access was obtained (%) | 46.4% | 41.6% | 44.1% | 40.5% | 38.4% | 44.0% | 44.0% | Up | Down |
| - Access obtained and violations were written (%) | 53.5% | 50.2% | 44.7% | 37.4% | 40.4% | * | * | Neutral | Down |
| Work without a permit complaints where access was obtained and violations were written (%) | 61.0% | 43.9% | 32.7% | 33.3% | 29.5% | * | * | Neutral | Down |

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Goal 2b Rigorously enforce building and zoning laws.

The number of Environmental Control Board (ECB) violations issued grew from 52,315 in Fiscal 2015 to 55,121 in Fiscal 2016, a 5.4 percent increase, and the percentage of violations admitted to or upheld at the ECB rose to a five-year high of 85.2 percent. As a member of the City's Tenant Harassment Prevention Task Force, DOB participates in joint cellar-to-roof inspections as well as investigates and coordinates enforcement actions.

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|--------------------------------------------------------------------------|---------|---------|---------|---------|---------|---------|---------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| ★Construction inspections completed | 141,237 | 131,444 | 142,222 | 139,323 | 148,162 | 140,000 | 140,000 | Up | Neutral |
| Construction inspections resulting in violations (%) | 20.7% | 21.3% | 19.1% | 18.6% | 24.9% | * | * | Neutral | Up |
| DOB violations issued | 82,606 | 65,189 | 82,753 | 65,215 | 61,393 | * | * | Neutral | Down |
| Environmental Control Board violations issued | 53,293 | 43,320 | 47,768 | 52,315 | 55,121 | * | * | Neutral | Up |
| ★Violations admitted to or upheld at the Environmental Control Board (%) | 77.1% | 79.4% | 82.1% | 84.5% | 85.2% | 80.0% | 80.0% | Up | Up |

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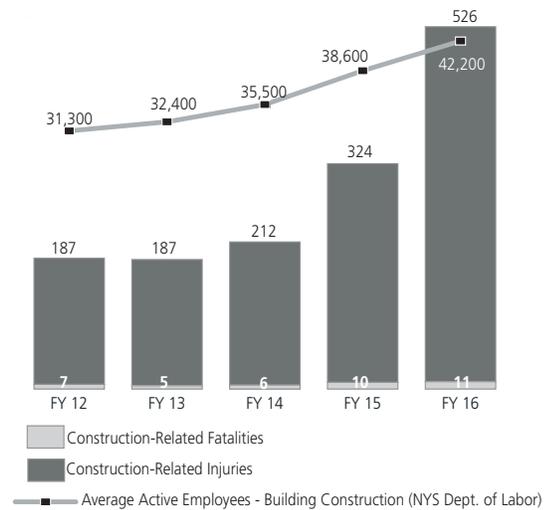
Goal 2c Prevent construction-related fatalities and injuries.

As New York City continues to see an increase in construction activity, it has also seen an increase in preventable construction-related injuries and fatalities. At the same time, the number of construction-related jobs has steadily increased, growing by 35 percent since Fiscal 2012.

The Department is taking steps to address the rise in construction-related accidents and injuries by increasing oversight of high-risk worksites and instituting tougher penalties to ensure that any construction work in New York City takes place with the appropriate safety measures. In February 2016 penalties for failures to safeguard all persons and property affected by construction operations were increased from \$2,400 to \$10,000, and the penalty for lacking a Construction Superintendent when required increased from \$5,000 to a maximum of \$25,000. In addition to higher penalties, the Department issues Stop Work Orders and aggressively seeks to suspend or revoke licenses/registrations of Site Safety Managers, Site Safety Coordinators, Construction Superintendents and other licensees involved in unsafe construction practices. Finally, the Department spearheaded the Crane Technical Working Group which released a [report](#) in June 2016 with 23 recommendations, to modernize and strengthen NYC's crane regulations, already the nation's strongest. This summer, DOB implemented many of these recommendations and is planning to implement additional recommendations in the coming months.

Additionally, the Department continues its extensive education and outreach efforts to promote safety awareness at construction sites throughout the City. The Department’s annual Build Safe | Live Safe Conference highlights the work the Department does every day to educate industry members on the importance of employing best safety practices to protect both construction workers and the public. The Department also oversees community outreach programs such as its annual multi-lingual [Experience Is Not Enough](#) campaign, distributing thousands of educational flyers at hundreds of construction sites across the City. Even with these efforts, the number of fatalities increased from 10 to 11. The Department also reported 526 construction-related injuries and 500 construction-related accidents, increases of 62.3 percent and 59.2 percent, respectively.

