

20 build safe | live safe
21 DIGITAL CONSTRUCTION
SAFETY CONFERENCE

SAFETY COMPLIANCE FILING REQUIREMENTS

P R E S E N T E D B Y

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NYCTM
Buildings

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PRESENTATION OVERVIEW

This presentation provides the basis and rationale behind mandatory compliance filings for Facades, Retaining Walls, Parking Structures, Sprinklers, Elevators and Boilers for every building in the City of New York and critical to public safety. A review of filing requirements, civil penalties and other enforcement actions for noncompliance is analyzed. Additionally recent rule changes to **RCNY103-04** (Facades), **101-07** (Approved Agencies) and **103-09** (Retaining Walls) is discussed.

FAÇADE INSPECTION SAFETY PROGRAM (FISP)/LOCAL LAW



FAÇADE



INSPECTION



SAFETY

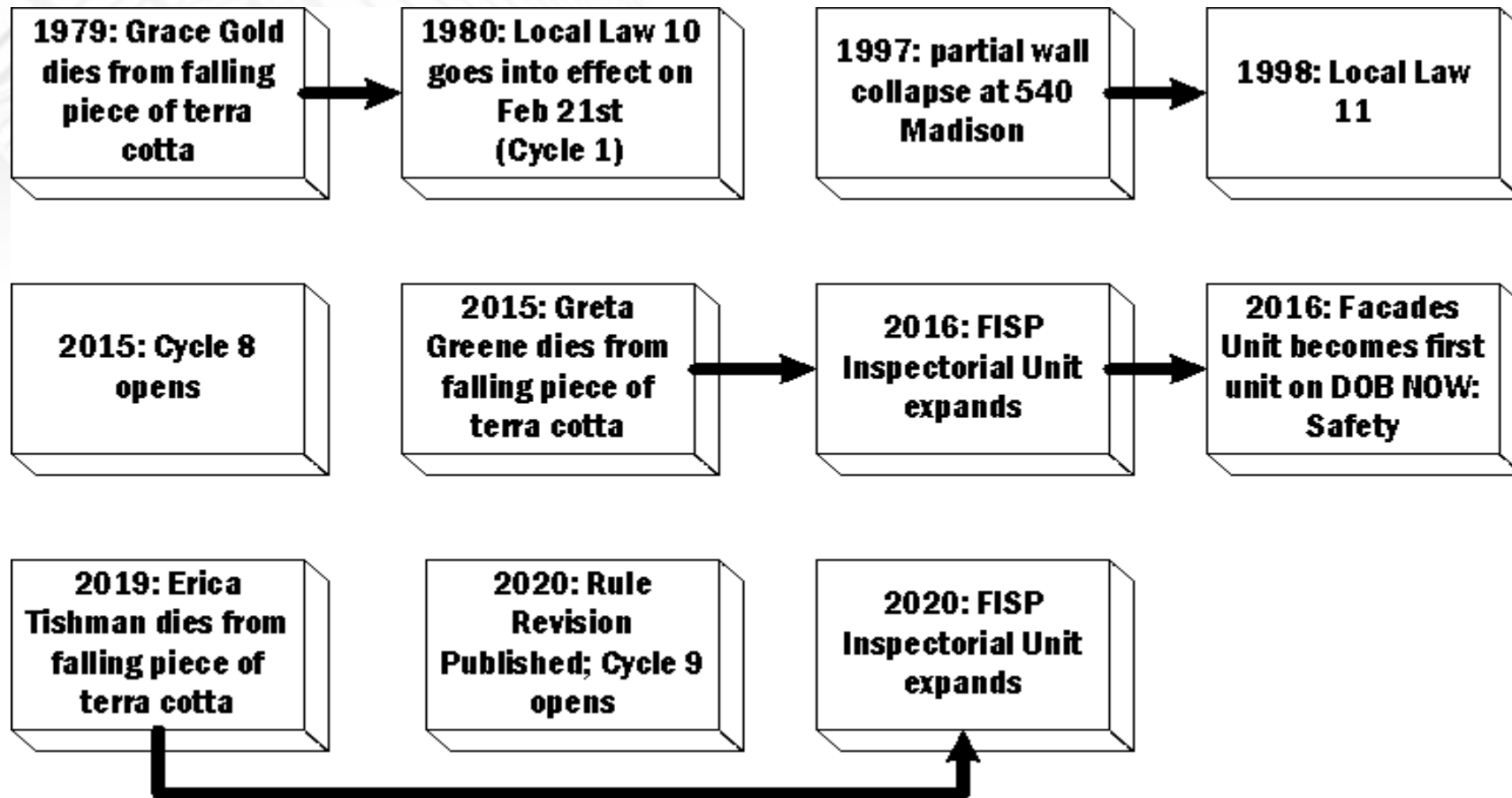


PROGRAM

FAÇADE INSPECTION SAFETY PROGRAM (FISP)/LOCAL LAW

- Team made up of specialized Plan Examiners, Inspectors, and Administrative Staff
- Oversee facades on building over 6 stories
 - How many? - 16,000 in Cycle 9
- No Report Filed (NRF) - 1721
- Owner must hire a Qualified Exterior Wall Inspector (QEWI) once every 5 years to file a compliance report attesting to the status of the façade

