

## Plan/Work Approval Application (PW-1)

This form shall be filed for approval of all proposed work requiring a permit in accordance with The Building Code of the City of New York. This form shall be accompanied by comprehensive plans describing the proposed work in detail, as well as any supporting information required by the Department of Buildings, and meeting the requirements of Subchapter 1, Administration and Enforcement, of Chapter 1 – Building Code.

### Section

### Instructions

#### 1. Filing Status

Check (X) one of the following and complete the associated information:

##### Initial Filing

A proposal to perform new work that is not related to any previous jobs at a specific site shall be considered an initial filing.

Check (X) all that apply:

- Job involves a development project.
- Job involves tract housing or a cluster community. *See details on Cluster/tract housing filings below.*

Provide the following, if applicable:

- Specify the number of buildings/structures involved.
- Provide the project name if there is a name that will frequently be referenced. The Department of Buildings will assign a Project I.D. Number to link the separate buildings/structures and their corresponding job numbers to the related project. *The Project Identification number will also serve as the Cluster Identification*

For each initial filing, the Department will assign a job number.

**Cluster/Tract Housing filings:** *A cluster/tract filing involves multiple New Building jobs and is comprised of one or more building groups (each group contains one or more jobs with identical building plans).*

*Cluster Identification Number: The job number of the first initial filing for the entire cluster project will become known as the Cluster Identification Number. It will also serve as the very first lead reference job number. The Cluster I.D. Number (CIN) will be used to link each link each building group to the entire cluster/tract project.*

*Lead Reference Job Number: The first of each building group will be tagged as the Lead Reference Job. There may be many building groups and therefore many lead reference job numbers all relating back to the cluster I.D. number. Form PW-1 need only be completed in its entirety for the lead job of a building group. The only required sections of form PW-1 for additional buildings within a building group are as follows:*

1) *Filing Status*

*Total linear feet of Curb Cut in section 8, Work Types Submitted. Type N/A if a curb cut is not included.*

*Total gross floor area of building in section 10E, Building Characteristics.*

*All sections where data differs from the lead job as permitted (see variations in data described below)*

*Statements and Signatures – Applicants must indicate the Reference Job Number within Tract Housing Statement so that identical information may be copied from the Lead Reference Job Number.*

*Variations in data within any group are permitted on a limited basis as follows:*

*(2) Location*

*(8) Work Types Submitted (CC – Curb Cut is the only work type that may vary from one building to the next within a building group). If an EQ (Construction Equipment) work type is to be filed for the cluster, this can only be filed on the lead reference job filing for each building group.*

*(10A) Building Characteristics (Zoning data)*

*(10E) Building Characteristics (Site Area Characteristics / Open Spaces)*

*(15) Plot Diagram of Zoning Lot*

*(16) Comments*

*PW-1A Schedule A – Occupancy / Use*

*All other sections of form PW-1 (and associated schedules) must be identical to the lead reference job number. It is important to note however that deviations from identical specifications may be made by filing subsequent filings on individual jobs.*

**Section**

**Instructions**

**Subsequent Filings**

Check (X) whether the subsequent filing is an Addition, (if another Work Type shall be added to the existing job) or Change (if the filing involves a modification of change of status to the existing job). For subsequent filings complete:

- (2) Location
- (3) Application
- (4) Filing Representative (if applicable)
- (5) Additional Considerations (if applicable)
- (7A) *Job Description (If applicable for Alteration or Sign jobs)*
- (8) Work Types Submitted (if applicable)
- (9) Plans Submitted (if applicable)
- (16) Comments – to provide supplementary information.

**Additions:** Provide the job number for which additional approvals are requested. For each Addition – Subsequent Filing an application identification (Work Type Suffix) will be assigned. Check (X) the applicant's relationship to this particular filing.

Note: For additions to Alteration Type II jobs, section 7 must be completed

**Changes:** Provide the job number and work type suffix (or suffixes) for the portions of the job that the change pertains to. Check (X) whether the change is an amendment, reinstatement or a withdrawal.

For an Amendment filing applicant shall complete the following:

- (2) Location
  - (3) Applicant
  - (7A) *Job Description ( if applicable for Alteration or Sign jobs)*
  - (16) Comments
- Complete any sections of the form where information has changed due to the Amendment.

Note: If none of the information on the PW-1 shall be changed due to the amendment, then form AI-1, Additional Information may be used in lieu of the PW-1.

