



**DOB WEBINAR SERIES – SESSION 6:
ARTICLE 320 PENALTY MITIGATION
AND CBL DISPUTES
March 18th, 2025**

presented by
DOB Sustainability Bureau

NYC
Buildings

Presenters

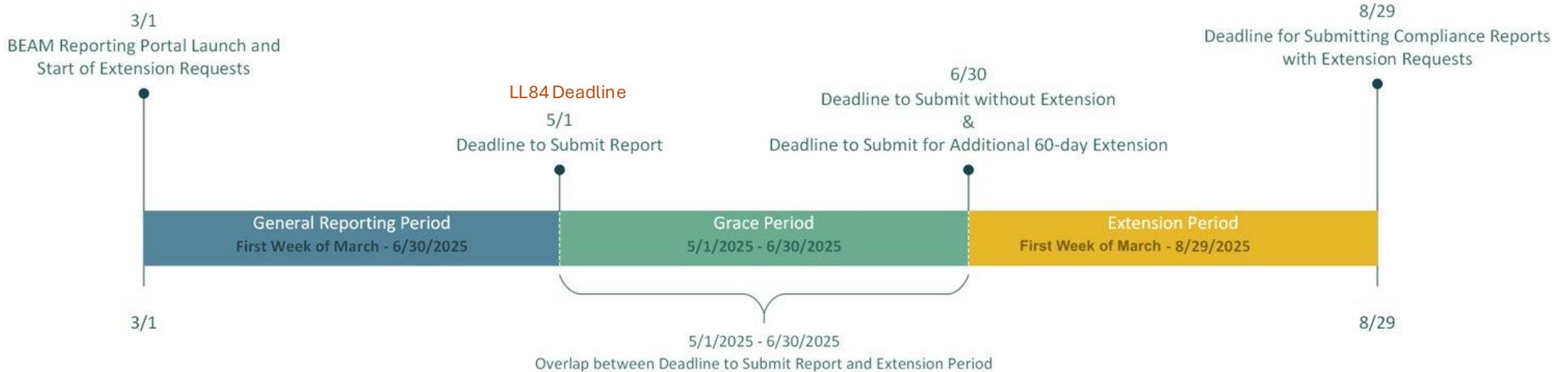
- Beth Golub, Director, Sustainability Policy and Legal Affairs, DOB Bureau of Sustainability
- Andrew McLean, Policy and Project Associate, DOB Bureau of Sustainability
- Julia Fredenburg, Senior Policy Advisor, DOB Bureau of Sustainability

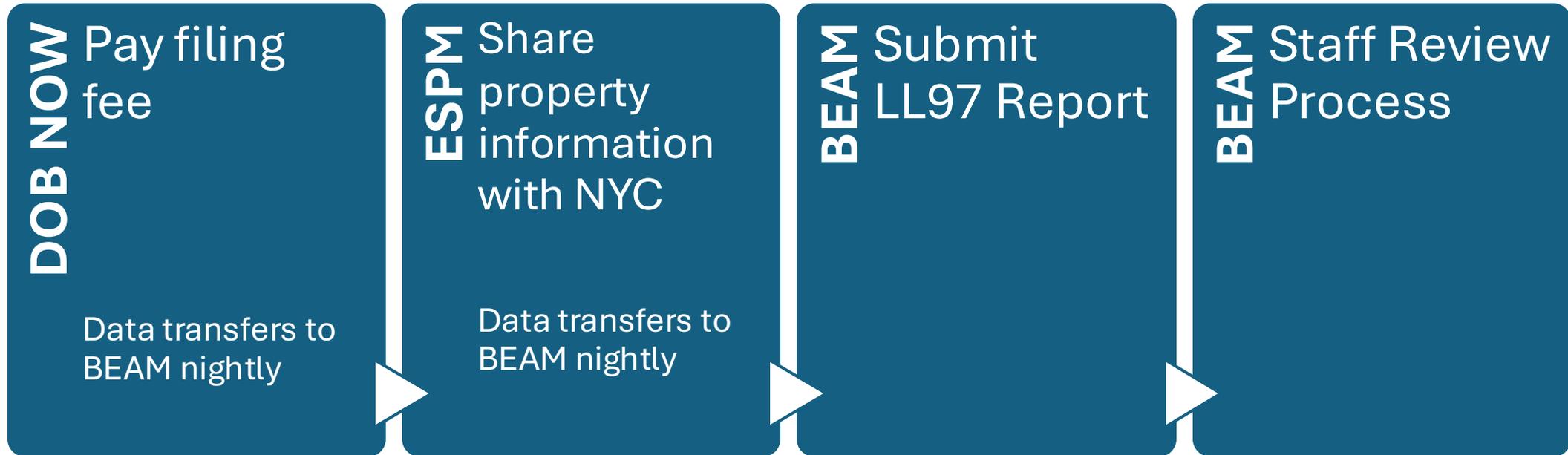
LL97 Timeline

LL97 TIMELINE

For Filing Extensions and Submitting Compliance Reports

Grace periods & extensions apply to LL88





The following three email addresses entered in DOB NOW will serve as the **only** email addresses to view building profile in the Building Energy Analysis Manager (BEAM).

- Owner
- Owner Representative
- Service Provider (RDP/RCxA) - *optional if owner's rep is also service provider*

Article 320 Penalty Mitigation

Step 1: DOB NOW Filing Fees

Article 320 Penalty Mitigation



A. Good Faith Effort

B. (Rare) Unexpected or Unforeseeable Event

Critical Information for DOB NOW: Safety



The **Owner, Owners Representative, and Service Provider (RDP/RCxA) email** addresses **must be** provided in the DOB NOW Filing Fee process.

- These **3 email addresses** are the only way to **access** your building profile in **BEAM**.
- While you may be able to create a BEAM account without submitting a DOB NOW filing fee, applicable building information will **not** be present in your building profile.
- The **BEAM account** must be **created** using **one of the three email addresses** identified in the LL97 DOB NOW Fee portal associated with the BIN/BBL.

Email addresses entered in DOB NOW will serve as the **only** email addresses to view building profile in BEAM.

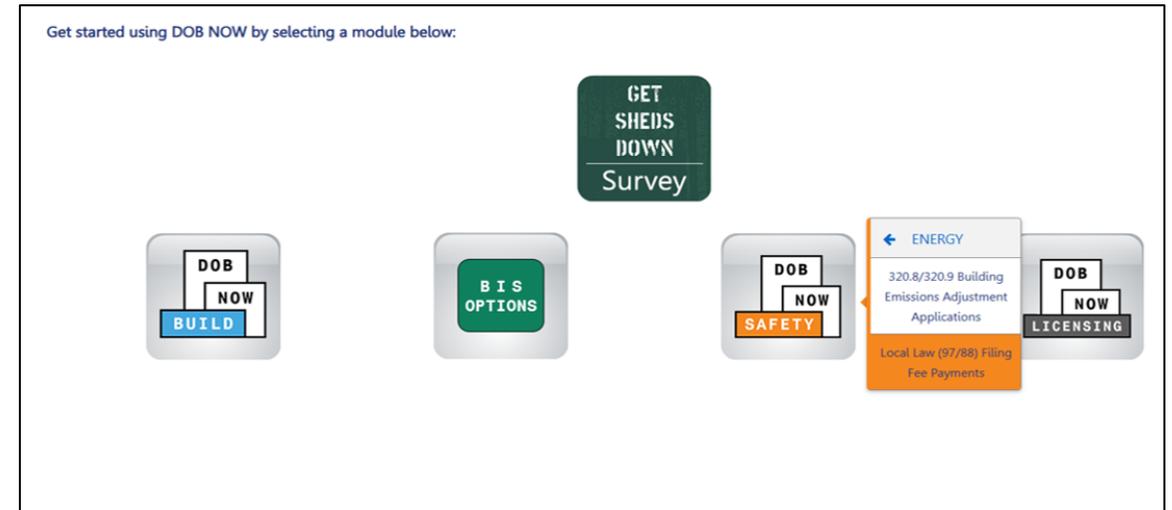
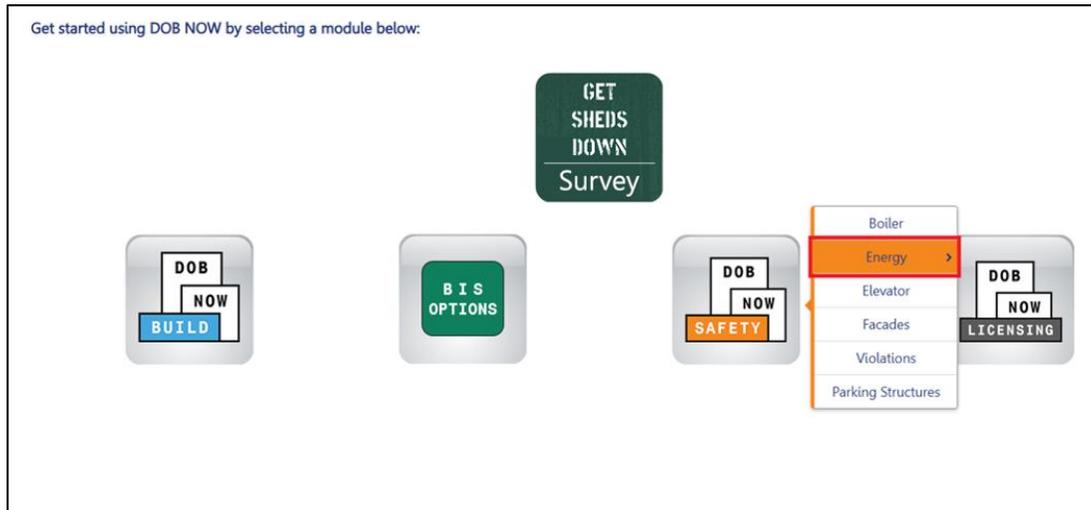
- Owner
- Owner Representative
- Service Provider (RDP/RCxA)

DOB NOW Filing Fee Payment information and submitted emails are transferred to BEAM on a nightly basis. It is not possible to complete a BEAM report in one day.

Article 320 Penalty Mitigation Filing Fee



- Navigate to the DOB Now login page at nyc.gov/dobnow, enter your NYC.ID email address in the Email field, and select **Login**. If you need to create an NYC.ID account, select **Create Account** or use the [DOB NOW User Guide](#) for step-by-step instructions.
- After logging into DOB NOW, the Welcome page displays. Hover over **DOB NOW: Safety** and click **Energy**.
- From the Energy sub-menu, select **Local Law 97/88 Filing Fee Payments**.



Article 320 Penalty Mitigation Filing Fee



- On the Local Law Payments dashboard, select **+Local Law 97 Payment**.

NYC Department of Buildings
Local Law Payments

+ Local Law 97 Payment + Local Law 88 Payment

Local Law 97 Fee Payments Local Law 88 Fee Payments

| View... | Actions | Transaction Number | Transaction Status | Payment Status |
|---------|------------------|--------------------|--------------------|----------------|
| | Select Action: ▾ | LL97000001041 | Pre-filing | Due |

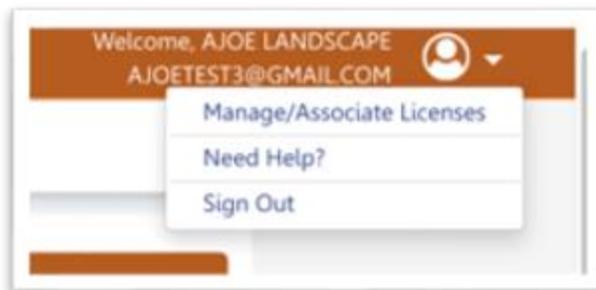
Article 320 Penalty Mitigation Filing Fee

DOB
NOW

In the **Stakeholders** section, select your role: **Owner** or **Owner's Representative**. The information of the logged in user will auto-populate in the selected section. Owner information is required.