TIMELINE OF DEVELOPMENT OF FISP/LOCAL LAW



NYC ADMINISTRATIVE CODE §28-302: REPORT MAINTENANCE OF EXTERIOR WALLS > 6 STORIES

- Which buildings? Greater than 6 stories (6 stories plus basement, but not cellar)
- Critical examination, not a scope of repairs document
- Five-year cycle, staggered inspection subcycles (A, B, and C)
- Registered Design Professional with appropriate qualifications (1 RCNY 101-07)
- Reference to the Rule (1 RCNY 103-04)

PROCESS OF CRITICAL EXAMINATION

- Review of previous reports
- History of repairs, permits, alterations
- Inspection program designed by QEWI for the specific building
- Close up inspections
- Cavity wall probes
- Photos and mapping of conditions
- Final inspection

NYC ADMINISTRATIVE CODE §28-302: SUMMARY

- Repairs of unsafe conditions shall begin immediately
- Repairs shall be completed within 90 days OR
- Extension for up to 90 days (FISP 1)
- Additional extensions may be filed (FISP 2)
- SWARMP conditions carried over from previous cycles = UNSAFE

UNSAFE CONDITIONS

When uncovering unsafe conditions QEWIs must:

- Contact ownership to arrange for required public protection to be installed immediately.
- Call **311** or **911** immediately and file a complaint
- File a FISP3 form (Notification of Unsafe Conditions) in **DOB NOW: Safety**
- File an Unsafe report and time extensions if necessary
- File an Amended report after unsafe conditions are corrected

1 RCNY 103.04: REPORT SPECIFICATION HIGH POINTS

- **Safe condition.** *A condition of a building wall, any appurtenances thereto or any part thereof not requiring repair or maintenance to sustain the structural integrity of the exterior of the building and that will not become unsafe during the next five years.*
- **Safe with a repair and maintenance program (hereinafter “SWARMP”).** *A condition of a building wall, any appurtenances thereto or any part thereof that is safe at the time of inspection, but requires repairs or maintenance during the next five years, but not less than one year, in order to prevent its deterioration into an unsafe condition during that five-year period.*
 - > Public protection required once repairs begin
 - > Repairs may or may not require a permit

1 RCNY 103.04: REPORT SPECIFICATION HIGH POINTS

- **Unsafe condition.** *A condition of a building wall, any appurtenances thereto, or any part thereof that is hazardous to persons or property and requires repair within one (1) year of completion of critical examinations. In addition, any condition that was reported as SWARMP in a previous report and that is not corrected at the time of the current inspection must be reported as an unsafe condition.*
 - > Public protection is generally required immediately
 - > Public protection must remain in place until amended report is accepted or PSR granted.

1 RCNY 103.04: REPORT SPECIFICATION HIGH POINTS

- **Minimum** 3 typical conditions for SAFE buildings
- Photos of all elevations
- Plot plan showing close-up inspections
- Direct supervision by QEWI and review of previous reports required
- Previous maintenance repairs permits #s and violations must be listed on report
- Close up (*Hands On*) Inspection
- Extreme caution if NRF

2020 Revisions to 1 RCNY 103-04

- Close-up inspection requirement increased – every 60ft
- Probes for cavity wall
- Mapping
- QEWI to indicate type and location of public protection

(c)(2)(vi) HANDS-ON INVESTIGATIONS

- Close-up inspection to be performed at intervals of **not more than 60'-0"** fronting public right-of-way per table in rule
- QEWI to determine most deleterious locations
- Drones, high res photos, non-destructive testing, or other similar methods do not eliminate requirements for close-up inspections

(c)(2)(v) PROBE AT CAVITY WALL

- Starting in Cycle 9 and every **odd** cycle thereafter
- QEWI determines the location of the probes
- Minimum of a single probe along each required close-up inspection
- Report the presence, condition, and spacing of wall ties
- Exceptions for building repairs, new buildings, or alternative method

(c)(3)(iii)(M)(3) PHOTO REQUIREMENTS OF CAVITY WALL PROBE

- Each probe opening showing location and size of probes
- Interior of probe showing cross section of the wall
- Measurement of the spacing of the wall ties
- Close-up of the wall tie type and installation
- Any other condition that indicates the soundness of the wall ties and cavity wall

(c)(3)(iii)(G) MAPPING



(c)(3)(iii)(K) RECOMMENDED TIMEFRAME FOR REPAIRS OF UNSAFE ITEMS

- QEWI must provide recommended time frame for repairs to bring the building to **SWARMP** or **SAFE** status, and shall indicate the date the work shall be completed
- Time frames of more than five (5) years will not be accepted
- Extensions will not be granted after recommended timeframe

(d) REVISED CIVIL PENALTY SCHEDULE



- Civil Penalty for Failure to File is quadrupled to \$1,000 per month plus late filing of \$5,000 annually
- Failure to Correct Civil Penalty is now dependent on length of shed on property
- New Civil Penalty for SWARMP conditions turning into Unsafe conditions

