



**DOB WEBINAR SERIES – SESSION 5:
ARTICLE 321 PENALTY MITIGATION
AND COVERED BUILDINGS LIST (CBL)**

DISPUTES

March 14th, 2025

presented by

DOB Sustainability Bureau

NYC
Buildings

Presenters

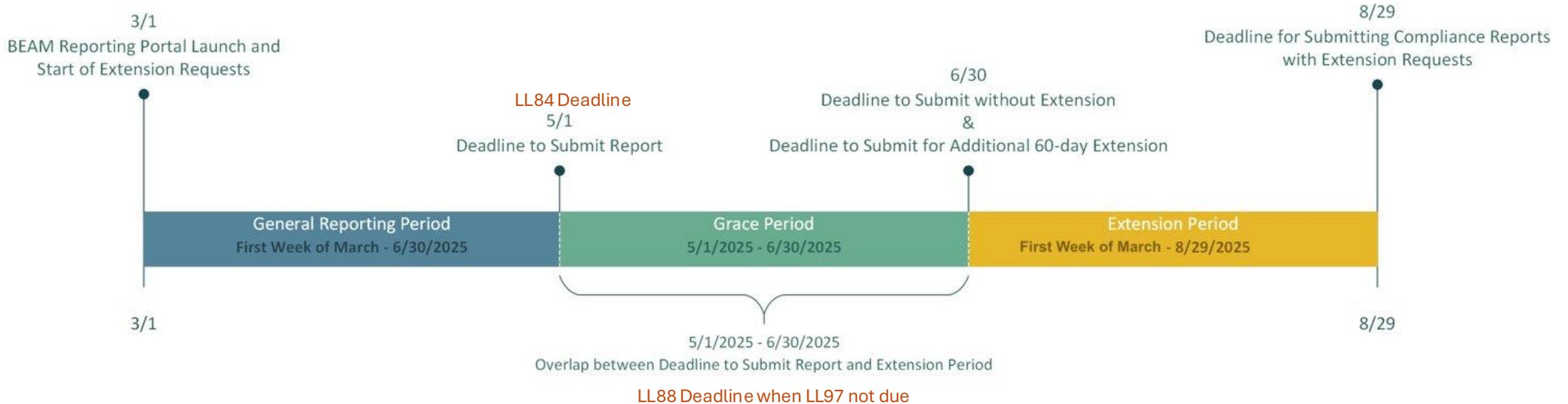
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LL97 Timeline

LL97 TIMELINE

For Filing Extensions and Submitting Compliance Reports

LL88 follows LL97 deadline when submitted together



Local Law 97 Reporting Process



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

- Owner
- Owner Representative
- Service Provider (RDP/RCxA/etc) - *optional*

Once in BEAM, you will be able to add additional users.