- To **change the name or address**, select **Manage/Associate Licenses** from the person icon in the top right corner of the screen.
- If the **logged in user** is an **Owner's Representative**, enter the **email** address associated with the NYC.ID account of the **owner** on the **Owner Information Tab**. The grayed-out fields will auto-populate from the DOB NOW profile associated with the NYC.ID account.

NOTE: To submit a compliance report in BEAM, you must first pay your filing fee and create an account in BEAM using **one of the following emails provided here: Owner, Owner's Representative, or Service Provider (RDP/RCxA)**. Only these emails will allow you to access your building profile in BEAM. You **must** add all three email addresses by clicking either the Owner information or the Owner's Representative tabs.

A screenshot of the 'Stakeholders' form in the BEAM system. The form is titled 'Stakeholders*' and has a dropdown arrow on the right. Below the title, there is a section 'Are you an:' with two radio button options: 'Owner' and 'Owner's Representative (also provide Owner Information)'. The 'Owner's Representative' option is selected. Below this, there are two tabs: 'Owner Information*' and 'Owner's Representative'. The 'Owner Information*' tab is active. The form contains several input fields: 'Email*' (with a placeholder 'Please enter email address'), 'Owner Type*' (a dropdown menu with 'Select Type' selected), 'Service Provider (RDP/RCxA) email address', 'First Name', 'Middle Initial', 'Last Name', 'Business Name*', 'Business Address*', 'City*', 'State*', and 'Zip Code*'. The 'Business Telephone' field is also present but appears to be a text area.

Article 320 Penalty Mitigation Filing Fee



- Under **Owner Information**, select **Owner Type**.
- The following owner types are **fee exempt**:
 - Buildings owned by a not-for-profit corporation that is used exclusively for educational, charitable and/or religious purposes,
 - Buildings owned by a Federal, State, City or foreign government.
- **Fee-exempt owners are exempt from payment but still must complete these steps to get the Payment Confirmation Number to be entered in the BEAM Reporting Portal.**
 - If a fee exempt owner type is selected, the **NYC Department of Finance Property Information** must indicate that the **Tentative or Final Assessment Roll** assessed value is **zero**. Go to nyc.gov/nycproperty to **print proof** of exemption and upload it in the Reporting Portal with your report.

Stakeholders*

Are you an:

Owner Owner's Representative (also provide Owner Information)

Owner Information* | Owner's Representative

Email*

Owner Type*

Service Provider (RDP/RCxA) email address

First Name

Middle Initial

Last Name

Business Name*

Business Address*

City*

State*

Zip Code*

Business Telephone

Article 320 Penalty Mitigation Filing Fee



1. Select **Article 320** to indicate your compliance pathway.
2. Select **Yes** when asked whether you will be filing a compliance report in the LL97 Reporting Portal and select **2024** as your Report Year.

Transaction Information* ☑ ➤

Which article under Local Law 97 applies to your building?* (This information can be found on the LL97 Covered Buildings list.)

Article 320 Article 321

Will you be filing a compliance report in the LL97 Reporting Portal?* Yes No

Report Year*

2024 ▾

Article 320 Penalty Mitigation Filing Fee

Select one the following:

1. **Good Faith Efforts Report**
2. **(Rare) Unexpected or Unforeseeable Event**

Article 320 Information*

What type of Article 320 compliance report will you be filing in the LL97 Reporting Portal?*

Annual building emissions report (28-320.3.7; RCNY 103-14(b))

Good Faith Efforts report (RCNY 103-14(i)(2))

Article 320 annual building emissions report Payment Confirmation number*

Enter annual building emissions report payment confirmation number like 97320C000001773

Unexpected or Unforeseeable Event (RCNY 103-14(i)(1))

Select all that apply to the Article 320*

Shares Energy Service (RCNY 103-14 (b)(4))

Beneficial Electrification (RCNY 103-14 (d)(3)(vii))

Distributed Energy Resources (i.e., solar, storage, fuel cell) (RCNY 103-14 (d)(3)(vi); RCNY 103-14(e)(2))

Time of Use Methodology (RCNY 103-14 (d)(3)(iii))

Qualified generation facilities (RCNY 103-14 (d)(3)(vi)(e))

None

Article 320 Penalty Mitigation Filing Fee



- In the Property Information section, enter the **Borough, Block and Lot** and click **Search & Add**.

Property Information* ▼

Select the BIN(s) for which you are filing a single report.

Borough, Block, Lot

Borough* **Block*** **Lot***

Article 320 Penalty Mitigation Filing Fee

- In the **Building Identification Number** pop-up window, check the box(es) by the BIN(s) for this payment then select **Select & Add**.

Building Identification Number

| | BIN | Address | Borough |
|-------------------------------------|---------|---------------------|-----------|
| <input checked="" type="checkbox"/> | 1028159 | 125 COLUMBUS AVENUE | MANHATTAN |

Total Items: 1

1 / 1 10 Items Per Page 1 - 1 of 1 items

Select & Add 1 Cancel

Article 320 Penalty Mitigation Filing Fee

- The property information will then be listed in a grid under the Search & Add button and can be removed by selecting the trash icon. If selections are changed in the Transaction Information section after an address has been added, the system will remove the address and it will need to be re-entered.
- Select **Yes** to confirm the BIN(s) has either a single owner or the property is a co-op or condo. Enter any **Related Payment Confirmation Number** (any payment that has already been processed in DOB NOW: *Safety* for the same property)

| Action | BIN | Address | Borough | Block | Lot |
|--------|---------|---------------------|-----------|-------|-----|
| | 1028159 | 125 COLUMBUS AVENUE | MANHATTAN | 1118 | 1 |

Is the selected BIN(s) associated with a single owner or is the property a co-op or condo?*

Yes No

Related Payment Confirmation Number (any payment that has already been processed in DOB NOW: *Safety* for the same property).

Separate each by a comma ","

Article 320 Penalty Mitigation Filing Fee



- For all other buildings, the Proceed to Pay button will display the payment amount. Click **Proceed to Pay** and then **Pay Now**. A CityPay window will open in a new window/tab where payment is made by selecting the Check or Credit Card tab. See the [DOB NOW Payments CityPay Manual](#) for step-by-step instructions.

Payment Confirmation

Are you sure you want to make a payment of **Filing Fee Amount**

eCheck payments can take up to 10 days to process. The transaction will not be complete until the payment is processed.

Please confirm that your pop-up blocker is turned off before clicking on the Pay Now button.

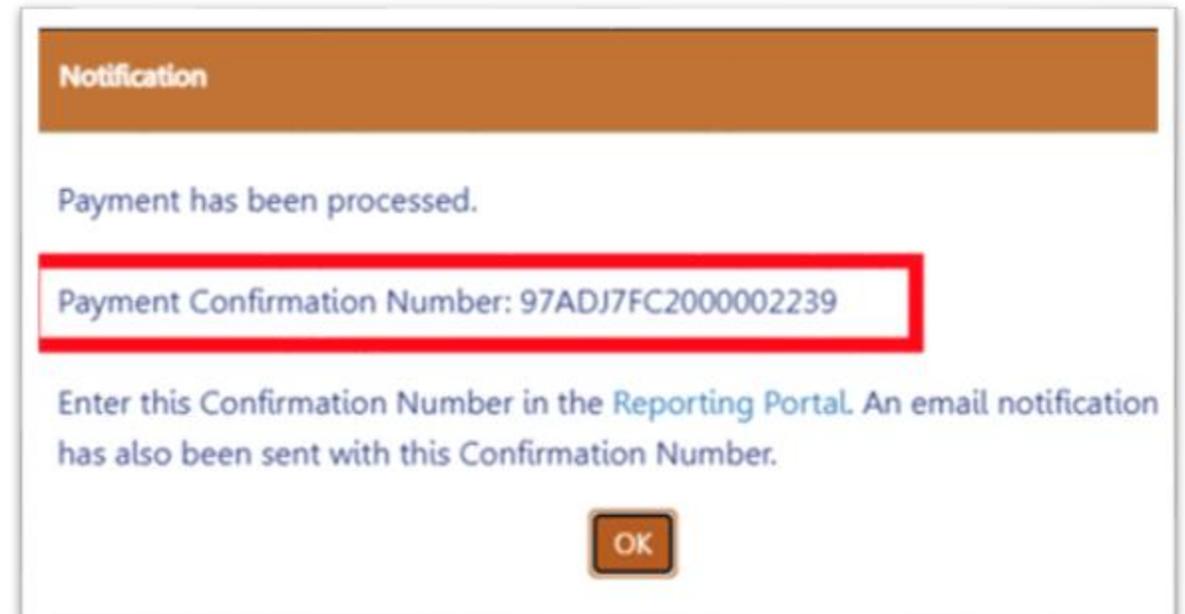
Pay Now **Cancel**

- 320 Penalty Mitigation Filing Fees:
- Good Faith Efforts: \$950
 - Unexpected or Unforeseeable Event: \$60

Article 320 Penalty Mitigation Filing Fee



- After payment is submitted in City Pay, receipt details will be provided that show a receipt number. This is **NOT** the number to be entered in to the BEAM Reporting Portal.
- Return to the DOB NOW window. For credit card/Paypal/Venmo payments, you will see a notification with a **Payment Confirmation Number**. This is the number to be submitted in the Reporting Portal. It will also be sent to you by email.
- For payments by **eCheck**, the status of the transaction will change to **Pending Payment Verification**.
 - The **Payment Confirmation Number** will be sent by email when the payment clears (**up to 10 business days** after it is submitted).
 - **Your data will not be logged in BEAM until:**
 - The payment clears; and
 - The status on DOB NOW no longer says "pending"; and
 - You have a payment confirmation number.