(f) POSTING OF CONDITIONS CERTIFICATE

- Conditions certificate issued by the Commissioner (DOB NOW) shall be posted in the lobby or vestibule of subject building within thirty (30) days of issuance
- Certificate shall indicate the most recent condition of the building's exterior walls and appurtenances



SPRINKLERS

SPRINKLERS

Local Law 26/04

- World Trade Center Building Code Task Force
- Effective Date October 22, 2004
- Office buildings – 100+ ft. high
- Requirements are retroactive (not common)
- Required reporting – confirm sprinkler system upgrade to current standards
- Also included Exit Signage, Emergency Power Source for Exit Signs and Photoluminescent markings

ADDITION TO 1968 BUILDING CODE

- Added section 27-929.1 to the 1968 Building Code
- mandate retroactive requirements for a full system of automatic sprinklers to be installed in existence on October 22, 2004
 - office buildings one hundred feet or more in height and
 - buildings classified in occupancy group E one hundred feet or more in height

RELATED LOCAL LAWS

- **LL 5 of 1973**
 - Added section to the 1968 Admin Code
 - Fire safety in office buildings
- **LL 16 of 1984**
 - Fire Safety Requirements. --When required by the Building Code, all new and existing buildings shall be provided with sprinklers, exit lighting, exit signs...

WHICH BUILDINGS WERE EXEMPT?

- **2014/2008 Code buildings** – High-rise office buildings were required to be sprinklered.
 - Owners of such buildings are not required to report compliance on form Attachment A.
- **Pre-2008 Code buildings** – High-rise office buildings constructed after the effective date of LL 16/84 were required to be sprinklered.
 - Owners of such buildings are not required to report compliance on form Attachment A.

WHICH BUILDINGS WERE NOT EXEMPT?

- **Pre-1984 buildings complying with LL 5/73** - High-rise office buildings erected prior to the effective date of LL 16/84 and in compliance with the sprinkler option per section 27-339(c)(5) (LL 5/73),
 - sprinkler work was signed-off on or before October 22, 2004,
 - exempt from the requirements of section 27-929.1, and filing requirements of section 27-228.5. Owners of such buildings are required to report compliance on form Attachment A.

WHICH BUILDINGS WERE NOT EXEMPT?

- **Pre-1984 buildings that did not elect to comply with LL 5/73-** High-rise office buildings not in compliance with the sprinkler requirement of Local Law 5 of 1973,
 - subject to the requirements of sections 27-929.1 and 27-228.5.
 - required to comply with the reporting requirements of section 27-228.5 and
 - were eligible for an extension of time.

INTERMEDIATE REPORT DUE DATES

Report

Owner's affidavit

7 Year Report

14 Year Report

Final Report

Deadline

July 1, 2005

July 1, 2011

July 1, 2018

July 1, 2019

SPRINKLERS

Enforcement

- Extensions are no longer available
- Increased enforcement – two rounds of violations already issued
- Cases pending at OATH
- No Report Filed (NRF) – 381 buildings



RETAINING WALLS

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WHAT'S NEW WITH THE RETAINING WALL UNIT?

- Cycle 1 complete; Cycle 2 open
- Violations issued to 1350 properties for No Report Filed (NRF) in Cycle 1
- Work closely with other agencies on their retaining wall population (MTA, Parks, DOT)
- We continue to refine our population
- QRWI interviews
- Outreach

RETAINING WALLS IN NYC



HISTORY OF CODE REQUIREMENTS

OWNERSHIP

- **1855** – the person causing such excavations ...afforded the necessary license to enter on the adjoining land... (legal trespass)
- **1916** – Made and maintained jointly by land owners on each side of wall, located half on each property
 - Owner of lower grade bears cost of construction, wall to be erected entirely on higher grade property (legal trespass until 1938 only); maintained jointly
 - If one party does not agree to maintain his share of the wall, the other owner, if having performed repairs on his own, has a legal right to recoup costs of doing so.
- **1938** – Owner causing excavation to build wall at his own expense on his own land

HISTORY OF CODE REQUIREMENTS

MAINTENANCE/ENGINEERING

- **1899** – First time retaining walls are mentioned in the Code; thickness at its base shall be in no case less than one-fourth of its height
- **1916** – Materials (masonry, concrete); loads (incl water pressure); structural performance (working stresses, soil bearing pressure, stability)
- **1938** – First definition of retaining walls appears; Structural requirements: separate masonry and concrete chapters (allowable stresses)

§C26-12S.0 Retaining Wall.-The term "retaining wall" shall mean any wall designed to resist lateral pressure.