Article 321 Covered Buildings

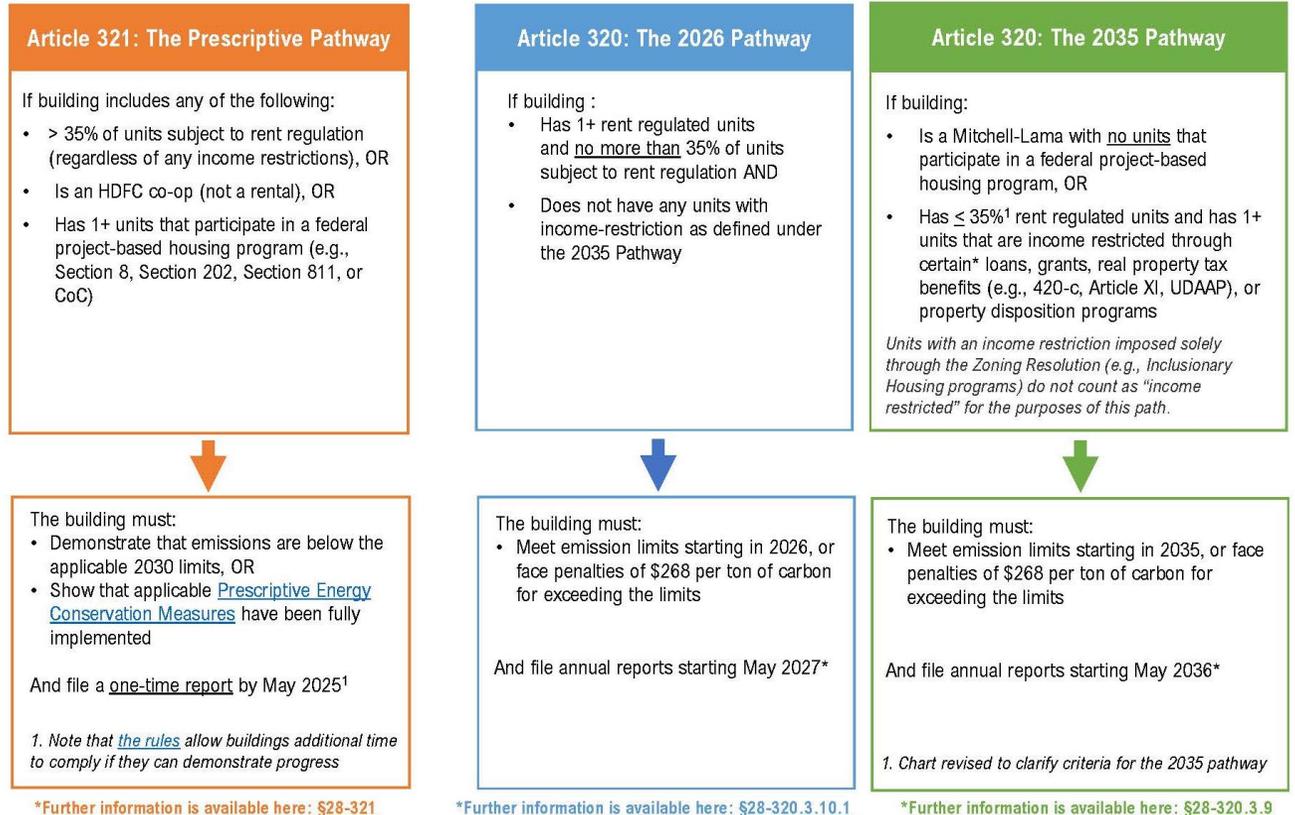
Affordable housing

- Further information on Article 321 can also be found at [HPD's LL97 Guidance webpage](#)

Houses of Worship

- “Main use or dominant occupancy is classified as occupancy group A-3 religious house of worship”
- [House of Worship Verification Form](#)
- [House of Worship Use Verification Sheet](#)

LL97 covered buildings[†] with rent regulated and/or affordable units must follow one of the pathways below:



[†]LL97 generally covers, with some exceptions: buildings that exceeds 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.

Article 321 Penalty Mitigation

Step 1: DOB NOW Filing Fees

When an owner of a covered building subject to Article 321 is **unable to demonstrate timely compliance with** either NYC Administrative Code §28-321.2.1 (**performance-based pathway**) or §28-321.2.2 (**prescriptive pathway**), such owner may apply for penalty mitigation in one of the following ways:

1. **Mediated Resolution**; or
2. **Eligible Energy Conservation Project** (EECP, see this HPD resource [here](#)); or
3. **Unexpected or Unforeseeable Event** (Rare)

This presentation will cover how to pursue **Penalty Mitigation** for a covered building subject to Article 321, including:

1. DOB NOW Filing Fee for Article 321 Penalty Mitigation
2. Filing an LL97 Penalty Mitigation (Article 321) ticket
3. Preparing and submitting supporting documentation

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.