Article 320: Penalty Mitigation

Step 2: Apply in BEAM

- a) Good Faith Efforts
- b) (Rare) Unexpected or Unforeseeable Event

When an owner of a covered building subject to Article 320 is **unable to demonstrate timely compliance** with the **annual GHG emissions limit**, such owner can demonstrate qualification for a **mitigated penalty or a mediated resolution** by providing documentation showing the following:

1. The owner can demonstrate they are taking concrete action towards compliance, by showing their **good faith efforts (GFE)** pursuant to 1 RCNY §103-14(i)(2).
1. An **unexpected or unforeseen circumstance** that has damaged the building making compliance impossible

This presentation will cover how to pursue **Penalty Mitigation** for a covered building subject to Article 320, including:

- Filing an LL97 Penalty Mitigation (Article 320) ticket
- Preparing and submitting supporting documentation

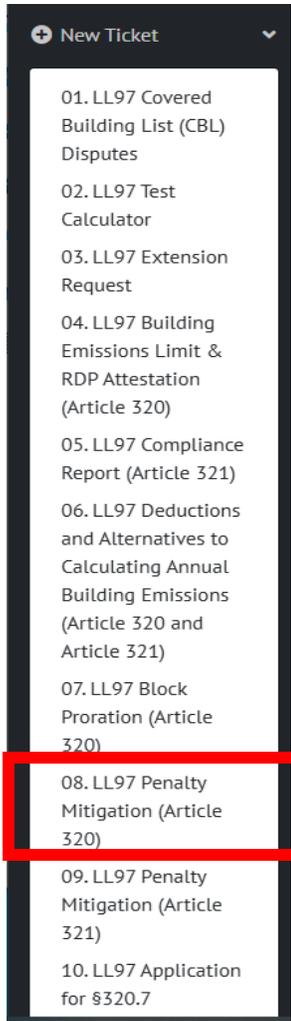
Finding the LL97 Penalty Mitigation (Article 320) ticket

On the BEAM Platform at nyc.beam-portal.org, from the left sidebar, navigate to **Helpdesk**. Then again from the left sidebar, click **New Ticket**, then select **08. LL97 Penalty Mitigation (Article 320)**.

The screenshot shows the BEAM platform interface. The left sidebar contains several menu items: JOE SMITH, INVENTORY, ADD MEMBERS, MAP, **HELPDESK** (highlighted with a red box), ABOUT, and LOGOUT. The main content area displays a 'Properties' table with columns for Property Name, Portfolio, BBL (Tax Lot), Building ID Number (B...), and Address DOF. The table is currently empty, and the 'View by Property' button is selected.

The screenshot shows the Knowledgebase page. The left sidebar contains several menu items: Submissions, Homepage, **New Ticket** (highlighted with a red box), Knowledgebase, and BEAM Inventory. The main content area displays the Knowledgebase overview, including a list of categories: Local Law 97 (LL97) Requirements, Resource Library, Utility Programs and Financing, and a footer that reads 'Powered by django-helpdesk'.

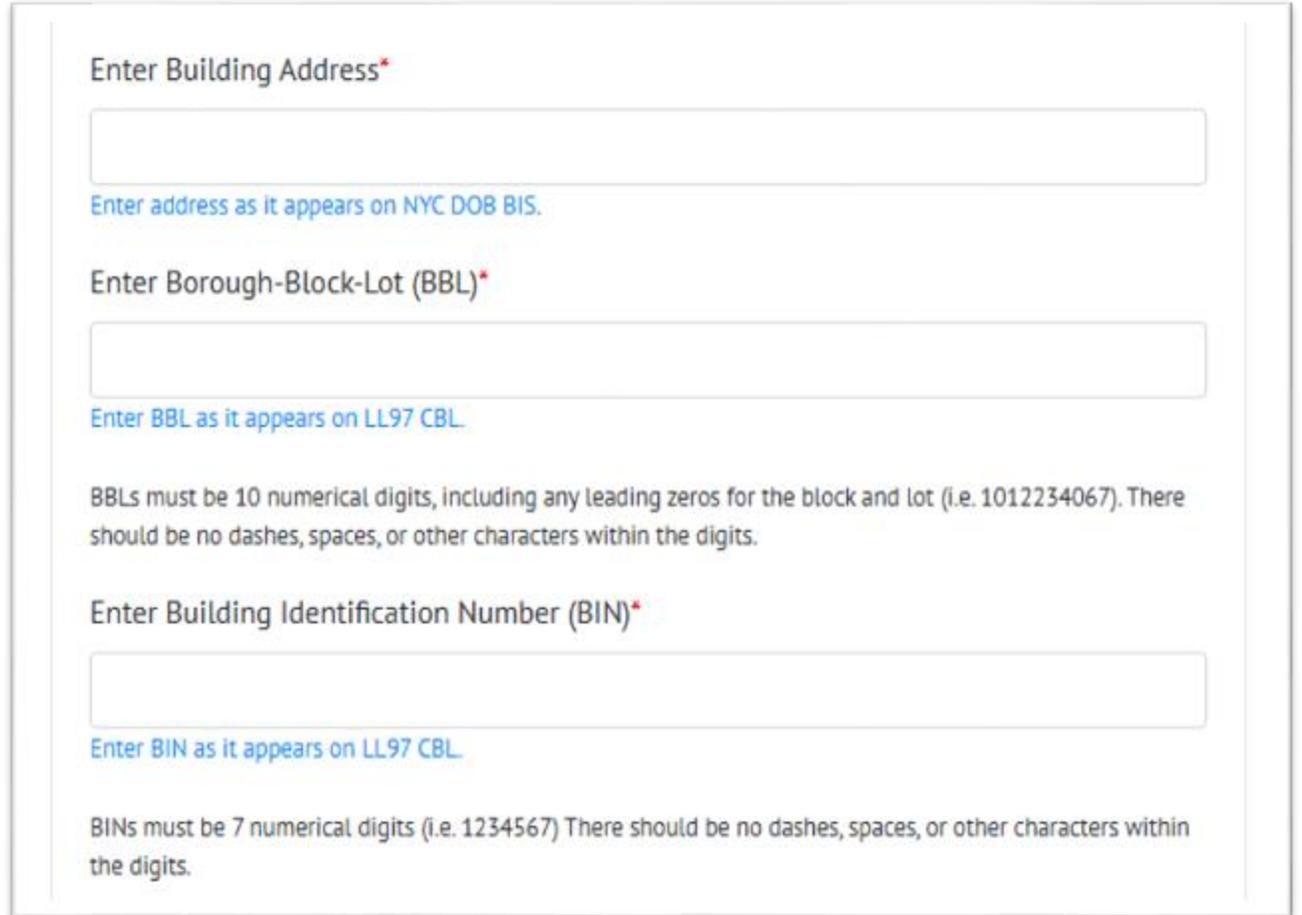
Step 1: Create Penalty Mitigation (Article 320) Ticket



1. On the BEAM Portal, from the left sidebar, navigate to **Helpdesk**, then select **New Ticket** then select **08. LL97 Penalty Mitigation (Article 320)**.
2. A complete “**08. LL97 Penalty Mitigation (Article 320)**” ticket must include all of the following:
 1. Building address, Borough-Block-Lot (BBL) and Building Identification Number (BIN).
 2. Upload of all applicable supporting documentation.
 3. Confirmation of Registered Design Professional (RDP) attestation and upload of attestation documentation.
 4. DOB NOW Payment Confirmation Number. (i.e. 97320SGxxxxxx, 97320CGxxxxxx, 97320Gxxxxx).

Step 1: Property Details of Penalty Mitigation Ticket

- **Enter Building Address***
 - Enter address as it appears on NYC DOB BIS.
- **Enter Borough-Block-Lot (BBL)***
 - Enter BBL as it appears on LL97 CBL.
 - BBLs must be 10 numerical digits, including any leading zeros for the block and lot (i.e. 1012234067). There should be no dashes, spaces, or other characters within the digits.
- **Enter Building Identification Number (BIN)***
 - Enter BIN as it appears on LL97 CBL.
 - BINs must be 7 numerical digits (i.e. 1234567) There should be no dashes, spaces, or other characters within the digits.
 - See Slide 11



The screenshot shows a web form with three input fields. The first field is labeled 'Enter Building Address*' and has a blue link below it that says 'Enter address as it appears on NYC DOB BIS.' The second field is labeled 'Enter Borough-Block-Lot (BBL)*' and has a blue link below it that says 'Enter BBL as it appears on LL97 CBL.' Below this field is a paragraph of text: 'BBLs must be 10 numerical digits, including any leading zeros for the block and lot (i.e. 1012234067). There should be no dashes, spaces, or other characters within the digits.' The third field is labeled 'Enter Building Identification Number (BIN)*' and has a blue link below it that says 'Enter BIN as it appears on LL97 CBL.' Below this field is another paragraph of text: 'BINs must be 7 numerical digits (i.e. 1234567) There should be no dashes, spaces, or other characters within the digits.'

Step 2: Select Mitigating Factor Type

There are two mitigating factor types to choose from:

- a) Good Faith Efforts
- b) (Rare) Unexpected or unforeseeable event

Step 2a: Good Faith Efforts

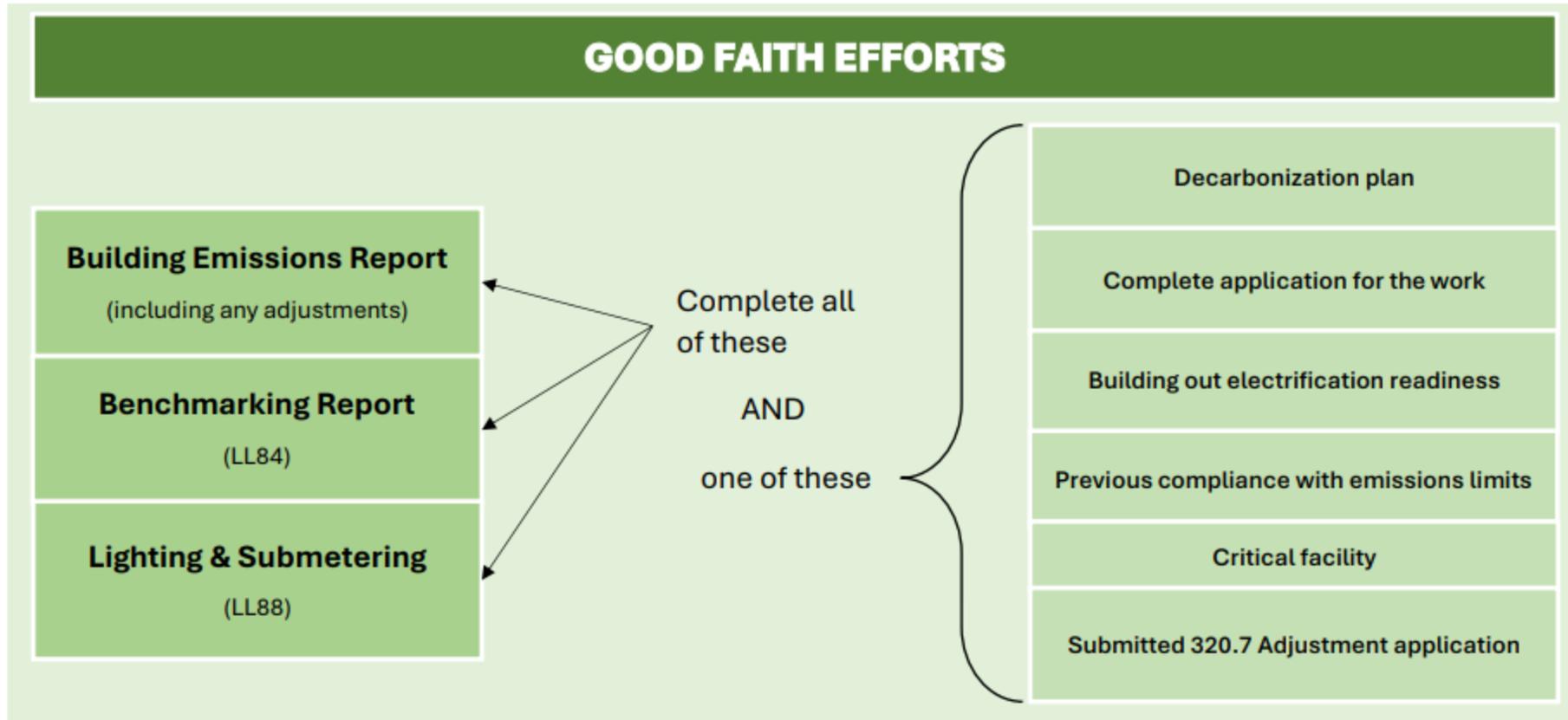
To show **GFE** as part of a mediated resolution request, a building owner must substantiate that they have **actively planned for and taken concrete steps towards reducing emissions. Evidence of such planning and action demonstrates** that an owner is acting in “**good faith**” to meet the intent of **LL97**.