- **1968 (as of 1970)** – Engineering requirements more honed: Lateral loads - earth, ground water pressure; Loading eccentricities
- **1968 (as of 2008)** – Lateral loads: earthquake loads required; Sliding, overturning mentioned generally

NYC BUILDING CODE: MAINTENANCE OF BUILDINGS

ARTICLE 301 GENERAL

§28-301.1 Owner's responsibilities. All buildings and all parts thereof and all other structures shall be maintained in a safe condition. All service equipment, means of egress, materials, devices, and safeguards that are required in a building by the provisions of this code, the 1968 building code or other applicable laws or rules, or that were required by law when the building was erected, altered, or repaired, shall be maintained in good working condition. Whenever persons engaged in building operations have reason to believe in the course of such operations that any building or other structure is dangerous or unsafe, such person shall forthwith report such belief in writing to the department. The owner shall be responsible at all times to maintain the building and its facilities and all other structures regulated by this code in a safe and code-compliant manner and shall comply with the inspection and maintenance requirements of this chapter.

LOCAL LAW 37/2008

- Inspection, Maintenance and repair of retaining walls...
 - with a height of 10ft or more, and...
 - facing a public right of way
- Condition assessment every 5 years by Qualified Retaining Wall Inspector (QRWI)
- Submit report to DOB
- Cycle 1 closed December 2018; Now in Cycle 2
- Becomes §28-305.4 in 2008 Building Code

RCNY §103-09

RETAINING WALL INSPECTIONS, FILING REQUIREMENTS, PENALTIES & WAIVERS

Report Requirements – Overview

- General information: property profile and owner
- Scope and procedures of condition assessment
- Cross section: construction type, surface/arch. treatment, exposed wall height, etc.
- Analysis
- Areas of significant distress with photos
- Final wall rating...
 - SAFE
 - SAFE WITH REPAIR AND/OR ENGINEERING MONITORING
 - SAFE WITH MINOR REPAIRS OR MAINTENANCE
 - UNSAFE

RCNY §103-09

RETAINING WALL INSPECTIONS, FILING REQUIREMENTS, PENALTIES & WAIVERS

Safe with Repair and/or Engineering Monitoring

- Identify proposed monitoring program
- Identify engineer performing the monitoring
- Stability analysis with factor of safety showing the wall is stable under anticipated loads

Safe with Minor Repairs or Maintenance

- Recommend time frame for repairs and/or maintenance to prevent condition from becoming unsafe
- Unacceptable time frames: ASAP, <1 year, Immediately

RCNY §103-09

RETAINING WALL INSPECTIONS, FILING REQUIREMENTS, PENALTIES & WAIVERS

Unsafe

- Immediately
Owner to commence repairs/reinforcements to secure public safety
- Within 24 hours:
Call 3-1-1 (212-NEW-YORK)
Email/Call DOB with 3-1-1 complaint number
LRetainingWalls@buildings.nyc.gov
- Within 2 weeks:
QRWI to inspect, obtain permit sign-offs, file an amended report with the Department, or file for an extension

TR 16: AFFIDAVIT OF CONDITIONS

QRWI must inform OWNER of inspection conditions

6 Property Owner Information <input type="checkbox"/> Private <input type="checkbox"/> Parks <input type="checkbox"/> DOT <input type="checkbox"/> Other Public _____					
Last Name		First Name		MI	
Bus. Name		Bus. Address		Bus. Tel.	
City		State	Zip	Bus. Fax	
E-Mail			Mobile Phone		
7 Statements and Signatures					
Owner / Owner Representative I hereby state that I am the owner/owner's representative of the premises referenced in the attached report. Furthermore, I have received and read a copy of the attached report and I am aware of the required repairs and/or maintenance, if any and the recommended time frame for same as per New York City Administrative Code Article 6 and Local Law 37/2008.			Qualified Retaining Wall Inspector (QRWI) Name (please print) _____		
Name _____			Signature _____	Date _____	
Relationship to owner _____		Phone _____		I hereby state that the Owner/Owner's Representative has authorized me to submit this report. Furthermore, I hereby state that all statements are correct and complete to the best of my knowledge. A copy of this report has been given to the owner.	
Email _____			Date _____	P.E. Seal <i>(apply seal, then sign and date)</i>	
<small>New York City Administrative Code 28-211.1 False statements in certificates, forms, written statements, applications, reports or certificates of correction. It shall be unlawful for any person to make a material false statement in any certificate, professional certification, form, signed statement, application, report or certification of the correction of a violation required under the provisions of this code or any rule of any agency promulgated thereunder that such person knew or should have known to be false.</small>					

RCNY §103-09: FEES/VIOLATIONS

- **Fee structure**
 - Initial Filing: \$355
 - Amended Filing: \$130
 - Application for extension of time to complete repairs: \$260
- **Reports can be emailed (best option):** LRetainingWalls@buildings.nyc.gov
- **Hard copy can be mailed to the unit:**
NYC Department of Buildings
Attn: Retaining Wall Unit
280 Broadway, 4th Floor
New York, NY 10007
- **Payments should be made at the cashier, not mailed.**

RCNY §103-09: CIVIL PENALTIES

- \$1,000 per year for failure to file plus
- \$250 per month penalty until compliance
- Failure to repair an unsafe condition carries a \$1,000 per month fine until corrected

RCNY §103-09: FILING CYCLES

- Inspection every 5 years unless safety issues exist
- Staggered filing cycles by borough

Borough	Cycle 1	Cycle 2	Population
Bronx	2014	2019	400
Manhattan	2015	2020	120
Staten Island	2016	2021	150
Queens	2017	2022	315
Brooklyn	2018	2023	360

WHAT WE LEARNED FROM CYCLE 1

- Violations for **No Report Filed** issued = 1345
- Submissions received = 778
 - Of these: 691 Not subject
(not on public right of way; other jurisdictions; doesn't meet height criteria)
- TR16s received = 87
- Follow up enforcement
 - Secondary FTC notices sent where NRF
 - DOB violations (no penalty or court date) sent to design professionals requesting additional information

HOW DO I BECOME A QRWI?