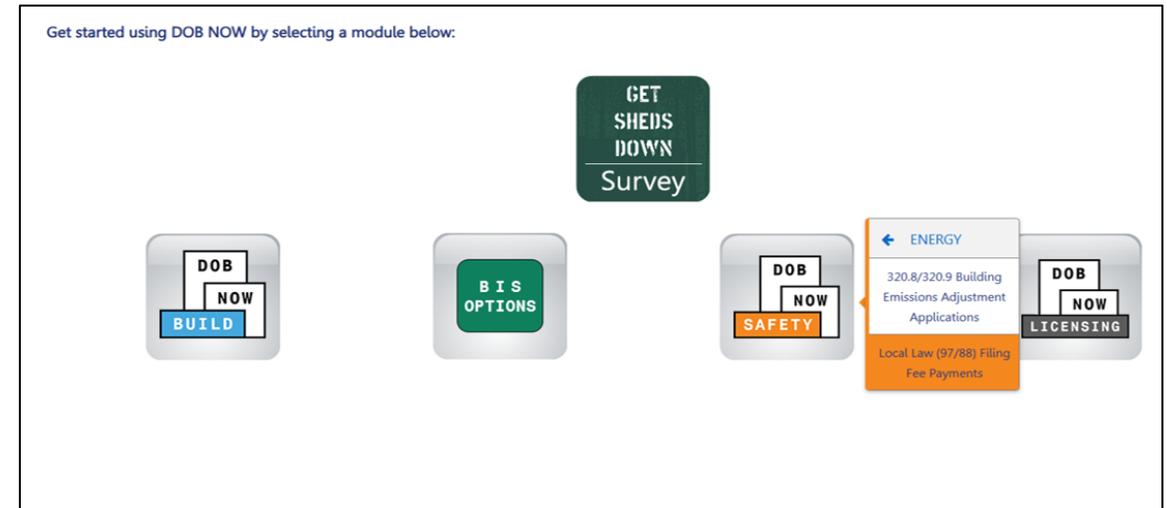
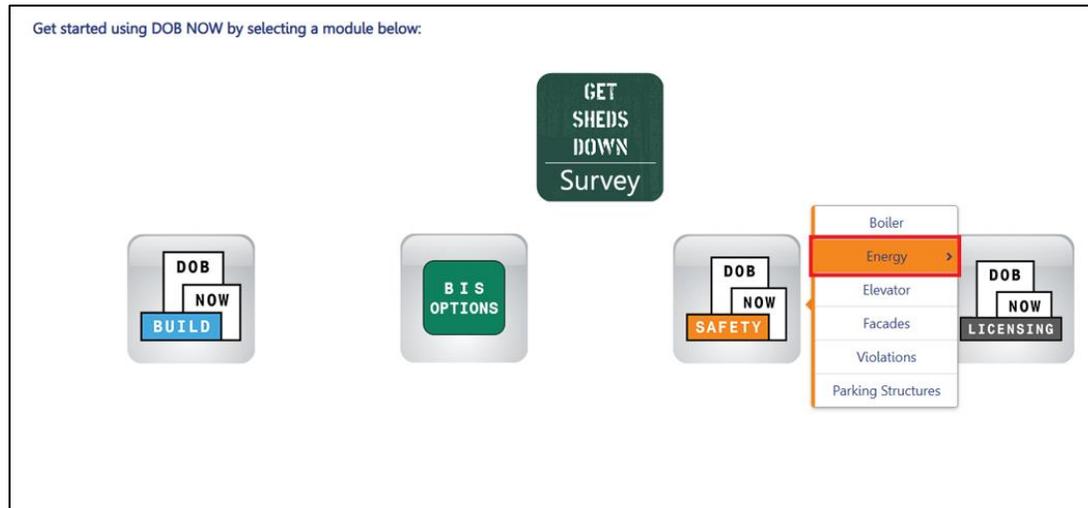
- Owner
- Owner Representative
- Service Provider (RDP/RCxA)

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 321 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 321 Penalty Mitigation Filing Fee



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

The screenshot shows the NYC Department of Buildings Local Law Payments dashboard. At the top, there is a header with the 'DOB NOW SAFETY' logo and the text 'NYC Department of Buildings Local Law Payments'. Below the header, there are two buttons: '+ Local Law 97 Payment' (highlighted with a red box) and '+ Local Law 88 Payment'. Underneath these buttons are two tabs: 'Local Law 97 Fee Payments' and 'Local Law 88 Fee Payments'. The 'Local Law 97 Fee Payments' tab is active, displaying a table with the following data:

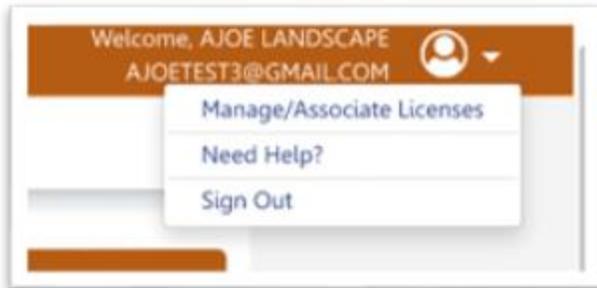
View...	Actions	Transaction Number	Transaction Status	Payment Status
<input type="checkbox"/>	Select Action: <input type="button" value="v"/>	LL97000001041	Pre-filing	Due

Article 321 Penalty Mitigation Filing Fee

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" registration 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*", "Zip Code*", and "Business Telephone".

Article 321 Penalty Mitigation Filing Fee



- Under **Owner Information**, select **Owner Type**.
- The following owner types are **fee exempt**:
 1. Buildings owned by a not-for-profit corporation that is used exclusively for educational, charitable and/or religious purposes,
 2. 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.

The screenshot shows a web form titled "Stakeholders*" with a right-pointing arrow. Below the title is the question "Are you an:" followed by two radio button options: "Owner" (which is selected) and "Owner's Representative (also provide Owner Information)". Below this is a tabbed interface with two tabs: "Owner Information*" (active) and "Owner's Representative". The "Owner Information*" tab contains several input fields: "Email*" (with placeholder "Please enter email address"), "Owner Type*" (a dropdown menu with "Select Type:" and a downward arrow, highlighted with a red box), "Service Provider (RDP/RCxA) email address", "First Name", "Middle Initial", "Last Name", "Business Name*", "Business Address*", "City*", "State*", "Zip Code*", and "Business Telephone".

Article 321 Penalty Mitigation Filing Fee



- Select **Article 321** to indicate your compliance pathway.
- 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 321 Penalty Mitigation Filing Fee

- Select one the following:
 1. Mediated resolution (RCNY 103-17(g))
 2. Unexpected or Unforeseeable Event (RCNY 103-17(f)(1))
 3. Eligible Energy Conservation Alteration Project (RCNY 103-17(f)(2))

In this example, we've selected Mediated Resolution, which is likely to be the selected option.

The screenshot shows a web form titled "Article 321 Information*" with a right-pointing arrow. Below the title is a question: "What type of Article 321 compliance report will you be filing in the LL97 Reporting Portal?*" There are four radio button options: "Compliance Report - Energy Compliant Building or Prescriptive Energy Conservation Measures (28-321.3; RCNY 103-17(b)(1))", "Mediated resolution (RCNY 103-17(g))", "Unexpected or Unforeseeable Event (RCNY 103-17(f)(1))", and "Eligible Energy Conservation Alteration Project (RCNY 103-17(f)(2))". The "Mediated resolution" option is selected, indicated by a blue checkmark in a box. Below the options is a text input field labeled "Article 321 compliance report Payment Confirmation number*" with a placeholder text "Enter Compliance Report Payment Confirmation number like 97321CR000001007". A red rectangular box highlights the "Mediated resolution" option and the "Payment Confirmation number" field.

Article 321 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 321 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 & Add**.

Building Identification Number

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

Total Items: 1

1 / 1 Items Per Page 10

1 - 1 of 1 items

Select & Add 1 Cancel

Article 321 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 321 Penalty Mitigation Filing Fee



- 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.