GFE require three prerequisites to be submitted to the reporting portal:

- I. The building’s **LL97 emissions report** for the calendar year just-concluded, taking into account any Department granted adjustments;
- II. The building’s **LL84 benchmarking report** for the calendar year just-concluded; and
- III. The building’s **one-time LL88 lighting upgrades and submetering report** (LL88 of 2009, aka Article 310 and Article 311 in conjunction with 1 RCNY §103-18, with commentary in the Department’s LL88 FAQ).

Step 2a: Good Faith Efforts

In addition to the three prerequisites, one of six electives must be submitted:



Step 2a: Good Faith Efforts

1. Please select the mitigating factor type: **Good Faith Efforts**, if applicable
 - a) Please confirm that the **annual emissions report** was submitted by this property for the previous calendar year pursuant to **LL97**, if applicable.
 - b) Please confirm that the **annual benchmarking report** was submitted by this property for the previous calendar year pursuant to **LL84**.
 - c) Please confirm that applicable **upgrades** have been made to **lighting systems** and **submeters** installed pursuant to **LL88**.

Please select the mitigating factor type:

Good Faith Efforts

Please confirm that the annual emissions report was submitted by this property for the previous calendar year pursuant to LL97.

Please confirm that the annual benchmarking report was submitted by this property for the previous calendar year pursuant to LL84.

Please confirm that applicable upgrades have been made to lighting systems and submeters installed pursuant to LL88.

Step 2a: Good Faith Efforts

If you've selected **Good Faith Efforts**,

- a) Please **select one** of the following plans to demonstrate good faith efforts have been made.
 - a) **Submit a decarbonization plan**
 - b) **Demonstrate that work is underway**
 - c) **Waiting on utility for more power**
 - d) **Building is a critical facility**

Please select one of the following plans to demonstrate good faith efforts have been made.

Submit a decarbonization plan

Demonstrate that work is underway

Waiting on utility for more power

Building is a critical facility

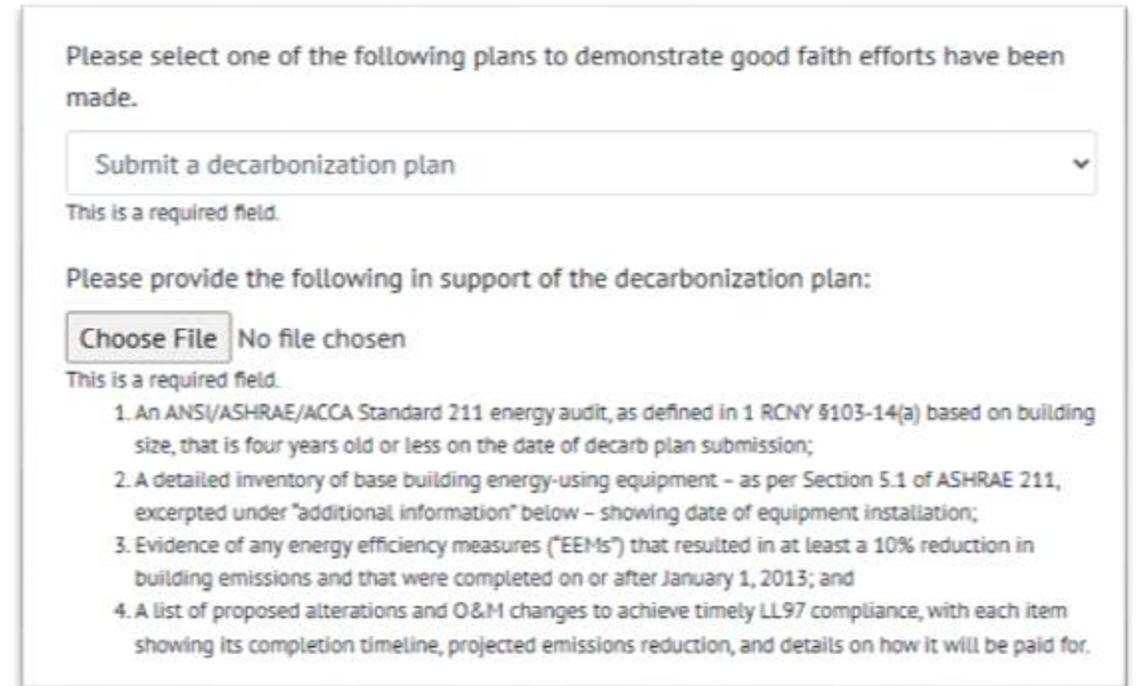
Step 2a: Good Faith Efforts – Decarbonization Plan

Please select **one of the following plans** to demonstrate good faith efforts have been made:

1. If selecting "**Submit a decarbonization plan**":

1. Please provide the following in support of the decarbonization plan:

1. An ANSI/ASHRAE/ACCA Standard 211 energy audit, as defined in 1 RCNY §103-14(a) based on building size, that is four years old or less on the date of decarb plan submission;
2. A detailed inventory of base building energy-using equipment – as per Section 5.1 of ASHRAE 211, excerpted under “additional information” below – showing date of equipment installation;
3. Evidence of any energy efficiency measures (“EEMs”) that resulted in at least a 10% reduction in building emissions and that were completed on or after January 1, 2013; and
4. A list of proposed alterations and O&M changes to achieve timely LL97 compliance, with each item showing its completion timeline, projected emissions reduction, and details on how it will be paid for.



Please select one of the following plans to demonstrate good faith efforts have been made.

Submit a decarbonization plan

This is a required field.

Please provide the following in support of the decarbonization plan:

Choose File No file chosen

This is a required field.

1. An ANSI/ASHRAE/ACCA Standard 211 energy audit, as defined in 1 RCNY §103-14(a) based on building size, that is four years old or less on the date of decarb plan submission;
2. A detailed inventory of base building energy-using equipment – as per Section 5.1 of ASHRAE 211, excerpted under “additional information” below – showing date of equipment installation;
3. Evidence of any energy efficiency measures (“EEMs”) that resulted in at least a 10% reduction in building emissions and that were completed on or after January 1, 2013; and
4. A list of proposed alterations and O&M changes to achieve timely LL97 compliance, with each item showing its completion timeline, projected emissions reduction, and details on how it will be paid for.

Note: All documents must be combined and submitted as one document

Step 2a: Good Faith Efforts – Demonstrate that work is underway

Please select **one of the following plans** to demonstrate good faith efforts have been made:

1. If selecting "**Demonstrate that work is underway**":
 1. Please provide documentation for each of the following showing that work is underway:
 1. Evidence of general alteration work underway to reduce emissions:
 - a. For work requiring a Department-issued permit, this can be comprised of Department-approved plans and PW1s.
 - b. For work not requiring a Department-issued permit (such as work listed in 1 RCNY §101-14 or §28-105.4), this can be comprised of paid invoices and signed contracts with service providers.
 - c. All forms of evidence must show an appropriate job scope/description.
 2. A project completion timeline,
 3. Calculations of projected reductions based on such work, and
 4. A signed contract with a provider for such work.

Please select one of the following plans to demonstrate good faith efforts have been made.

This is a required field.

Please provide documentation for each of the following showing that work is underway:

No file chosen

1. Evidence of general alteration work underway to reduce emissions:
 - a. For work requiring a Department-issued permit, this can be comprised of Department-approved plans and PW1s.
 - b. For work not requiring a Department-issued permit (such as work listed in 1 RCNY §101-14 or §28-105.4), this can be comprised of paid invoices and signed contracts with service providers.
 - c. All forms of evidence must show an appropriate job scope/description]
2. A project completion timeline,
3. Calculations of projected reductions based on such work, and
4. A signed contract with a provider for such work.

Note: All documents must be combined and submitted as one document

Step 2a: Good Faith Efforts – Waiting on utility for more power

Please select **one of the following plans** to demonstrate good faith efforts have been made:

1. If selecting "**Waiting on utility for more power**":
 1. Please provide documentation for each of the following showing that the building is waiting for more power:
 1. A Department-approved electrical filing showing appropriate project scope; and
 2. Certification from the electrical utility that they have accepted the increased load request; and
 3. Anticipated timeline for completion.

Please select one of the following plans to demonstrate good faith efforts have been made.

Waiting on utility for more power

This is a required field.

Please provide documentation for each of the following showing that the building is waiting for more power:

Choose File No file chosen

1. A Department-approved electrical filing showing appropriate project scope; and
2. Certification from the electrical utility that they have accepted the increased load request; and
3. Anticipated timeline for completion.

Note: All documents must be combined and submitted as one document

Step 2a: Good Faith Efforts – Building is a critical facility

Please select **one of the following plans** to demonstrate good faith efforts have been made:

1. If selecting "**Building is a critical facility**":

1. Please provide documentation supporting the building is a critical facility:

1. Please upload supporting documentation including a description demonstrating how penalty payment would negatively impact a critical facility's ability to provide services.

Please select one of the following plans to demonstrate good faith efforts have been made.

Building is a critical facility

This is a required field.

Please provide documentation supporting the building is a critical facility:

Choose File No file chosen

Please upload supporting documentation including a description demonstrating how penalty payment would negatively impact a critical facility's ability to provide services.

Note: All documents must be combined and submitted as one document

Step 2a: Good Faith Efforts

1. Please **confirm** that this **report** has been **reviewed** by a **Registered Design Professional**.
2. Please enter the **license number** of the reviewing **Registered Design Professional**.
3. Please upload an **attestation** by the reviewing **Registered Design Professional**, with the form provided

Please confirm that this report has been reviewed by a Registered Design Professional.

Please enter the license number of the reviewing Registered Design Professional.*

This is a required field.
RDP License # lookup: [NYS Department of Professions](#)

Please upload an attestation by the reviewing Registered Design Professional.*

No file chosen

This is a required field.
[Article 320 Professional Attestation Form](#)

Step 2b: (Rare) Unexpected or Unforeseeable Event

Select the mitigating factor type: **Unexpected or Unforeseeable Event**

1. Select the unforeseen event or unexpected circumstance:
 1. **Hurricane damage**
 2. **Severe flooding**
 3. **Fire**
 4. **Other**
2. **"Choose file"** and upload documentation substantiating your claim.
 - Accepted documentation can include photographs demonstrating the nature and extent of any such damage, and/or a description of how such damage precluded compliance in such calendar year.

Please select the mitigating factor type:

Unexpected or unforeseen circumstance (i.e. damaged as a result of a disaster) ▾

Please select the unforeseen event or unexpected circumstance:

----- ▾

Hurricane damage

Severe flooding

Fire

Other

Please provide documentation of the unexpected or unforeseen circumstance

No file chosen

Documentation can include: photographs demonstrating the nature and extent of any such damage; and/or description of how such damage precluded compliance in such calendar year.