- Licensed PE
- Min. of 3 years relevant experience
- Information to submit:
 - Detailed resume
 - full deliverables for three retaining wall projects
 - engineering drawings,
 - calculations
 - engineering reports
- Interviewed and approved by RWU staff

Can I submit a compliance report if I'm not a QRWI?

Yes...but you will be asked to apply to become a QRWI.

CYCLE 2: WE NEED YOU!

- We rely on professionals like you to get the word out!
- Please...
 - Reach out to your ownership groups
 - Share your newfound knowledge with you staff and colleagues
 - Contact us if you would like us to present to your office



PARKING STRUCTURES

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OVERVIEW: PARKING STRUCTURES

- Why parking *structure*?
- State Law vs NYC Code
- Cause for concern in NYC?
 - Population
 - Incident and violation rate
- Special Concerns
- Proposed Code requirements

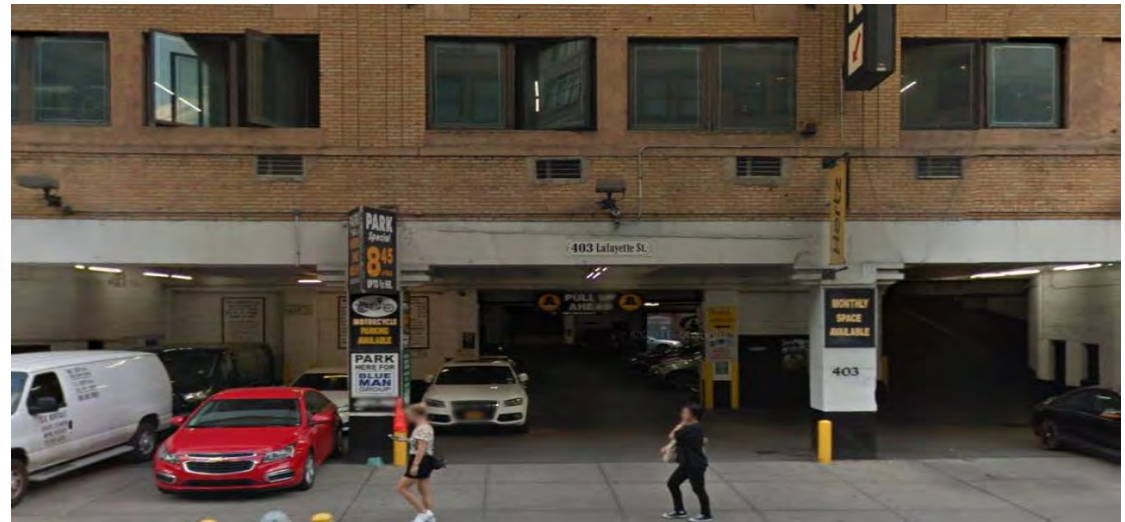
PARKING STRUCTURES

- Locations
 - Detached, dedicated use
 - Basement of office or residential building
 - Roof of building
 - Difficult to find
- Materials
 - Concrete, steel, wood
 - Material degradation
- Size
 - How many levels?
- Ownership

STATE LAW

- Requires periodic condition assessments of parking garages every three (3) years
- Effective August 29, 2018
- First reports on oldest buildings due October 2019
- NYC exempt from state laws