**2. Location**

Location describes the site of the proposed work. The following shall be completed:

- Borough, Block, Lot: Provide the Borough, Block and Lot of the site of the proposed work. Block and Lot refers to the tax block and lot.
- BIN: (Optional) Building Identification Numbers unique to a building are to be assigned by the Department of Buildings.
- C.B. Number: Provide the Community Board number applicable to the site of the proposed work.
- Address: House Number and Street Name of the proposed work. In the case of a new building, house number must be obtained from the Borough President's office.
- If applicable, provide the apartment/condo numbers where the work is to be performed.
- Special Place Name: Provide the name which is commonly used to refer to the building, if applicable (i.e., Empire State Building). If a building has no address (e.g. Gracie Mansion, Bronx Zoo), Special Place Name is required.
- Floor Number(s): For alterations, specify the floor or floors where the work will be done.

**3. Applicant**

Check (X) the box in the title block of this section, if a subsequent filing entails a change to applicant information.

Provide the last name, first name, middle initial, business name, phone number and address of the P.E. or R.A. who prepared the plans and specifications.

Check (X) the appropriate box to indicate whether the applicant is a P.E. or R.A. If Other is checked provide the type in the space provided. Provide the license number of the applicant (This is mandatory for all Professional Engineers and Registered Architects).

**4. Filing Representative**

If the application is being filed by an individual other than the applicant, provide the last name, first name, middle initial, business name, phone number and address of the filing representative.

**5. Additional Considerations**

Check (X) all that apply:

**Directive 14 Acceptance Requested:** Check (X) this box if the applicant is requesting limited plan review in accordance with Directive 14 of 1975. If Directive 14 Acceptance processing is requested, the architect or engineer must complete the Directive 14 Inspection Request portion of the statements within the Statement of Responsibility form (TR-1). Any work that is not being filed for Directive 14 acceptance must be filed on a separate PW-1 form.

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**Instructions**

**Old Code Review Requested:** Check (X) this box if you are requesting review in accordance with special provisions pertaining to alteration of existing buildings, as outlined in Article 4 to Subchapter 1, Administration and Enforcement, of Chapter 1 – Building Code.

**Infill Zoning:** Check (X) this box to indicate whether the job involves infill zoning.

**Quality Housing:** Check (X) this box to indicate whether the job involves quality housing.

**Site Safety Job:** Check (X) this box if Site Safety requirements are applicable to this job. A job may be required to be designated as a site safety job if the building has 15 or more stories; is 200 feet or more in height; or has a lot coverage of 100,000 feet or more, regardless of height. Refer to the Rules and Regulations Relating to the Filing of Site Safety Programs and the Designation of Site Safety Managers as found within Appendix A to the Building Code, Rules and Regulations of the Department of Buildings.

**Legalization:** Check this box if the filing involves legalization of work done after 1/1/89. If checked (X), provisions of Local Law 58/88 will apply. If application is being filed for a 1,2, or 3 family house to legalize work previously done without a permit, complete section 10B, Occupancy Classification, and check the appropriate box.

*If application is being made for legalization of work done prior to 1/1/89, the job description (section 7A) must include a statement to the effect that the job involves legalization work.*

*Note: If application is being made to legalize work done without a permit as well as proposing some new work, the portion to be legalized must be filed on the initial filing (01 document) and followed by a subsequent filing (02 document or greater) for the new portion of work.*

Local Law 5/73, Local Law 16/84: Check (X) the appropriate box if the proposed work is being filed in order to comply with either Local Law 5 of 1973 or Local Law 16 of 1984.

**6. Initial Filing**

Check (X) *only one proposed job type and complete* the remainder to the application by completing specific sections as follows:

**New Building:** Complete the following:

- (8) Work Types Submitted
- (9) Plans Submitted
- (10A through E) Building Characteristics
- (15) Plot Diagram of Zoning Lot
- (16) Comments
- Schedule A – Occupancy/Use

**Alteration:** Complete the following:

- (7) Alterations

**Demolition:** Complete the following:

- (8) Work Types Submitted
- (9) Plans Submitted
- (10-D) Building Characteristics

**Sign:** Complete the following:

- (7A) Job Description
- (8) Work Types Submitted
- (9) Plans Submitted
- (10-A) Building Characteristics
- (12) Signs

**Place of Assembly:** Complete the following:

- (11) Place of Assembly and provide the related job number under which the occupancy was established.