Step 3: DOB NOW Payment Confirmation Number

- Enter the **DOB NOW Payment Confirmation Number**

Notification

Payment has been processed.

Payment Confirmation Number: 97321Uxxxxx

Enter this Confirmation Number in the [Reporting Portal](#). An email notification has also been sent with this Confirmation Number.

Please provide documentation of the unexpected or unforeseen circumstance

No file chosen

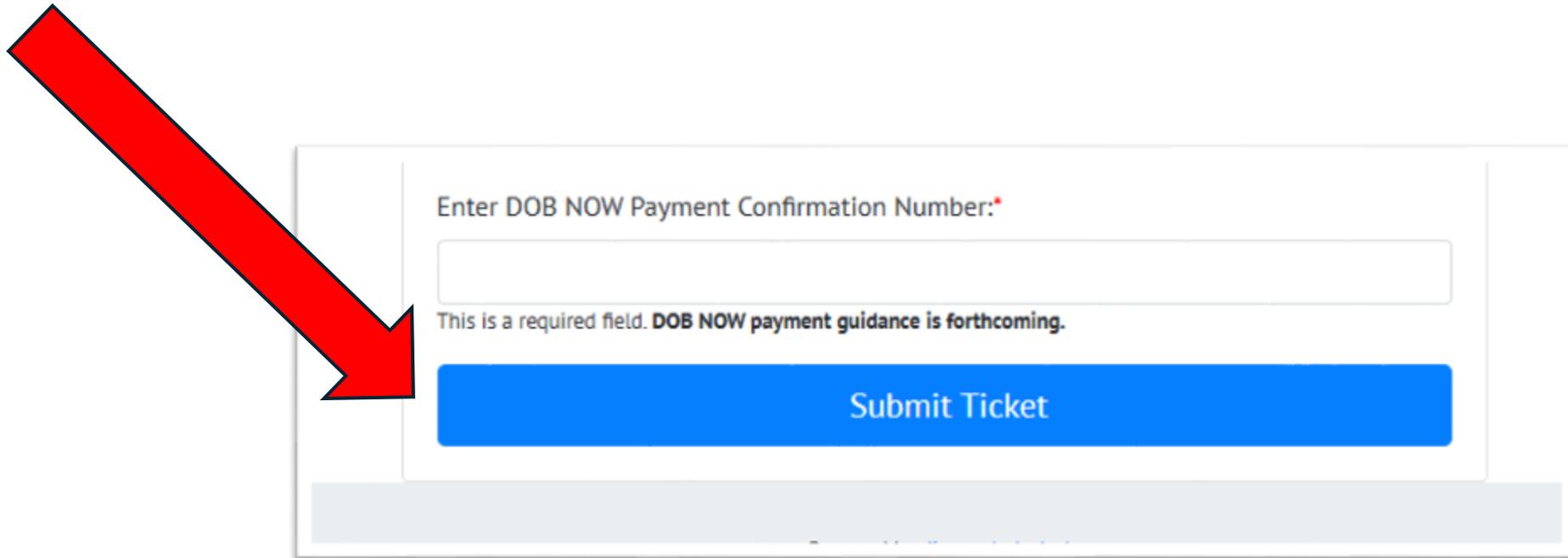
Documentation can include: photographs demonstrating the nature and extent of any such damage; and/or description of how such damage precluded compliance in such calendar year.

Enter DOB NOW Payment Confirmation Number:*

This is a required field. DOB NOW payment guidance is forthcoming.

Step 4: Submit Ticket

- You are ready to click "**Submit Ticket**".



Enter DOB NOW Payment Confirmation Number:*

This is a required field. DOB NOW payment guidance is forthcoming.

Submit Ticket

LL97 CBL Disputes

Identifying your building



Buildings are identified using: Building Address, BBL and BIN.

The Building Address, BBL and BIN on the CBL are not necessarily the address, BBL and BIN to be used for compliance with LL97.

| On the CBL | For compliance in DOB NOW, ESPM, and BEAM |
|---|---|
| Building Address is the address in DOF's records that is used for the entirety of the BBL | Building Address is the address associated with your building on BIS |
| BBL is the 10-digit Borough-Block-Lot number shared with DOB by DOF | BBL must match the CBL |
| BINs include <u>all</u> the historically recorded BINs associated with the building(s) on that BBL | BIN is the BIN associated with your building on BIS |
| Note: information on the CBL is at the BBL level, <u>not</u> the BIN level. | Note: Each building is only required to submit one compliance report, even where multiple BINs are associated with one building. |

Buildings in NYC are on tax lots identified by a 10-digit Borough-Block-Lot number (BBL). DOB's Covered Buildings Lists (CBLs) are created in collaboration with partner agencies who share information with DOB about the compliance pathways of buildings on different BBLs.

- For this reason: the BBL used in compliance submissions **must match** the BBL on the Covered Buildings List (CBL).

Understanding Your BBL:

The Block and Lot numbers may require adding zeros at the beginning to create the 10-digit BBL number.

- Example: BBL: 3058740005
- Borough: 3
- Block (must be 5 digits): 05874
- Lot (must be 4 digits): 0005

Condos have a billing BBL which normally ends '7501', and the condo units have BBLs which often end '1001', '1002' etc. For the purposes LL97 compliance, it is the billing BBL, not the condo unit BBLs, which are relevant.

Addresses on the LL97 CBL

On the CBL, buildings are identified by the address in DOF's records that is used for the entirety of the BBL.

This is not necessarily the address that is relevant to your building for compliance with LL97.

When submitting a report or a dispute under LL97, use **the address in BIS that is associated with your BIN.**

NYC Department of Buildings
Property Browse by Boro/Block/Lot

Page: 1 of 3

| Browsing BROOKLYN Block 5874 | | | | | |
|------------------------------|----------------------|-----------------|----------|----------|-------------------------|
| TAX LOT | ADDRESS | HOUSE NUM RANGE | LANDMARK | OBSOLETE | BIN |
| 1 | 6925 5 AVENUE | 6925 - 6933 | | | 3145774 |
| 5 | 6917 5 AVENUE | 6917 - 6923 | | | 3145775 |
| 9 | 6915 5 AVENUE | 6915 - 6915 | | | 3145776 |
| 10 | 6911 5 AVENUE | 6911 - 6911 | | | 3145777 |
| 11 | 6909 5 AVENUE | 6909 - 6909 | | | 3145778 |
| 12 | 6905 5 AVENUE | 6905 - 6905 | | | 3145779 |
| 14 | 6901 5 AVENUE | 6901 - 6901 | | | 3145780 |
| 15 | 514 BAY RIDGE AVENUE | 514 - 524 | | | 3805623 |

Buildings in NYC have a 7-digit Building Identification Number (BIN).

The LL97 CBL:

- May include historically recorded BINs associated with an individual building, or with another building on the same BBL.
- The BINs associated with a BBL will not necessarily reflect the number of buildings on the lot.

The building owner or service provider who submits a LL97 CBL Dispute or compliance report must confirm the appropriate BIN for an individual building when the dispute or compliance report is submitted, and use the same BIN across platforms and submissions.

Each building is only required to submit one compliance report. Where there are multiple BINs associated with one building, as long there is a submission under one BIN, no penalties will be issued to the other BINs that refer to that building.

Local Law 97 CBL



The 2025 LL97 covered buildings list (CBL) reflects the Department’s most recent records for compliance requirements of each property under LL97.

This list has been compiled using preliminary data and is subject to change due to:

- Circumstances unknown to the Department as certified by a professional or through documentation
- Change of circumstances in a building

The CBL is intended as a reference for building owners to consider in consultation with legal representatives and RDPs.

| BBL | BIN (DOB Records) | ADDRESS | ZIP CODE | CP0: Article 320 beginning 2024 | CP1: Article 320 beginning 2026 | CP2: Article 320 beginning 2035 | CP3: Article 321 One-Time Compliance |
|------------|---------------------------|-------------------------|----------|---------------------------------|---------------------------------|---------------------------------|--------------------------------------|
| 1000290086 | 1000851 | 14 SOUTH WILLIAM STREET | 10004 | X | | | |
| 1000297501 | 1078997, 1078998, 1078999 | 48 BEAVER STREET | 10004 | | X | | |
| 1000297502 | 1000841 | 1 HANOVER SQUARE | 10004 | X | | | |
| 1000297503 | 1087244 | 21 SOUTH WILLIAM STREET | 10004 | X | | | |
| 1000300005 | 1000854 | 46 WATER STREET | 10004 | X | | | |
| 1000307501 | 1000855 | 7 HANOVER SQUARE | 10004 | X | | | |
| 1000310001 | 1000859 | 10 HANOVER SQUARE | 10005 | | X | X | |
| 1000317501 | 1085950, 1090087 | 75 WALL STREET | 10005 | X | | | |
| 1000327501 | 1083346 | 43 WATER STREET | 10041 | X | | | |
| 1000330001 | 1000863 | 77 WATER STREET | 10005 | X | | | |

BINs on the LL97 CBL

The CBL identifies compliance pathways associated with all of the buildings/BINs on a specific BBL.

Where there is one BIN on a BBL, this is the compliance pathway that DOB currently expects the BIN to follow.

Where there are multiple BINs on a BBL, DOB does not know which compliance pathway applies to specific BINs on that lot.

Buildings on BBLs that contain multiple BINs must confirm their compliance pathway with DOB via a dispute unless they are following Article 320, beginning 2024 (28-320.3.7).

| BBL | BIN (DOB Records) | ADDRESS | ZIP CODE | CP0: Article 320 beginning 2024 | CP1: Article 320 beginning 2026 | CP2: Article 320 beginning 2035 | CP3: Article 321 One-Time Compliance | CP4: City Portfolio Reductions |
|------------|-------------------|----------------------|----------|---------------------------------|---------------------------------|---------------------------------|--------------------------------------|--------------------------------|
| 1001370005 | 1001488 | 80 WARREN STREET | 10007 | X | | | | |
| 1001370010 | 1090140 | 86 WARREN STREET | 10007 | X | | | | |
| 1001370035 | 1001499 | 90 WEST BROADWAY | 10007 | X | | | | |
| 1001427501 | 1087170, 1087715 | 270 GREENWICH STREET | 10007 | | | X | X | |
| 1001427502 | 1087716 | 200 CHAMBERS STREET | 10007 | X | | | | |

Local Law 97 CBL – further information



You can find information on which buildings are subject to LL97 [on the DOB website](#), and information on the different compliance pathways for covered buildings [on the LL97 CBL Matrix](#).

Building Electrification (LL154)



NYC Energy Conservation Code

Covered Buildings

The square footage of a building, as it appears in the records of the NYC Department of Finance (DOF), determines whether a building may be subject to LL97 compliance. LL97 covers:

1. a building that exceeds 25,000 gross square feet
2. two or more buildings on the same tax lot that together exceed 50,000 square feet
3. two or more condominium buildings governed by the same board of managers and that together exceed 50,000 square feet.

Tax lots are identified by a unique number known as a borough-block-and-lot (BBL). There may be multiple buildings on a BBL. A Building Identification Number (BIN) is a unique identifier for each NYC building. LL97 compliance is required for each BIN on a BBL where the buildings together or separately meet the square foot threshold described previously.