POPULATION



POPULATION

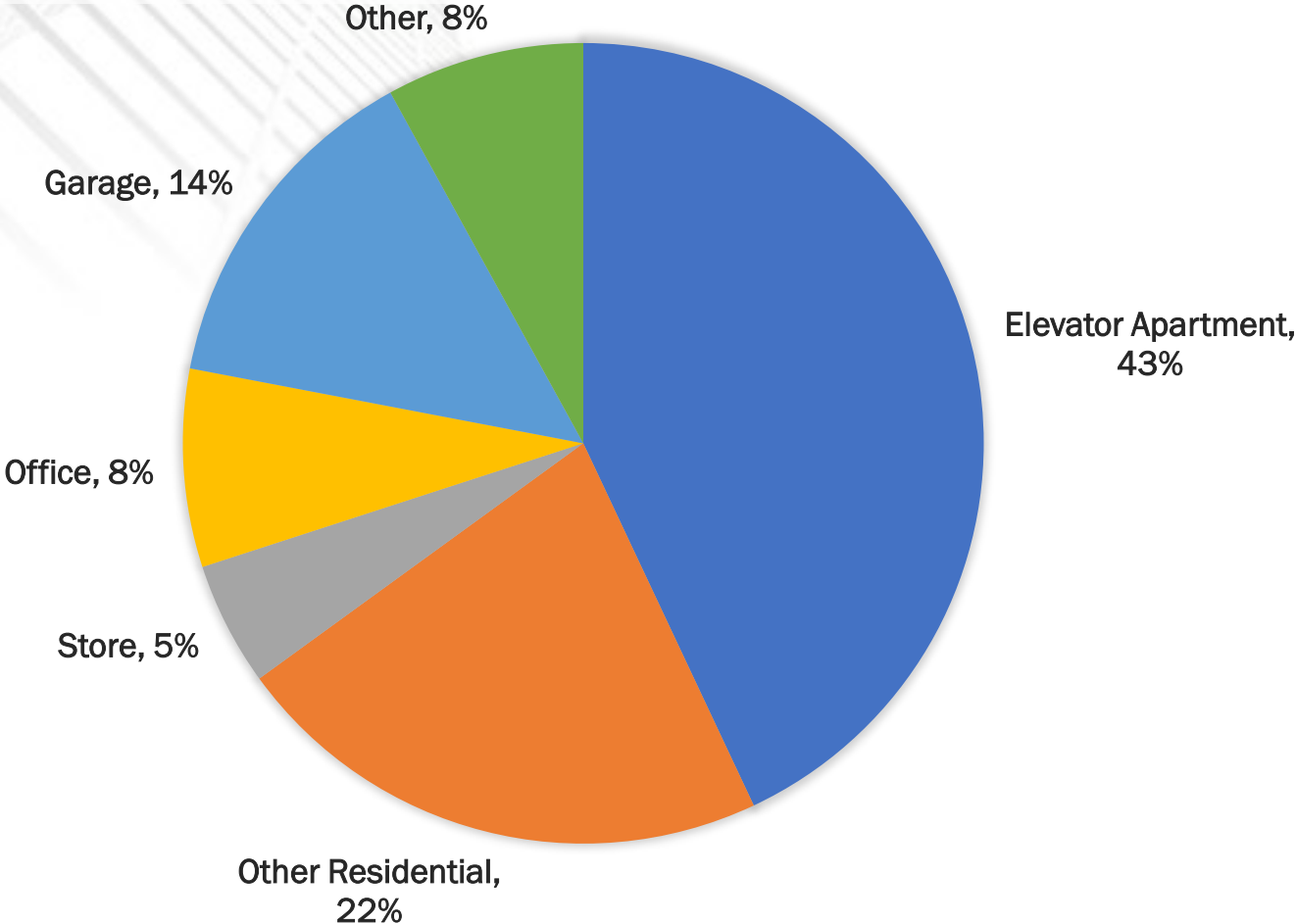
- Manhattan: 1400
- Brooklyn: 500
- Queens: 550
- Bronx: 350
- Staten Island: 30

TOTAL ~ 2800

Structures not included:

1. Unenclosed, unattached outdoor parking lots.
2. Private garages serving one- and two-family homes.

TYPES OF BUILDINGS: DISTRIBUTION OF PARKING STRUCTURES



CAUSE FOR CONCERN IN NYC?

- Issue approx. 10 Class 1 violations/year
- Receive about 60 complaints/year
- Average ~ 2 incidents/year

INCIDENTS



INCIDENTS



STATE LAW vs. NYC CODE

SERVICE NOTICE

Periodic Parking Garage Inspections

New York State recently enacted requirements for the periodic inspection of parking garages. An initial condition assessment is required prior to a certificate of occupancy or certificate of compliance being issued for a new structure. Existing buildings must complete an initial condition assessment prior to October 1, 2019, October 1, 2020, or October 1, 2021, depending on the date of original construction. Following the initial condition assessment of a parking garage, such parking garage shall undergo periodic condition assessments every three years.

The City of New York maintains its own Building Code requirements and buildings located in the city are exempt from the requirements of the NY State Building Code, including the periodic parking garage inspection requirements.

The Department of Buildings is currently recommending similar requirements for periodic parking garage inspections for adoption in New York City as a local law through the Department's Periodic Code Revision Process.

Once details of NYC parking garage inspection requirements are available, the Department will make information available regarding property owner requirements on our website and through *Buildings News*.