**Subdivision:** Check (X) whether the property to be subdivided is improved property, or unimproved property, or consists of condominium units. Complete the following:

- (9) Plans Submitted

If the job involves improved property, this job must be followed by an Alteration Type I filing

**Special Status, Limitations and Restrictions** (Required for all initial filings)

Check (X) *this box to indicate* whether the building or property has landmark designation or is within a Landmark District.

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Check (X) *this box to indicate* if the existing building contains Single Room Occupancy units, or the building site previously contained SRO's. If checked (X), submit additional forms required by the Department pertaining to SRO's.

If there is a Restrictive Declaration filed with the County Clerk provide the reel and page number.

Enter the calendar number of any Board of Standards and Appeals or City Planning Commission action which resulted in limitations or restrictions. Also, if any application is pending, the calendar number should be provided.

If there is any additional Special Status, Limitation or Restriction to be noted (e.g. City Mapping Agreement, CEQR conditions, Site Selection conditions, Public Lease conditions, Preservation Space conditions, etc.) provide this information on the line reserved for Other.

**7. Alterations**

Choose (X) the type of Alteration and complete the remainder of the application as follows:

**Alteration Type I:** Type I Alterations require a change to, or a new, Certificate of Occupancy. Check (X) the appropriate box to indicate whether the job requires a new or an amended C of O.

Check (X) all that apply and complete the following:

- (7A) Job Description
- (8) Work Types Submitted
- (9) Plans Submitted
- (10A) through e) Building Characteristics
- (15) Plot Diagram for Zoning Lot
- Schedule A – Occupancy/Use
- Any additional schedules or sections specified in (8) Work Types Submitted

Check (X) all that apply:

- Check (X) the appropriate box (es) to indicate if there will be a Change to: Occupancy/Use, Room Count/Dwelling Units, Egress.
- Check (X) this box if the job involves a partial demolition.
- Check (X) the appropriate box (es) to indicate whether there will be an Enlargement to the structure horizontally, vertically, or both. Indicate the total square footage of additional floor area *within section 7A, Job Description in the space provided for provided for proposed additional floor area.*

**Alteration Type II:** Alteration Type II consists of work involving plumbing and/or service equipment. Check (X) whether the alteration is an equipment installation or repair/*modification*. Check (X) all equipment involved in the job *and complete section 7A, Job Description*, and the sections and/or schedules pertaining to the specific types of equipment. *Note: Filings for CC, Curb Cuts are not permissible under Alteration Type II.*

*If additional work does not fall under any of the pre-determined categories and does not warrant filing as an Alteration Type I, the OT – Other, checkbox may be used (i.e. for minor partition work). Provide a brief description on the line below, if OT – Other, is checked (X).*

The codes preceding each type of equipment are the work type suffixes that shall be annexed to the job number.

**Alteration Type III:** Alteration Type III consists of all other types of work not covered by Alteration Types I or II. *Only one of three work types (EQ – Construction Equipment, CC – Curb Cut, or OT – Other) may be chosen.*

*A subsequent filing – addition may not be filed for Alteration Type III jobs.*

Complete the following:

- (7A) Job Description
- (8) Work Types Submitted
- (9) Plans Submitted
- (10-A, B, C, D) Building Characteristics
  - Any additional schedules or sections specified in (8) Work Types Submitted.

**Section**

**Instructions**

**Part A Job Description**

**For all Alterations:** Provide a brief description of the job and the total estimated cost of the job. *Indicate the total square footage of additional floor area within section 7A, Job Description in the space provided for proposed additional floor area for jobs where the square footage is affected.*  
Note: If the job is an Alteration Type II and the filing is for more than one work type (PL, MH, etc.), the estimated cost must be *individually* specified for each work type filed. *In the space provided type the work type code (i.e. **PL** for Plumbing see Alteration Type II section) and the corresponding estimated cost for each work type. Use section 16, Comments, if additional room is needed for other work types.*  
If the application is being made to legalize work without a permit, applicant must state so within the job description. In accordance with Policy & Procedure Notice 23/88, check (X) *the box provided to indicate that structural stability will not be affected by this alteration during construction operations.*

**Sign Filings:** *Provide the total estimated cost and provide a brief description of the wordage to be displayed on the sign*

**Curb Cut Filings:** *If a curb cut filing is included in the job applicants must specify the location of the curb cut. This should be described in terms of the number of feet from the nearest corner, specifying the street names.*

**Subsequent filings:** *Provide the additional estimated cost and I or proposed additional floor area if applicable.*

**8. Work Types Submitted**

Check (X) the box next to each *work type* category which the applicant is submitting, and for which the applicant is taking responsibility. Complete the sections or schedules indicated to the right of each work type. If an associated schedule is required, complete the information on that schedule.