Multiple Buildings on a BBL

When the buildings on a BBL together meet the 50,000 sq. ft. threshold, all buildings on the BBL are subject to LL97. However, each building on the BBL must comply with the appropriate requirements for that building.

An individual building may qualify for an exception, meaning that building is not subject to the requirements of that section of the law. Individual buildings on a BBL may be subject to LL97 under Article 320 beginning in 2024, in 2026, or in 2025, and others may be required to demonstrate compliance just one time under Article 321. The square footage of all buildings, regardless of compliance pathway or exception status, contributes to the combined square footage of the buildings on a BBL, but each building is required to demonstrate compliance with its appropriate section of the law.

NOTE: The Covered Buildings Lists (CBLs) provide information at the BBL level, not at the building

| COMPLIANCE PATHWAY | PROGRAM | COMPLIANCE REQUIREMENTS | BUILDINGS COVERED | DOCUMENTATION REQUIREMENTS | DOB GUIDANCE |
|---|--|---|---|--|--|
| CP0 Article 320 beginning 2024 (28-202.3.7) | Article 320 Covered Buildings | Must comply in full with the reporting requirements and emissions limits of Article 320 with submission of the first report required for May 1, 2025 for the first compliance year of 2024. | Local Law 97 generally covers, with some exceptions: • Buildings that exceed 25,000 gross square feet; • Two or more buildings on the same tax lot that together exceed 50,000 square feet; • Two or more condominium buildings governed by the same board of managers and that together exceed 50,000 square feet. | Contact the NYC Department of Finance at sustainablebuildings@finance.nyc.gov | Article 320 Info Guide |
| CP1 Article 320 beginning 2026 (28-202.3.1a.1) | 1 to <35% Rent Regulated Buildings | May delay compliance with annual building emissions limits until January 1, 2026, and submission of the first report required by section 28-202.3.7 until May 1, 2027 | This pathway includes covered buildings where at least one dwelling unit is required by law or by an agreement with a governmental entity to be regulated in accordance with: • the emergency tenant protection act of 1974, • the rent stabilization law of 1969, • or the local emergency housing rent control act of 1962. But that is not a rent regulated accommodation pursuant to the definition in 28-202.1, which requires buildings to be more than 35% rent-regulated | 1 to <35% Rent regulated If the units in the building are rent stabilized only: DCHCR Certified Annual Registration Summary from the current or previous calendar year, showing number of units under rent stabilization. Owners can request records here: orarecords@dchcr.nyc.gov If the units in the building are rent controlled: a signed letter from a lawyer, confirming that of the dwelling units in the building, 1 or more units but less than 35% of the dwelling units are rent regulated (rent controlled or rent stabilized). | Article 320 Info Guide |
| CP2 Article 320 beginning 2025 (28-202.3.1) | Mitchell Lama | | | Mitchell Lama Certificate of Incorporation certified by the state. Owners can get copies here: https://dos.ny.gov/copies-corporation-or-business-entity-documents | |
| | Income Restricted (DOF Tax Exemptions) | May delay compliance with annual building emissions limits until January 1, 2025, and submission of the first report required by section 28-202.3.7 until May 1, 2026 | This pathway includes covered buildings: • In the Mitchell-Lama program • With at least one income-restricted unit through a DOF tax exemption such as: - 42b-c (Exemption Code 1301) - Public Housing Finance Law (PHFL) Article II (Exemption Code 5109) - PHFL Article IV (Exemption Code 5107) - PHFL Article X (Exemption Codes 5108, 5130) - PHFL Division of Alternative Management Programs (Exemption Code 5129) • With at least one income-restricted unit through HPD | Income Restricted (DOF Tax Exemptions) If providing a regulatory agreement or restrictive declaration pursuant to a tax exemption and only a tax exemption, provide a DOF property tax bill with proof of the exemption. Obtain property tax bills from DOF's Property Tax Public Access Web Portal: https://a336-ptc-access.nyc.gov/careforms/html/frame.aspx?mode=content&home.htm | Article 320 Info Guide |
| | Income Restricted (HPD) | | | Income Restricted (HPD) Copy of active Regulatory Agreement or Restrictive Declaration, executed in connection with one of the programs at left, showing at least one unit with income restriction on it. Obtain regulatory agreements and restrictive declarations here: ACRIS https://www.nyc.gov/site/finance/property/acriscr.page | |
| CP3 Article 321 One-Time Compliance | >30% Rent Regulated | May comply by submitting a report by May 1, 2025 that follows one of two pathways: • The Performance-Based Pathway report, certified by an RDP and showing that the building's calculated emissions for 2024 were under the emissions limit for calendar year 2030. • The Prescriptive Pathway report, certified by a qualified retro-commissioning ("RC") agent and demonstrating the completion (or non-applicability) of the 13 Prescriptive Energy Conservation Measures. | Covered buildings that: • are a rent regulated accommodation - more than 35% of dwelling units are subject to rent regulation, in accordance with: - the emergency tenant protection act of 1974, - the rent stabilization law of 1969, • or the local emergency housing rent control act of 1962, • participate in a project-based federal housing program, such as: - Section 8 Project-Based Rental Assistance ("PBRA") or - Section 202 financing (supportive housing for the elderly); or - Section 811 financing (supportive housing for persons with disabilities); or • Continuum of Care ("CoC") leases serving formerly homeless individuals and families. • are Housing Development Funding Corporation (HDFC) co-ops - which are organized pursuant to the business corporation law and article 11 of the New York state private housing finance law; or • whose main use or dominant occupancy is classified as occupancy group A-3 religious house of worship. | >35% Rent regulated If the units in the building are rent stabilized only: DCHCR Certified Annual Registration Summary from the current or previous calendar year, showing number of units under rent regulation. Owners can request records here: orarecords@dchcr.nyc.gov If the units in the building are rent controlled: a signed letter from a lawyer, confirming that of the dwelling units in the building over 35% are rent regulated (rent controlled or rent stabilized). | |
| | Project-based federal housing program | | | Project-based federal housing program Contract showing proof of the building's active participation in a project-based assistance program. | Article 321 Filing Guide |
| | HDFCs Meeting Article 321 Thresholds | | | | 321 HDFCs Certificate of Incorporation certified by the state. Owners can get copies here: https://dos.ny.gov/copies-corporation-or-business-entity-documents |
| CP4 City Portfolio Reductions 202.1 | Houses of Worship | | | Houses of Worship A completed House of Worship Verification Form and House of Worship Verification Sheet. These can be downloaded at https://www.nyc.gov/assets/buildings/pdf/howverif_form.pdf and https://www.nyc.gov/assets/buildings/pdf/howverif_sheet.pdf | |
| | DCAS | Portfolio-wide reduction managed by DCAS and NYCHA | A building that is owned by the city or for which the city regularly pays all of the annual energy bills, or a cultural institution that is in the Cultural Institutions Group as determined by the department of cultural affairs for which the city regularly pays all or part of the annual energy bills. Exception: The term "city building" shall not include any senior college in the city university of New York system. | City Buildings Documentation that indicates an active lease: Lease document that indicates lessor, lessee, lease duration and any lease extension that will be in place. Entry should also indicate if the entire property or part of the property is being leased. AND Documentation indicating utility payments or agreements: Document that indicates entity paying ALL utility bills. Verification by NYCHA | |
| | NYCHA | | | | |

Changing your building's compliance pathway



The LL97 Covered Buildings List identifies different compliance pathways depending on certain characteristics of the buildings on a lot. Different compliance pathways have different requirements under LL97.

There are two reasons to dispute a building's compliance pathway:

- If your building is the only building on the lot, and you think that the CBL does not identify the correct compliance pathway for your building
- If there are multiple buildings on the lot, and you think your building should comply with any compliance pathway other than Article 320 beginning 2024 (28-320.3.7)

| BBL | BIN (DOB Records) | ADDRESS | ZIP CODE | CP0: Article 320 beginning 2024 | CP1: Article 320 beginning 2026 | CP2: Article 320 beginning 2035 | CP3: Article 321 One-Time Compliance | CP4: City Portfolio Reductions |
|------------|-------------------|----------------------|----------|---------------------------------|---------------------------------|---------------------------------|--------------------------------------|--------------------------------|
| 1001370005 | 1001488 | 80 WARREN STREET | 10007 | X | | | | |
| 1001370010 | 1090140 | 86 WARREN STREET | 10007 | X | | | | |
| 1001370035 | 1001499 | 90 WEST BROADWAY | 10007 | X | | | | |
| 1001427501 | 1087170, 1087715 | 270 GREENWICH STREET | 10007 | | | X | X | |
| 1001427502 | 1087716 | 200 CHAMBERS STREET | 10007 | X | | | | |

1. Applicant submits dispute
 - OLD PROCESS: email ghgemissions@buildings.nyc.gov
 - AS OF THIS WEEK: Submit the CBL Dispute Ticket through BEAM
2. DOB reviews the dispute and documentation, requests more documentation from the applicant if needed
3. DOB requests verification from partner agencies (such as DHCR or DCAS) - Note this step can take weeks
4. DOB determines the appropriate compliance pathway for the building
5. DOB informs the applicant and updates internal records
6. You may have to resubmit documentation that expires – for example Annual Registration Summary documentation showing the number of rent stabilized units

Article 320 (beginning 2026)

1 to <35% Rent regulated

If the units in the building are rent stabilized only: DHCR Certified Annual Registration Summary from the current or previous calendar year, showing number of units under rent stabilization. Owners can request records here: orarecords@hcr.ny.gov

If the units in the building are rent controlled: a signed letter from a lawyer, confirming that of the dwelling units in the building, 1 or more units but less than 35% of the dwelling units are rent regulated (rent controlled or rent stabilized).

Article 320 (beginning 2035)

Mitchell Lama

Certificate of Incorporation certified by the state.

Owners can get copies here: <https://dos.ny.gov/copies-corporation-or-business-entity-documents>

Income Restricted (DOF Tax Exemptions)

If providing a regulatory agreement or restrictive declaration pursuant to a tax exemption and only a tax exemption, provide a DOF property tax bill with proof of the exemption.

Obtain property tax bills from DOF's Property Tax Public Access Web Portal:

<https://a836-pts-access.nyc.gov/care/forms/htmlframe.aspx?mode=content/home.htm>

Income Restricted (HPD)

Copy of active Regulatory Agreement or Restrictive Declaration, executed in connection with one of the programs at left, showing at least one unit with income restriction on it.

Obtain regulatory agreements and restrictive declarations here: ACRIS

<https://www.nyc.gov/site/finance/property/acris.page>

DOB is working with our government agency partners to resolve all disputes as rapidly as possible.

However, if a CBL dispute hasn't been resolved by the reporting deadline, building owners should submit a report reflecting their view of the building's compliance pathway, along with any supporting documentation about its status.