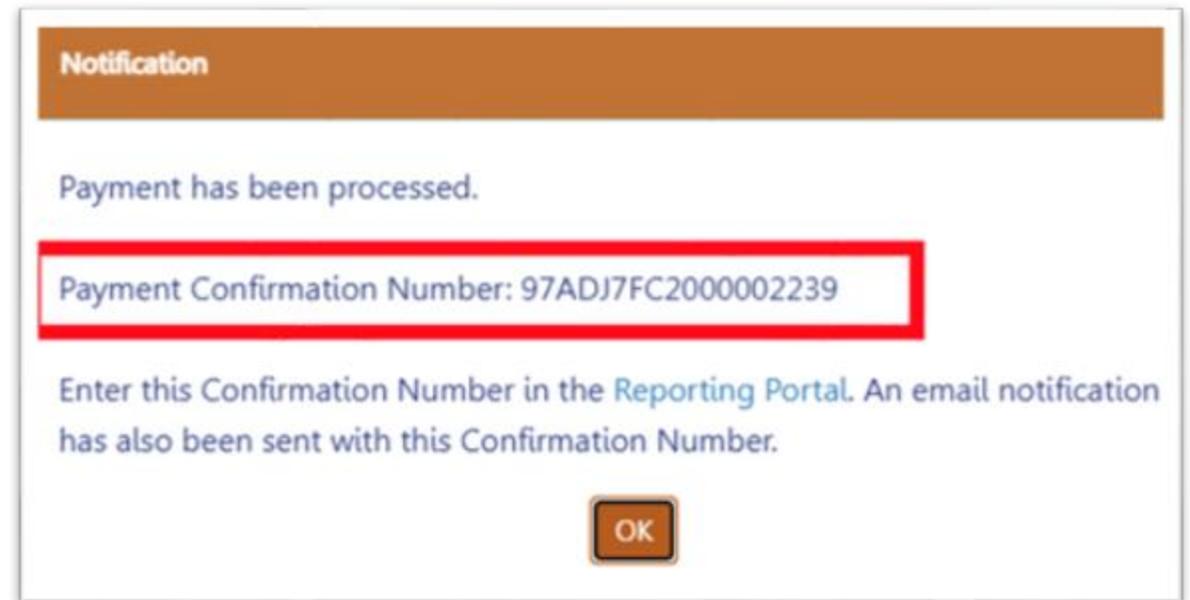
Please confirm that your pop-up blocker is turned off before clicking on the Pay Now button.

Pay Now **Cancel**

- 321 Penalty Mitigation Filing Fees:
- Mediated Resolution: \$800
 - Eligible Energy Conservation Project: \$210
 - Unexpected or Unforeseeable Event: \$60

Article 321 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 into 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 321 Penalty Mitigation

Step 2: Apply in BEAM

- a) Mediated Resolution
- b) Eligible Energy Conservation Project (EECP)
- c) (Rare) Unexpected or Unforeseeable Event

When an owner of a covered building subject to Article 321 is **unable to demonstrate timely compliance with** either NYC Administrative Code §28-321.2.1 (**performance-based pathway**) or §28-321.2.2 (**prescriptive pathway**), such owner may apply for penalty mitigation in one of the following ways:

- **Mediated Resolution**; or
- **Eligible Energy Conservation Project** (EECP - see [resource and form](#)); or
- **(Rare) Unexpected or Unforeseeable Event**

Penalty mitigation requests have the same deadline as the compliance report (see the Timeline on Slide 3) and require supporting documentation, uploaded to the reporting portal, that verifies one of three circumstances

Finding the Penalty Mitigation (Article 321) ticket

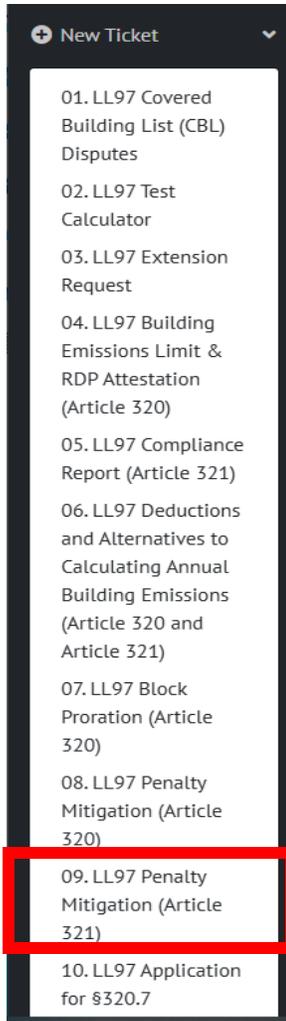
On the BEAM Platform at nyc.beam-portal.org, from the left sidebar, navigate to **Helpdesk**. Then again from the left sidebar, click **New Ticket**, then select **09. LL97 Penalty Mitigation (Article 321)**.