*The codes preceding each type of equipment are the work type suffixes that shall be annexed to the job number.*

For a Curb Cut provide the total linear feet of the cut. *Specify in Section 7A, Job Description, the location of the curb cut. This should be described in terms of the number of feet from the nearest corner, specifying the street names, its location from the nearest street corner (direction and distance), including splays.*

If applicant is submitting work other than that listed, check (X) Other and briefly describe the work on the line marked Other – Description

**9. Plans Submitted**

Check (X) next to each type of plan which the applicant is submitting (and taking responsibility for). If no plans are required for the type of work, check (X) No Plans.

**10. Building Characteristics**

With the exception of a new building, this section should reflect the characteristics of the existing site/building where the work is to be performed. For a new building, the information will describe the proposed structure. The specific data which must be provided depends upon the job type. The sections which must be completed are as follows:

- New Building :A, B, C, D, E
- Type I Alteration :A, B, C, D, E
- Type II Alteration – Plumbing :D
- Type II Alteration – Sprinkler/Standpipe :A, B, C
- Type II Alteration – Mechanical / HVAC: :A
- Type III Alteration :A, B, C, D
- Demolition :D
- Sign :A

**Part A**

Part A: Provide Zoning District(s) and Zoning Map Number. If the zoning district is a special district, provide the name of the special district.

**Part B**

Part B - Occupancy Classification: Check (X) the Occupancy Classification of the building according to the New York City Building Code. For an alteration where the existing occupancy classification shall change, both existing (*Ex*) and proposed (*Pr*) must be indicated (X).

If the building is a Multiple Dwelling, provide the classification of the building. For example:

- OL – Old Law Tenements, NL – New Law Tenement
- OLSR – Old Law Single Room NLSR – New Law Single Room
- JAR – Joint Artist in Residence LH – Lodging House
- HAEA – Hereafter Erected Class A HAEB (Hotel) – Hereafter Erected Class B
- HCA – Heretofore Converted Class A HCB – Heretofore Converted Class B
- HACA – Hereafter Converted Class A HACB – Hereafter Converted Class B
- CAA – Commercial Altered A CAB – Commercial Altered B
- COL – Converted Old Law CNL – Converted New Law

**Section**

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HEXA (Hotel) – Heretofore Erected Existing Class A  
HEXB (Hotel) – Heretofore Erected Existing Class B  
Y – Y Type Building (Class B)

- Part C** Part C – Construction Classification: Check (X) the Construction Classification(s) of the building. For an alteration where the existing construction classification(s) shall change, both existing and proposed classifications must be checked (X).
- Part D** Part D: Provide the following
- Number of Stories (Distinguish cellars, basements, etc., from stories. For example type Cellar, Basement + 3)
  - Street Frontage Dimension – Required only for Demolitions. In the case of a corner lot the largest dimension shall be provided.
  - Height above curb level (as defined within Article 2 of Subchapter 2 Definitions of the Building Code)
  - Number of Dwelling Units and/or Rooming Units – For Demolitions this data shall refer to the existing status of the structure, whereas for New Buildings and Type I Alterations the proposed specifications shall be provided.
  - Check (X) the appropriate box to indicate whether a sprinkler or standpipe or fire alarm exists or is proposed.
  - Check (X) the appropriate box to indicate whether the system is required by the Building Code, or whether it is a voluntary installation on behalf of the owner.
- Part E** Part E:
- Check (X) any site/area characteristics which apply.
  - Provide the total gross floor area of the building (including cellars basements and bulkheads).
  - Provide the square footage of any open spaces. In addition to square footage, provide the number of parking spaces and loading berths.
- 11. Place of Assembly** If approval is requested for a Place of Assembly, complete this section.
- Provide the proposed number of persons for both the initial filing for a Place of Assembly or a change to a Place of Assembly.
  - *Provide the old pre-BIS PA application number (e.g. PA 123/89) if the application is being made to update an old pre-BIS Place of Assembly.*
  - Provide the last name, first name, middle initial, title, business name, address, and phone number of the individual who shall be responsible for annual permit renewals, if different from owner.
- 12. Signs** If approval is requested for a Sign, complete this section.
- Check (X) whether the sign is illuminated or non-illuminated.
  - Check (X) the appropriate box for the type of sign: Ground, Wall, or Roof.
  - For roof signs, check this (X) box to indicate if the sign is tight, closed or solid.
  - *Provide the height above roof level in feet and inches if the roof sign is not tight, closed or solid.*
  - Provide the weight of the sign.
  - If applicable, provide the dimension of the sign's projection beyond the building line in feet and inches.
  - Provide the total square footage of the sign.
  - If job involves an illuminated projecting sign, provide the last name, first name, middle initial, title, business name, address, and phone number of the individual who shall be responsible for annual permit renewals.
- 13. Construction Equipment** Complete this section if the work type is EQ – Constructions Equipment (other than equipment handled by the Cranes and Derricks Division). Note: Only one type of construction equipment may be filed per PW-1 application.
- Check (X) the appropriate box for the type of equipment: sidewalk shed, scaffold, chute, fence. Check (X) Other if equipment to be used is not listed and specify the type of equipment.
  - Briefly describe the material of construction.
  - Provide the approval number(s) assigned by the Department of Buildings Materials and Equipment Acceptance division or the Board of Standards and Appeals.
  - For a sidewalk shed approval, provide the total length of the shed in linear feet.
- 14. Fire Protection Equipment** Complete this section if the work type is Fire Protection Equipment (*SP, SD, FA*):
- Check (X) the appropriate box to indicate whether the equipment functions automatically or non-automatically. *Not relevant for Standpipes.*