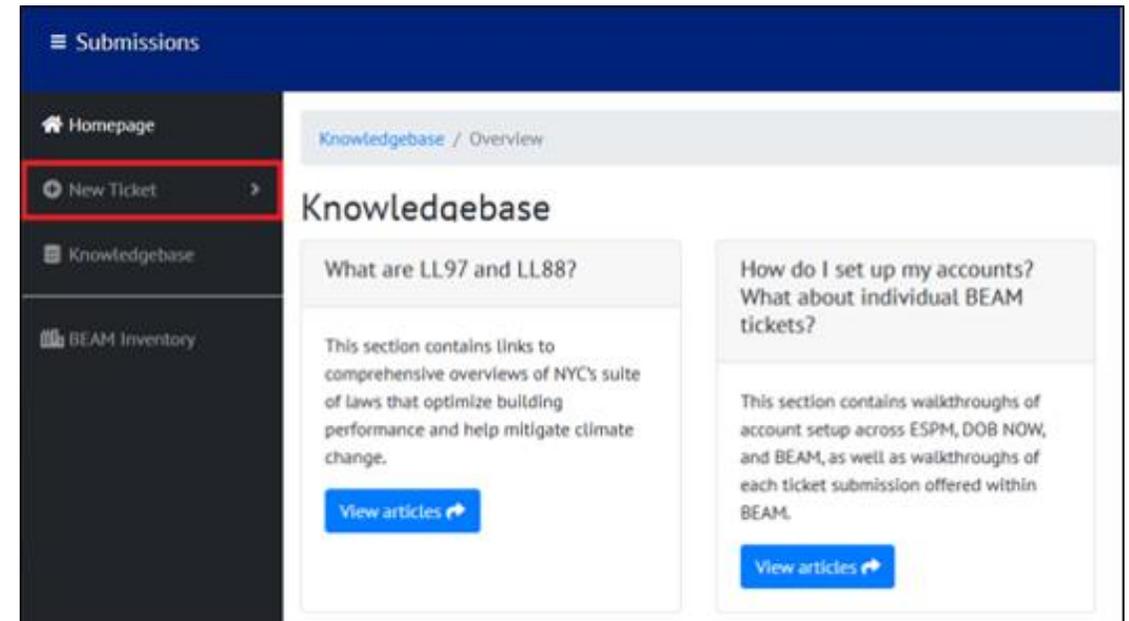
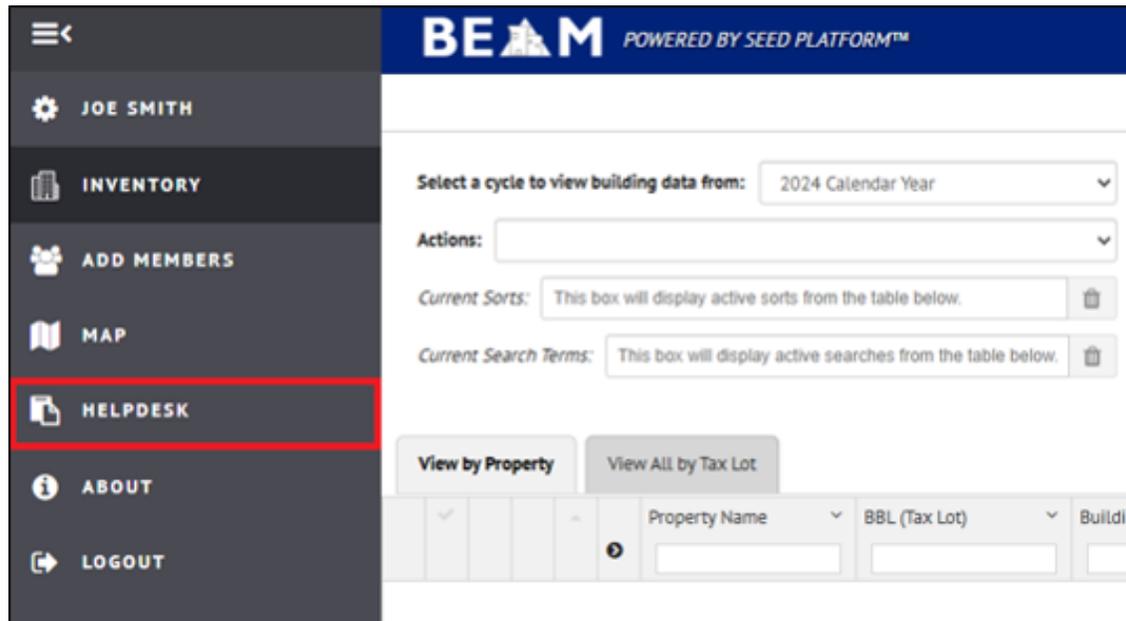
Where a dispute is not resolved by the reporting deadline, a building owner should not wait past the deadline to submit a report.

If a building submits for a compliance path that DOB finds to be inaccurate, DOB will work with the building owner to help them achieve compliance with the correct pathway.

LL97 Covered Building List Disputes

On the BEAM Platform at nyc.beam-portal.org, from the left sidebar, navigate to **Helpdesk**. Then again from the left sidebar, click **New Ticket**, then select **01. LL97 Covered Building List (CBL) Disputes**.

You do **not** need a BEAM account or a DOB NOW payment confirmation to submit a disputes ticket



- Select **01. LL97 Covered Building List (CBL) Disputes**.

Submit a 01. LL97 Covered Building List (CBL) Disputes

The "LL97 Covered Building List (CBL) Disputes" ticket may be used to dispute the inclusion or exclusion of a building on the [LL97 CBL](#).

NOTE: A DOB NOW Payment Confirmation Number is not needed to access this ticket.

A complete "LL97 Covered Building List (CBL) Disputes" ticket must include all of the following:

1. Building address (as it appears on BIS), Borough-Block-Lot (BBL) and Building Identification Number (BIN).
2. Answers to a series of questions to identify the type of CBL dispute or applicable exception.
3. Upload of all applicable supporting documentation.

LL97 Covered Building List Disputes

Enter **Building Address** (as seen on BIS), **BBL, BIN** (as seen on BIS), and **Other BINS**.

Note: A dispute can only cover multiple BINs where the documentation covers multiple BINs. Where documentation is specific to the building, the dispute must be specific to the BIN.

Enter Building Address*

[Enter address as it appears on NYC DOB BIS.](#)

Enter Borough-Block-Lot (BBL)*

[Enter BBL as it appears on LL97 CBL.](#)

BBLs must be 10 numerical digits, including any leading zeros for the block and lot (i.e. 1012234067). There should be no dashes, spaces, or other characters within the digits.

Enter Building Identification Number (BIN)*

[Enter BIN as it appears on LL97 CBL.](#)

BINs must be 7 numerical digits (i.e. 1234567) There should be no dashes, spaces, or other characters within the digits.

Are any other BINs covered by this dispute?

Please separate all BINs only by semi-colons, e.g. "XXXXXXX;YYYYYYY".

LL97 Covered Building List Disputes

- Select your dispute from the dropdown menu.
- You can find information on which buildings are subject to LL97 [on the DOB website](#), and information on the different compliant pathways for covered buildings [on the LL97 CBL Matrix](#).

What is your dispute?*

1. My building is listed on the CBL and it shouldn't be
2. I need to update my building's compliance pathway
3. My building is not listed on the CBL and it should be

1. My Building is listed on the CBL and it shouldn't be

- If you select "1. My Building is listed on the CBL and it shouldn't be" an option will appear
- Select why your building should be removed from the CBL

What is your dispute?*

1. My building is listed on the CBL and it shouldn't be

You can find information on which buildings are subject to LL97 [on the DOB website](#), and information on the different compliant pathways for covered buildings [on the LL97 CBL Matrix](#).

Please select why your building should be removed from the CBL

1. My building should not be covered by LL97 due to its size

1. My building should not be covered by LL97 due to its size

2. My building is a utility

3. My building is a garden style apartment

4. My building is a city building

5. My building is a NYCHA building

6. My building has been demolished

7. My building is a new building and has no CoO

8. Change of ownership

9. Other

1. My Building is listed on the CBL and it shouldn't be

If your building should not be covered by Local Law 97 due to its size, or the number of buildings on the lot please submit the following supporting documentation and provide an explanation of your dispute:

- Correspondence with the Department of Finance relating to this dispute.
 - If you do not have this, please contact the NYC Department of Finance at sustainablebuildings@finance.nyc.gov. Please include the following in the email:
 - borough, block, and lot number of such building(s);
 - contact information: name, email address and/or telephone number;
 - explanation of your dispute and RDP certification if applicable.

If your building is a utility, please submit the following supporting documentation and provide an explanation of your dispute:

- An email from the utility that confirms the BBL, BIN and address of the building used for the generation of electric power or steam.

Please submit documentation supporting your dispute

No file chosen

Please provide an explanation of your dispute.*

1. My Building is listed on the CBL and it shouldn't be

If your building is a garden-style apartment, please submit the following supporting documentation signed and stamped by a registered design professional (RDP):

- Documentation demonstrating the covered building is three stories or less.
- NYC Department of Finance (DOF) tax records classifying the covered building as residential Property Type.
- Proof of the occupancy group on the Certificate of Occupancy (CO).
- Provide a statement that no central HVAC or hot-water systems in the covered building serve more than 25,000 (2322.5 m²) gross square feet.
- Provide a date stamped picture of the building, within the past year, with a geo-tag.
- A single letter may cover multiple lots, blocks, or BBLs, as long as they are contiguous and under the same ownership in DOF records.

Please submit documentation supporting your dispute

No file chosen

Please provide an explanation of your dispute.*

1. My Building is listed on the CBL and it shouldn't be

If your building is a city building, please submit the following documentation and provide an explanation of your dispute:

- Proof of regulatory agreement with the city.

If your building is a NYCHA building, please submit the following documentation and provide an explanation of your dispute:

- An email from NYCHA that confirms the BBL, BIN and address of the building.

If your building has been demolished, please submit the following documentation and provide an explanation of your dispute:

- BBL, BIN and address for such building, and the demolition permit

If your building is a new building, please submit the following documentation and provide an explanation of your dispute:

- BBL, BIN and address for such building, and the work permit, where the building does not have a Certificate of Occupancy.

Please submit documentation supporting your dispute

No file chosen

Please provide an explanation of your dispute.*

1. My Building is listed on the CBL and it shouldn't be

If the ownership of the building has changed, please submit the following and provide an explanation of your dispute:

- BBL, BIN and address for such building
- Copy of the deed
- Notarized affidavit stating that there is no relationship between the previous owner and the subsequent bona fide purchaser. If the subsequent bona fide purchase is an entity, the affidavit must be on the entity's letterhead and signed by the owner or an officer of the entity. The affidavit must include:
- The name of the subsequent bona fide purchaser
- A statement that the subsequent bona fide purchaser did not receive the property as a gift
- A statement that the subsequent bona fide purchaser had no interest or relationship with the prior owner at the time of purchase; and
- A statement that the subsequent bona fide purchaser is not acting in any way for the benefit of the prior owner

Please submit documentation supporting your dispute

No file chosen

Please provide an explanation of your dispute.*

2. I need to update my building's compliance pathway

- If you select "2. I need to update my building's compliance pathway" an option will appear
- Select "the compliance pathway that should be listed for your building" with the correct compliance pathway.

What is your dispute?*

2. I need to update my building's compliance pathway

You can find information on which buildings are subject to LL97 [on the DOB website](#), and information on the different compliant pathways for covered buildings [on the LL97 CBL Matrix](#).

Please select the compliance pathway that should be listed for your building.