The screenshot shows the BEAM platform dashboard. The left sidebar has a red box around the 'HELPDESK' menu item. The main content area shows a 'Properties' section with filters for 'Select a cycle to view building data from:' (2023 Calendar Year), 'Actions:', 'Current Sorts:', and 'Current Search Terms:'. Below this is a table with columns: Property Name, Portfolio, BBL (Tax Lot), Building ID Number (B...), and Address DOF. The table contains several rows of 'Office' properties, with the last row highlighted in blue.

Property Name	Portfolio	BBL (Tax Lot)	Building ID Number (B...)	Address DOF
Office				
Office		1000010010		
Office				
Office				
Office				

The screenshot shows the Knowledgebase page. The left sidebar has a red box around the 'New Ticket' button. The main content area shows the 'Knowledgebase / Overview' section with a 'New Ticket' button. Below this is a section titled 'Local Law 97 (LL97) Requirements' with a 'View articles' button. To the right is a 'Resource Library' section with a 'View articles' button. At the bottom right, it says 'Powered by django-helpdesk.'

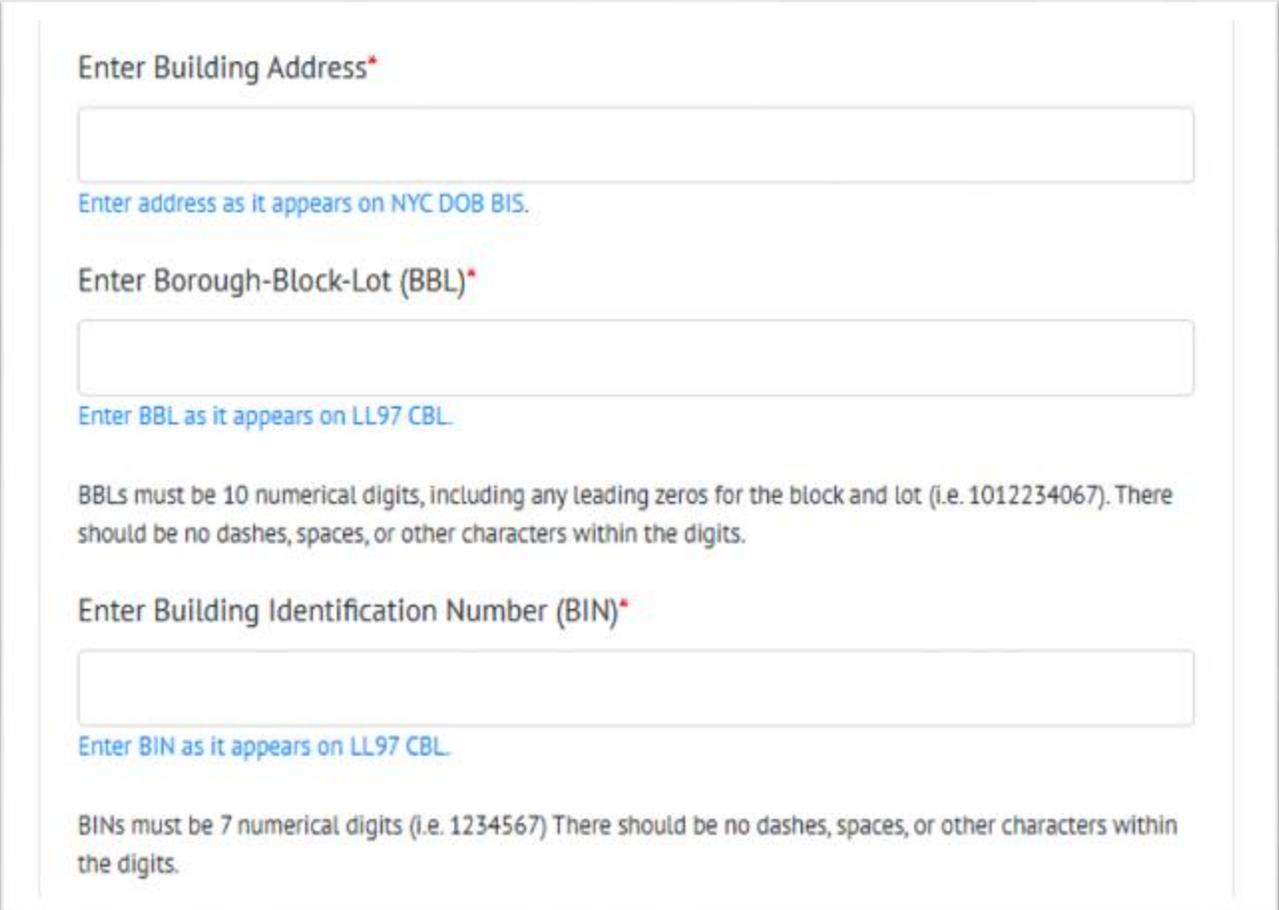
Step 1: Create Penalty Mitigation (Article 321) Ticket