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- Check (X) the appropriate box to indicate whether the system is entire (throughout the whole building) or partial (installed in only a portion of the building).
- *A blank space has been provided for other types of fire protection equipment.*

**15. Plot diagram of Zoning Lot**

Complete this section for New Buildings and Type I Alterations:

- Check (X) the appropriate box to indicate the status of the street: public or private.
- Provide the legal width of the street in feet

(The above information may be obtained from the Topographical Bureau of the Borough President's office within the appropriate borough.)

- Provide a diagram of the site.
- Provide a written description of metes and bounds within *Description of Land and Premises*, as obtained from the Tax Department.

**16. Comments**

For New Building filings provide the proposed ultimate number of stories.

If applicant's comments provide an elaboration upon information supplied in any sections or schedules to this form, specify the number and name of the related sections.

If application is for a Change to an existing job (within Section 1, Filing Status), provide the reason for reinstatement, withdrawal or amendment.

If additional space is required, applicant may use form AI-1 Additional Information.

**Statements and Signatures**

**Applicant:** All applicants must complete the Applicant's Statements portion for all filings of form PW-1. If the applicant must specify any exceptions that were not detailed within the Comments (16) section, Additional Information (AI-1) sheets may be attached. The applicant shall provide his signature and professional seal, and date the application.

If the job involves tract housing, the applicant must *provide the Reference Job Number (Lead Job Number for the building group)* and certify the related statement.

**Owner:** *The owner must check (X) the owner's statement in order to authorize the applicant to file the application.*

The owner shall complete the Owner's Certification Regarding Occupied Housing Accommodations. Check (X) "yes" or "no" to both statements. If the owner checked (X) "yes" to the second statement, provide the date that the State Division of Housing and Community Renewal was notified.

If owner is claiming fee exemption, he must check (X) the Fee Exemption Request Statement.

*Check (X) the box reserved for non-profit if applicable.* Check (X) one of the four boxes to indicate the type of ownership.

The owner shall provide his last name, first name, middle initial, title, business name, address and phone number. If applicable, indicate the relationship to the building owner (i.e. If the individual signing is not the building owner but is a lessee, condo owner, etc.).

If the ownership of the building is a corporation, the name and address of two officers must be provided, and one officer must sign the application.

Note: You may be eligible to receive a partial real property tax exemption on improvements to commercial and industrial properties through the Industrial & Commercial Incentive Program (ICIP). If you are certified eligible for the ICIP, you or your tenant may also be eligible for substantial general business tax credits and an exemption from the commercial rent tax through the Relocation Employee Assistance Program, (REAP).

To request an application and further information on this program and other valuable credits, call (212) 669-2000 before you receive your building permit.

Benefits under the Industrial & Commercial Incentive Program (ICIP) cannot be granted if you receive a building permit prior to filing for ICIP benefits with the New York City Department of Finance.