Compliance Pathway 1 - Article 320 beginning 2026 (28-320.3.10.1)

Compliance Pathway 2 - Article 320 beginning 2035 (28-320.3.9)

Compliance Pathway 3 - Article 321 One-Time Compliance

2. I need to update my building's compliance pathway

- If you select "**Compliance Pathway 1 – Article 320 beginning 2026 (28-320.3.10.1)**" confirm that you understand the documentation requirements for Compliance Pathway 1.

Please select the compliance pathway that should be listed for your building.

Compliance Pathway 1 - Article 320 beginning 2026 (28-320.3.10.1) 

Please confirm that you understand the documentation requirements for Compliance Pathway 1 - Article 320 beginning 2026 (28-320.3.10.1)

At least one dwelling unit but no more than 35% of dwelling units are rent regulated.

2. I need to update my building's compliance pathway

- If you select "**Compliance Pathway 1 – Article 320 beginning 2026 (28-320.3.10.1)**" you must input the following in the boxes below.

In the boxes below, please input:

- DHCR Building Registration Number (BRN)
- Year of most recent DHCR registration for this building
- The number of rent stabilized units in this building
- The number of dwelling units in this building (based on [HPD](#) or [DOF](#))

DHCR Building Registration Number (BRN)

Year of most recent DHCR registration for this building

Number of rent stabilized units in the building

Number of dwelling units in the building

2. I need to update my building's compliance pathway

- If you select "**Compliance Pathway 1 – Article 320 beginning 2026 (28-320.3.10.1)**" you must upload the following supporting documentation and provide an explanation of your dispute:
 - DHCR Certified Annual Registration Summary from the current or previous calendar year, showing number of units under rent regulation. Owners can request records here: orarecords@hcr.ny.gov.
 - If the number of rent controlled units determines the building's compliance pathway, please supply a signed letter from a lawyer, confirming that of the dwelling units in the building, 1 or more units but less than 35% of the dwelling units are rent regulated (rent controlled or rent stabilized).

Please submit documentation supporting your dispute

No file chosen

Please provide an explanation of your dispute.*

2. I need to update my building's compliance pathway

- If you select "**Compliance Pathway 2 – Article 320 beginning 2035 (28-320.3.9)**" confirm that you understand the documentation requirements for Compliance Pathway 2.

Please select the compliance pathway that should be listed for your building.

Compliance Pathway 2 - Article 320 beginning 2035 (28-320.3.9) ▼

Please confirm that you understand the documentation requirements for Compliance Pathway 2 - Article 320 beginning 2035 (28-320.3.9)

It is in the Mitchell Lama program:

- Please submit a Certificate of Incorporation certified by the state.
- Owners can get copies here: <https://dos.ny.gov/copies-incorporation-or-business-entity-documents>

It is Income Restricted via a DOF Tax Exemption:

- If the building contains at least one income-restricted unit through a DOF tax exemption such as:
 - 420-c (Exemption Code 1301)
 - Public Housing Finance Law ("PHFL") Article II (Exemption Code 5109)
 - PHFL Article IV (Exemption Code 5107)
 - PHFL Article V (Exemption Code 5108)
 - PHFL Article XI (Exemption Codes 5106, 5130)
 - PHFL Division of Alternative Management Programs (Exemption Code 5129)
- If providing a regulatory agreement or restrictive declaration pursuant to a tax exemption and only a tax exemption, provide a DOF property tax bill with proof of the exemption.
- You can obtain property tax bills from DOF's Property Tax Public Access Web Portal: <https://a836-pts-access.nyc.gov/care/forms/htmlframe.aspx?mode=content/home.htm>

It contains at least one unit that is income-restricted through a regulatory agreement with HPD:

- Please submit a copy of an active Regulatory Agreement or Restrictive Declaration, executed in connection with one of the programs at left, showing at least one unit with income restriction on it.
- You can obtain regulatory agreements and restrictive declarations here: ACRIS <https://www.nyc.gov/site/finance/property/acris.page>

2. I need to update my building's compliance pathway

- Select why your building is subject to **Compliance Pathway 2 – Article 320 beginning 2035 (28-320.3.9)**

Please select why your building is subject to Compliance Pathway 2 - Article 320 beginning 2035 (28-320.3.9)

1. Mitchell Lama
2. Income Restricted (Tax Exemptions)
3. Income Restricted (HPD)

Date of contract expiration

2. I need to update my building's compliance pathway

- If you select **Compliance Pathway 2 – Article 320 beginning 2035 (28-320.3.9)** and
- If you select **1. Mitchell Lama** submit the following supporting documentation and provide an explanation of your dispute.
 - Certificate of Incorporation certified by the state.
 - Owners can get copies here: <https://dos.ny.gov/copies-corporation-or-business-entity-documents>

Please submit documentation supporting your dispute

No file chosen

Please provide an explanation of your dispute.*

2. I need to update my building's compliance pathway

- If you select **Compliance Pathway 2 – Article 320 beginning 2035 (28-320.3.9)** and
- If you select **2. Income Restricted (Tax Exemptions)** submit the following supporting documentation and provide an explanation of your dispute.
 - If the building contains at least one income-restricted unit through a DOF tax exemption such as:
 - 420-c (Exemption Code 1301)
 - Public Housing Finance Law (“PHFL”) Article II (Exemption Code 5109)
 - PHFL Article IV (Exemption Code 5107)
 - PHFL Article V (Exemption Code 5108)
 - PHFL Article XI (Exemption Codes 5106, 5130)
 - PHFL Division of Alternative Management Programs (Exemption Code 5129)
 - If providing a regulatory agreement or restrictive declaration pursuant to a tax exemption and only a tax exemption, provide a DOF property tax bill with proof of the exemption.
 - You can obtain property tax bills from DOF’s Property Tax Public Access Web Portal: <https://a836-pts-access.nyc.gov/care/forms/htmlframe.aspx?mode=content/home.htm>

Please submit documentation supporting your dispute

No file chosen

Please provide an explanation of your dispute.*

2. I need to update my building's compliance pathway

- If you select **Compliance Pathway 2 – Article 320 beginning 2035 (28-320.3.9)** and
- If you select **3. Income Restricted (HPD)** submit the following supporting documentation and provide an explanation of your dispute.
 - An active Regulatory Agreement or Restrictive Declaration, executed in connection with one of the programs at left, showing at least one unit with income restriction on it.
 - You can obtain regulatory agreements and restrictive declarations here:
ACRIS <https://www.nyc.gov/site/finance/property/acris.page>

Please submit documentation supporting your dispute

No file chosen

Please provide an explanation of your dispute.*

2. I need to update my building's compliance pathway

- If you select "**Compliance Pathway 3 – Article 321 One-Time Compliance**" confirm that you understand the documentation requirements for Compliance Pathway 3.

Please select the compliance pathway that should be listed for your building.

Compliance Pathway 3 - Article 321 One-Time Compliance

Please confirm that you understand the documentation requirements for Compliance Pathway 3 - Article 321 One-Time Compliance

If your building is more than 35% rent regulated:

- DHCR Certified Annual Registration Summary from the current or previous calendar year, showing number of units under rent regulation. Owners can request records here: orarecords@hcr.ny.gov
- If the number of rent controlled units determines the building's compliance pathway, please supply a signed letter from a lawyer, confirming that of the dwelling units in the building over 35% are rent regulated (rent controlled or rent stabilized).

In the boxes below, please input:

- DHCR Building Registration Number (BRN)
- Year of most recent DHCR registration for this building
- The number of rent stabilized units in this building
- The number of dwelling units in this building (based on [HPD](#) or [DOF](#))

If your building participates in a project-based federal housing program, such as:

- Section 8 Project-Based Rental Assistance ("PBRA"); or
- Section 202 financing (supportive housing for the elderly); or
- Section 811 financing (supportive housing for persons with disabilities); or
- Continuum of Care ("CoC") leases serving formerly homeless individuals and families.

Please submit a contract showing proof of the building's active participation in a project-based assistance program.

If it is a real property owned by a housing development fund company organized pursuant to the business corporation law and article eleven of the private housing finance law:

- Please submit a Certificate of Incorporation certified by the state. Owners can get copies here: <https://dos.ny.gov/copies-corporation-or-business-entity-documents>.

If it is a building whose main use or dominant occupancy is classified as occupancy group A-3 religious house of worship:

- Please submit the ['House of Worship Verification Form'](#); and ['House of Worship Use Verification Sheet'](#).

3. My building is not listed on the CBL and it should be

- If you select "3. My Building is not listed on the CBL and it should be" you must upload the following supporting documentation and an explanation of your dispute.
- Correspondence with the Department of Finance relating to the building's square footage.
 - If you do not have this, please contact the NYC Department of Finance at sustainablebuildings@finance.nyc.gov. Please include the following in the email:
 - borough, block, and lot number of the building;
 - contact information: name, email address and/or telephone number;
 - explanation of your dispute and RDP certification if applicable.

What is your dispute?*

3. My building is not listed on the CBL and it should be

You can find information on which buildings are subject to LL97 [on the DOB website](#), and information on the different compliant pathways for covered buildings [on the LL97 CBL Matrix](#).

Please submit documentation supporting your dispute

Choose File No file chosen

Please provide an explanation of your dispute.*

Uploading files

- Provide any explanation of your dispute that you think is needed
- If needed, upload additional documentation
- Label files clearly for easier processing
- If you have too many files, combine them in a single PDF

Please provide an explanation of your dispute.*

Please provide any additional documentation supporting your dispute, if applicable.

No file chosen

Please provide any additional documentation supporting your dispute, if applicable.

No file chosen

Please provide any additional documentation supporting your dispute, if applicable.

No file chosen

Please provide any additional documentation supporting your dispute, if applicable.

No file chosen

LL97 Covered Building List Disputes

- Click **Submit Ticket** to submit your **LL97 Covered Building List Dispute ticket**.

Submit Ticket

Webinar Schedule

| Webinar Date | BEAM (Ticket Name) |
|--------------|---|
| 2/28/2025 | Overview of LL97 Reporting Process |
| 3/5/2025 | Benchmarking Forum |
| 3/7/2025 | Article 321 Compliance Filing: Part 1 LL97 Compliance Report (Article 321) |
| 3/11/2025 | Article 320 Filing: Part 1 LL97 Building Emissions Limit & RDP Attestation (Article 320), LL97 Deductions and Alternatives to Calculating Annual Building Emissions (Article 320 and Article 321). |
| 3/14/2025 | Article 321 Compliance Filing: Part 2 LL97 Penalty Mitigation (Article 321), LL97 Covered Building List (CBL) Disputes. |
| 3/18/2025 | Article 320 Continued: Part 2 LL97 Penalty Mitigation (Good Faith Efforts), LL97 Covered Building List (CBL) Disputes. |
| 3/20/2025 | LL88 Lighting & Sub-Metering |
| 3/25/2025 | LL97 Application for §320.7 Adjustment |
| 4/01/2025 | Offsets |

DOB Webinars

Questions and Inquiries?

Contact: BEAM_LL97@buildings.nyc.gov

An aerial, high-angle photograph of a dense urban landscape, likely New York City, showing a vast expanse of skyscrapers and buildings. The image is in black and white, with a blue tint applied to the bottom portion. The text "THANK YOU!" is prominently displayed in the center in a large, white, sans-serif font.

THANK YOU!

build safe | live safe

NYC
Buildings