1. On the BEAM Portal, from the left sidebar, navigate to **Helpdesk**, then select **New Ticket** then select **09. LL97 Penalty Mitigation (Article 321)**.
2. A complete **“09. LL97 Penalty Mitigation (Article 321)”** 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) or Qualified Retro-Commissioning (RCx) Agent attestation, as applicable
 4. DOB NOW Payment Confirmation Number.
 1. Mediated Resolution Reports (i.e. 97321MRxxxxx); or
 2. Eligible Energy Conservation Project (EECP) (i.e. 97321Exxxxxx); or
 3. Unexpected or Unforeseeable Event (i.e. 97321Uxxxxx).

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. Each field has a label, a text box, a blue instruction link, and a detailed instruction paragraph. The first field is for the Building Address, the second for the Borough-Block-Lot (BBL), and the third for the Building Identification Number (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.

Step 2: Select Mitigating Factor Type

There are three mitigating factor types to choose from:

- a) Mediated Resolution
- b) Eligible Energy Conservation Project (EECP)
- c) (Rare) Unexpected or Unforeseeable Event

Step 2a: Mediated Resolution

Mediated resolution is an option for **building owners** who can demonstrate that they are **making diligent efforts** to comply with **Article 321 but need additional time for completion**.

Required documentation includes:

1. **A work plan**, describing either:
 - a) **How the building will comply with 2030 emissions limits by 2030**, including estimated emissions reduction of proposed renovations and how such renovations will be financed and implemented, as certified by an RDP ; or
 - b) **How the 13 PECMs will be completed by December 31, 2025**, including which vendors are responsible, as certified by an RCx agent.

2. For CY2024, an **energy benchmarking report** as outlined in Article 309.

NOTE: This applies even when an Article 321 covered building is not otherwise subject to Article 309.

Step 2a: Mediated Resolution

1. Select the mitigating factor type: **Mediated Resolution**
2. Click "**Choose file**" and upload all applicable supporting documentation in a single document.
Documentation must include:
 1. A work plan describing either:
 - a. For achieving compliance with 2030 emissions limits by 2030, as certified by an RDP; or
 - b. How the PECMs will be completed by December 31, 2025, as certified by an RCx agent.
3. **Check the box** under "Please confirm that the annual benchmarking report was submitted by this property for the previous calendar year pursuant to LL84."

Please select the mitigating factor type:

Mediated Resolution

Please provide the following documentation to apply for a mediated resolution:

Choose File No file chosen

Documentation must include:

1. A work plan describing either:

a. How the building will comply with 2030 emissions limits by 2030, including estimated emissions reduction of proposed renovations and how such renovations will be financed and implemented, as certified by an RDP; or

b. How the PECMs will be completed by December 31, 2025, including which vendors are responsible, as certified by an RCx agent.

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

Step 2b: Eligible Energy Conservation Project (EECP)

1. Select the mitigating factor type: **Eligible Energy Conservation Project (EECP)**
2. "**Choose file**" and upload all applicable supporting documentation in a single document. Please provide the following:
 1. Commitment from state/local agency of governmental assistance; AND
 2. [EECP Narrative Form](#) and corresponding documentation as identified in the form

Please select the mitigating factor type:

Eligible Energy Conservation Project (EECP) ▾

Please provide documentation certifying the eligible energy conservation project.