OVERVIEW: NYC CODE

- Condition assessment performed once every six years
 - To be performed by an approved professional (PE)
 - Prepare checklist for annual observation
 - File the report with the Department
- Observation performed annually
 - To be performed by non-professional assigned by the owner (super, garage attendant, etc.)
 - Not filed (DOB reserves the right to ask for them)
- During either assessment or observation:

Notify DOB immediately of any unsafe conditions

NYC CODE: REQUIREMENTS

- Classification: Safe, Unsafe, Safe With Repair and/or Engineering Monitoring
- Include a record of all potentially unsafe conditions of the structure
- Condition of structural framing members, any visible reinforcement, connections, and conditions of slabs and slab joints
- Must also contain the annual observation checklist to be used for subsequent annual parking structure observations

SAFE WITH REPAIR AND/OR ENGINEERING MONITORING | OR UNSAFE

Similar as with Retaining Walls:

- Safe with Repair and/or Engineering Monitoring
 - Identify proposed monitoring program
 - Identify engineer performing the monitoring
 - Stability analysis with factor of safety showing structure is stable under anticipated loads
- Unsafe
 - Public Safety
 - Notify the Department
 - Repair the condition

NYC CODE

- Next publication expected in ~1 year
- Includes provision for parking structure evaluation
- Rule being developed, expected to go into effect **January 1, 2022**
- Anticipated early filings will be collected via email, filed with DOB NOW by Summer 2022
- **Filing Cycles**
 - 2-year subcycles broken down by borough

CONTACT INFORMATION

- Facades
Facades@buildings.nyc.gov or call (212) 393-2551
- Sprinklers
NYCDOBLL26@buildings.nyc.gov
- Retaining Walls
LL37RetainingWalls@buildings.nyc.gov
- DOB NOW: *Safety* questions to:
dobnowsupport@buildings.nyc.gov

WEBSITE LINKS

- Facades
 - <https://www1.nyc.gov/site/buildings/safety/facades.page>
- Sprinklers
 - https://www1.nyc.gov/site/buildings/business/ll26of2004_faqs.page
- Retaining Walls
 - <https://www1.nyc.gov/site/buildings/safety/retaining-walls.page>



ELEVATORS

DOB NOW: Safety Elevator Compliance Filings

DOB NOW eFiling

Welcome to eFiling

DOB NOW will be released in phases over the coming years. During the transition, users will create and maintain their login and password through eFiling.

Currently façade, plumbing, sprinkler, and standpipe filings can be submitted in DOB NOW. For online filings that have not yet transitioned to DOB NOW, please continue to access through the links below.

Email Address:

Password:

[Forgot your password?](#)
[Click here to reset it.](#)

Login

Register for electronic filing.

Major Construction Development Hub • Major Alterations • New Buildings Demolitions	Minor Construction Hub Self-Service • Minor Alterations Hub Full-Service • Minor Alterations Signs
Electrical and Minor Plumbing All Electrical Work Limited Alteration Application	Manage Your Account Add License Type Add Sustainable Contractor Designation

[Development Hub](#) [Hub Full-Service](#) [Hub Self-Service](#)

[NYC Development Hub](#) [DOB NOW](#)

Register for eFiling

If you are already registered in eFiling then you will use your existing eFiling username and password to access DOB NOW.

Register at www.nyc.gov/dobefiling.

PUBLIC PORTAL: DOB NOW HOME PAGE

www.nyc.gov/dobnow

Search the Public Portal for Filings and Permits Submitted in 

Address

House Number Street Name Borough

Job Number Search

Building Identification Number (BIN)

Borough, Block, Lot

Device Search

Licensees Search

Violations Search


Stop Work Orders Search

Log In to  to Submit Jobs, Filings and Applications:

Enter your eFiling or DOB NOW: Licensing account information

Email

Password

I'm not a robot 

To use DOB NOW: Build or Safety, register for an eFiling account [here](#). To reset your eFiling password, click [here](#).

Welder, Journeyman and Gas Work Qualification Applicants only – click [here](#) to create a new DOB NOW: Licensing profile. To change your DOB NOW profile, password, click [here](#).

[Need more help? Contact us.](#)

ELEVATORS: COMPLIANCE FILINGS DASHBOARD



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Elevators Safety Filings Dashboard

+ Inspection/Test Report (ELV3) + Affirmation of Correction (ELV29) + Test Notification (ELV36)

Dashboard Menu

Inspection/Test Reports Affirmation of Corrections Test Notifications My Favorites

Pre-Filing		Pay to File	In Process	Processed						Refresh
Group Number...	Tracking Number	Location	Owner	Device ID	Device Type ...	Inspection Type	Inspection Date ...	Defects Exist	Compliance Report Status	C

ELEVATORS: INSPECTIONS & TESTS

Elevator devices are subject to annual periodic **inspections** and category **tests**

- Periodic inspections are currently performed by DOB contracted vendors and DOB in-house elevator technical team inspectors. Effective Jan 1, 2022 these inspections must performed by an approved elevator agency on behalf of the owner
- Category tests are performed and witnessed by approved independent third party agencies licensed by the Department
- Building owners are responsible for hiring an approved elevator inspection agency

ELEVATORS: MAINTENANCE

- Building owners are required to have a current maintenance contract with an approved elevator agency available to perform elevator repair work, maintenance, and replacement.
- The maintenance contract must include a **Maintenance Control Program (MCP)** that adheres to the protocols specified by the elevator manufacturer. A **maintenance log** must also be kept on site with the MCP.