Construction-Related Injuries and Fatalities and Average Construction Employment



| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|--------------------------------------------------|--------|-------|-------|-------|-------|--------|------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| Construction-related incidents | 405 | 403 | 459 | 736 | 979 | * | * | Down | Up |
| - Construction-related accidents | 157 | 173 | 207 | 314 | 500 | * | * | Down | Up |
| ★ Construction-related injuries | 187 | 187 | 212 | 324 | 526 | ↓ | ↓ | Down | Up |
| ★ Construction-related fatalities | 7 | 5 | 6 | 10 | 11 | ↓ | ↓ | Down | Up |
| Incident inspections resulting in violations (%) | 77.1% | 79.6% | 75.2% | 70.4% | 63.1% | * | * | Neutral | Down |

★ Critical Indicator "NA" - means Not Available in this report ↓ ↑ shows desired direction

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|------------------------------------|--------|------|------|------|------|--------|------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| Collisions involving City vehicles | 36 | 22 | 33 | 41 | 44 | * | * | Down | Up |
| Workplace injuries reported | 16 | 17 | 15 | 12 | 10 | * | * | Down | Down |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|------------------------------------------------|--------|------|------|------|------|--------|------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| Customer Experience | | | | | | | | | |
| E-mails responded to in 14 days (%) | 50% | 37% | 65% | 51% | 60% | 57% | 57% | Up | Up |
| Letters responded to in 14 days (%) | 58% | 54% | 49% | 69% | 30% | 57% | 57% | Up | Down |
| Calls answered in 30 seconds (%) | 91% | NA | NA | NA | NA | * | * | Up | NA |
| Average customer in-person wait time (minutes) | 20 | NA | NA | NA | NA | * | * | Down | NA |
| Completed customer requests for interpretation | 61 | 36 | 17 | 66 | 68 | * | * | Neutral | Up |
| CORE customer experience rating (0-100) | 79 | 83 | 91 | 90 | 91 | 85 | 85 | Up | Up |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | | | Target | | Desired Direction | 5yr Trend |
|--------------------------------------------------------------------------------------------------------------------------------|--------|------|------|------|------|--------|------|-------------------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | | |
| Response to 311 Service Requests (SRs) | | | | | | | | | |
| Percent meeting time to first action - Elevator - Defective/Not Working (60 days) | 50% | 49% | 51% | 48% | 57% | 50% | 50% | Neutral | Up |
| Percent meeting time to first action - General Construction/Plumbing - Contrary/Beyond Approved Plans/Permits (60 days) | 68% | 70% | 80% | 81% | 78% | 72% | 72% | Neutral | Up |
| Percent meeting time to first action - General Construction/Plumbing - Failure to Maintain (60 days) | 77% | 77% | 79% | 81% | 93% | 77% | 77% | Neutral | Up |
| Percent meeting time to first action - Illegal Conversion of Residential Building/Space (60 days) | 44% | 47% | 62% | 65% | 56% | 57% | 57% | Neutral | Up |
| Percent meeting time to first action - No Permit - Construction, Plumbing, Cranes & Derricks, Building/Use, Elevator (60 days) | 70% | 72% | 72% | 63% | 85% | 77% | 77% | Neutral | Up |

AGENCY RESOURCES

| Resource Indicators | Actual ¹ | | | | | Plan ² | | 5yr Trend |
|---------------------------------------|---------------------|---------|---------|---------|---------|-------------------|---------|-----------|
| | FY12 | FY13 | FY14 | FY15 | FY16 | FY16 | FY17 | |
| Expenditures (\$000,000) ³ | \$95.1 | \$102.5 | \$98.7 | \$108.7 | \$134.9 | \$155.2 | \$172.1 | Up |
| Revenues (\$000,000) | \$198.2 | \$228.0 | \$246.1 | \$291.8 | \$301.7 | \$225.8 | \$251.9 | Up |
| Personnel | 1,067 | 1,039 | 1,073 | 1,156 | 1,361 | 1,489 | 1,669 | Up |
| Overtime paid (\$000,000) | \$4.5 | \$6.1 | \$6.4 | \$7.1 | \$3.4 | \$3.4 | \$3.4 | Neutral |

¹Actual financial amounts for the most current fiscal year are not yet final. Final fiscal year actuals, from the Comptroller's Comprehensive Annual Financial Report, will be reported in the next PMMR. Refer to the "Indicator Definitions" at nyc.gov/mmr for details. ²Authorized Budget Level ³Expenditures include all funds "NA" - Not Available in this report

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department retired the indicator 'Average construction inspections per inspector day' and expects to add a new metric on inspector productivity in Fiscal 2017.
- Fiscal 2016 data for Customers Observing and Reporting Experiences (CORE) ratings represents a change in methodology. For agencies with multiple service centers, inspectors focused on sites that had historically lower scores, specifically sites that received an average overall site score of 85 or lower over the last three years and sites that received a score of 85 or lower in Fiscal 2015. If all agency service centers scored above 85 last year, the service center with the lowest overall score was inspected.

ADDITIONAL RESOURCES

For additional information go to:

- Building One City: http://www1.nyc.gov/assets/buildings/pdf/building_one_city.pdf
- Crane Technical Working Group Report: http://www1.nyc.gov/assets/buildings/pdf/crane_tech_working_group_report.pdf
- Experience Is Not Enough: <http://www1.nyc.gov/site/buildings/safety/experience-not-enough.page>
- Annual reports: <http://www.nyc.gov/html/dob/html/about/about.shtml>
- Department Statistics (seven reports, either monthly or weekly): http://www.nyc.gov/html/dob/html/codes_and_reference_materials/statistics.shtml

For more information on the agency, please visit: www.nyc.gov/buildings.