Choose File No file chosen

Please provide the following:

1. Commitment from state/local agency of governmental assistance; AND
2. [EECP Narrative Form](#) and corresponding documentation as identified in the form

Step 2c: (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

Choose File 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:*

97321Uxxxxx

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

Submit Ticket

Powered by [dipogo.belezerik](#)

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.

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	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				

BINs on the LL97 CBL

The CBL identifies compliance pathways associated with all 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 (28-202.3.10.1)	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: onerarecords@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 (28-202.3.8)	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 V (Exemption Code 5109) - 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://a356-pts-access.nyc.gov/care/forms/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: onerarecords@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/MetLife 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, a new Annual Registration Summary documentation showing the number of rent stabilized units)*

Article 321 documentation

>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 regulation. 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 over 35% are rent regulated (rent controlled or rent stabilized).

Project-based federal housing program

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

321 HDFCs

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

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/howveri_form.pdf and at https://www.nyc.gov/assets/buildings/excel/how_ver.xlsx

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.

Finding the disputes 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 **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

The screenshot shows the BEAM platform interface. The left sidebar contains navigation options: INVENTORY, ADD MEMBERS, MAP, **HELPDESK** (highlighted with a red box), ABOUT, and LOGOUT. The main content area displays a 'Property:' section with filters for 'Select a cycle to view building data from:' (set to 2023 Calendar Year), 'Actions:', 'Current Sorts:', and 'Current Search Terms:'. Below this is a table with columns for Property Name, Portfolio, BBL (Tax Lot), Building ID Number (B...), and Address DOF. The table lists several 'Office' entries, with one row highlighted in blue.

Property Name	Portfolio	BBL (Tax Lot)	Building ID Number (B...)	Address DOF
Office				
Office		1000010010		
Office				
Office				
Office				

The screenshot shows the BEAM Knowledgebase page. The left sidebar contains navigation options: Homepage, **New Ticket** (highlighted with a red box), Knowledgebase, BEAM Inventory, and Logout. The main content area displays the 'Knowledgebase / Overview' section. It includes a 'Local Law 97 (LL97) Requirements' section with a 'View articles' button, a 'Resource Library' section with a 'View articles' button, and a 'Utility Programs and Financing' section with a 'View articles' button. The footer indicates 'Powered by django-helpdesk'.

Dispute ticket: Identify your building

Enter:

- Building Address (as seen on BIS)
- BBL
- BIN (as seen on BIS)
- Other BINS (if they will use the

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?

Dispute ticket: disputing your compliance pathway

If your building is on the LL97 CBL and you need to dispute the compliance pathway:

Respond to "What is your dispute" with:

“2. I need to update my building’s compliance pathway”

Then respond to "Please select the compliance pathway that should be listed for your building" with the correct compliance pathway.

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

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

Dispute ticket: Article 321 (One-Time Compliance)



If your dispute is that your building should be subject to Article 321 (One-Time Compliance), the BEAM ticket will share text identifying the documentation requirements for Article 321.

Select the reason that your building qualifies for Article 321. More information can be found at the [LL97 CBL Matrix](#).

Fill in the information required by the text boxes. The text boxes will differ depending on the reason that your building is subject to Article 321.

>35% Rent regulated

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Dispute ticket: Submitting documentation

Click 'choose file' and upload the specified documents.

If you need to submit more than one document, scroll down to "Please provide any additional documentation supporting your request, if applicable." You can submit up to 4 additional pieces of documentation there. If this still isn't enough, you can submit multiple documents combined in a single PDF.

Please name all documents submitted with the documentation type and the building's BIN.

Once you have submitted documentation, provide an explanation of your dispute. This is an opportunity to provide any additional context to your dispute

After specifying the nature of your dispute and providing supporting documentation, please supply your email address, and then click 'submit ticket'.

Your CBL status is disputed!

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 centered in large, white, bold, sans-serif capital letters.

THANK YOU!

build safe | live safe

NYC
Buildings