ELEVATORS: DEVICE TYPES

The following elevator device types must be tested annually, and those results must be recorded with the Department:

- Passenger, Freight, Sidewalk, Escalator, Accessibility Lift, Dumbwaiter, Material Lift, Man Lift, Moving Walk
- *Accessibility Lifts and Dumbwaiters located in private residences (1-2 family dwellings) are not required to **file** their Category test reports however they must perform the required inspections and maintain a log which shall be made available to the Department upon request

ELEVATORS: SIGNOFF

Final Certificate

- A certificate issued by the Department authorizing the operation of an elevator following a satisfactory acceptance test
- Reporting on new installations is required the calendar year following a DOB test result of Final Issued

ELEVATORS: CATEGORY TEST REPORTING

Reporting Requirements – Category 1 Testing

- The elevator annual inspection cycle (Cat 1) is January 1st through December 31st of each calendar year
- Initial filings (ELV3) must be submitted within 60 days of the date of inspection. ***2022 reduced to 21 days**
- Subsequent filings (ELV29) – Affirmations of Correction must be submitted within 180 days of the initial inspection date. ***2022 reduced to 90 days to correct and 14 days to file**
- Category 1 tests must be at least six (6) months apart

ELEVATORS: PERIODIC INSPECTION REPORTING

Reporting Requirements – Periodic Inspections

- The elevator annual periodic inspection cycle is January 1st through December 31st of each calendar year. **CY 2022 and forward**
- Initial filings must be submitted within 14 days of the date of inspection
- Subsequent filings – Affirmations of Correction must be submitted within 104 days. 90 days to correct and 14 days to file
- Periodic inspections and Category tests must be at least ninety (90) days apart

ELEVATORS: CATEGORY 5 TESTS

Cat 5

- Shall be performed within five (5) years from the month of issuance of a final certificate for a new elevator or within five (5) years from the month of the most recent category 5 test performed on an existing elevator

ELEVATORS: FAILURE TO FILE CIVIL PENALTIES

Initial Inspection Report (ELV3)	One or Two Residential Units	Commercial, Mixed Use, or More Than Two Residential Units	
	CAT 1 and 5	CAT 1	CAT 5
Failure to file fee per year, per device	\$1,000	\$3,000	\$5,000
Affirmation of Correction (ELV29)	One or Two Residential Units	Commercial, Mixed Use, or More Than Two Residential Units	
	CAT 1	CAT 1	CAT 5
Failure to file fee per year, per device	\$1,000	\$3,000	N/A



BOILERS

DOB NOW: Safety Boiler Compliance Filings

BOILERS: COMPLIANCE FILINGS DASHBOARD



DOB NOW
Submit Filings, Payments, and Requests to the NYC Department of Buildings

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Boilers Compliance Filings Dashboard

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Tracking #	Location	Owner	Defects Exist...	Compliance Report Status ...	Report Type	Inspection Type ...	Pressure Type	Payment Status ...	Inspection Dat...

BOILERS: QUALIFIED BOILER INSPECTORS

Annual inspections are performed by:

- Authorized Insurance Agency Inspectors
- Master Plumbers
- Oil Burner Installers
- High Pressure Boiler Operators/Stationary Engineers

LOW PRESSURE (LP) BOILER INSPECTIONS

The following must be inspected and filed with the Department annually:

- LP boilers in residential buildings with six (6) or more dwellings
- LP boilers in mixed-use or commercial buildings
- LP boilers in residential buildings classified as Single Room Occupancy (SRO) dwellings
- H-stamp domestic hot water heaters with more than 350,000 BTUs in residential, mixed-use, and commercial buildings

HIGH PRESSURE (HP) BOILER INSPECTIONS

HP boilers must have **two inspections** – an **internal inspection** and an **external inspection**

- These inspections must be conducted within the same cycle year and shall be performed approximately six months apart
- HP boiler inspections can only be performed by an authorized insurance company inspector

BOILERS: REPORTING REQUIREMENTS

- The boiler inspection cycle is January 1st through December 31st of each calendar year
- Initial filings must be submitted within 45 days of the date of inspection
**2022 reduced to 14 days*
- Subsequent filings – Affirmations of Correction must be submitted within 180 days of the initial inspection date. **2022 reduced to 90 days to correct and 14 days to file*
- Annual inspections must be at least six (6) months apart

BOILERS: SIGNOFF

First Test Inspections

- New boiler installations and boilers that have undergone replacement must be inspected by the Department in order to receive approval for their use and operation
- Reporting on new installations is required the calendar year following the First Test Passed inspection

LP BOILERS: FAILURE TO FILE CIVIL PENALTIES

Initial Inspection Report (B09)	Low Pressure LP
Failure to file fee per year, per device	\$1,000

Subsequent Inspection Report/AOC (B013)	Low Pressure LP
Failure to file fee per year, per device	\$1,000

HP BOILERS: FAILURE TO FILE CIVIL PENALTIES

Initial Inspection Report (B09)	High Pressure HP
Failure to file fee per year, per device, per inspection type (Internal & External)	\$1,000

Subsequent Inspection Report/AOC (B013)	High Pressure HP
Failure to file fee per year, per device, per inspection type (Internal & External)	\$1,000



THANK YOU

20 DIGITAL CONSTRUCTION
21 SAFETY CONFERENCE

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Buildings