NYC BUILDINGS

New York City Department of Buildings

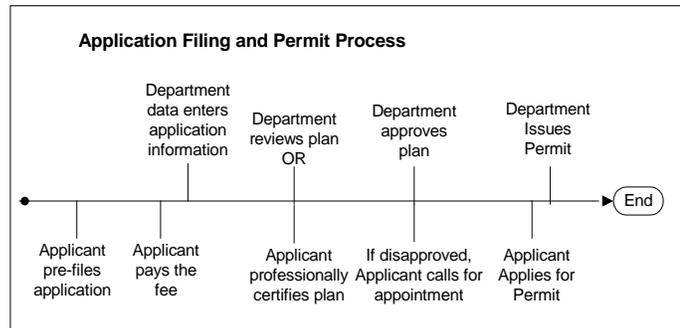# Application Filing and Permit Process
FACT SHEET

New York City laws require that one or more permits be obtained before starting construction work (refer to NYC Building Code §27-126 for work that requires a permit). This fact sheet describes the general process at the Department of Buildings for filing an application and obtaining a permit for jobs that are not Professionally Certified.

For more information on obtaining a permit, please refer to our Building Knowledge brochures about "Construction Permits", "Plumbing Work" and "Electrical Permits" located on our web site www.nyc.gov/buildings, under "Guides and Publications".

Application Filing and Permit Process

Department data enters application information → Department reviews plan OR → Department approves plan → Department Issues Permit → End

Applicant pre-files application | Applicant pays the fee | Applicant professionally certifies plan | If disapproved, Applicant calls for appointment | Applicant Applies for Permit

STEP 1: APPLICANT PREFILES APPLICATION IN A BOROUGH OFFICE

- Applicant meets with Department pre-filer and submits 3 copies of each of the following to pre-filer:

    - Complete set of drawings, including energy calculations
    - PW-1 form (attach Schedules A , B, and C if necessary)
    - Asbestos forms

- Pre-filer checks for completeness, estimates cost and determines job type.

- Pre-filer enters basic job information into the Buildings Information System (BIS), assesses fee and assigns a BIS Job Number to the application.

    ☑ **Tip:** Refer to Building Knowledge brochure about "Construction Permits" for different categories of construction work.

> **Note:** *When the pre-filing phase is completed the application folder is given back to the applicant. Applicant will bring the application folder to the cashier when ready to pay the fee.*

STEP 2: APPLICANT GOES TO CASHIER AND PAYS THE FEE

- Applicant submits the application folder to the cashier and pays the fee.

- Cashier transfers folder to the DEAR section.

STEP 3: DEPARTMENT DATA ENTERS APPLICATION DETAILS

- DEAR checks the application information for completeness.

- DEAR data enters details of the application.

- DEAR transfers application folder to plan examiner.

    ☑ **Tip:** Applicant can use the BIS Job number assigned at pre-filing to check BIS-on-the-WEB for current application status under "Building Information Search" any time during the entire process.

STEP 4: DEPARTMENT REVIEWS APPLICATION PLAN

- A plan examiner reviews the plan for compliance with one of the requirements below:

- Directive 14 requirements: zoning (use), egress and LL58/87 (disability) only.
- Directive 2 requirements:
    - egress (Building Code)
    - fire protection (Building Code)
    - Multiple Dwelling Law
    - Housing Maintenance Code

- During review, the plan examiner data enters into BIS any "required items" needed for the construction work being described.

  ☑ **Tip:** Refer to "Required Items Reference Guide" (on our web site under "Guides and Publications.")

> **Note:** *Sprinkler applications are filed under Directive 14 but receive a Directive 2 review in that, the water supply is checked for compliance with the Building Code.*

If the plan is approved:

- Plan examiner stamps and signs the 3 complete sets of approved plans and other appropriate paperwork.

- Plan examiner data enters approval status into BIS.

- Applicant is given the approved application (drawings and forms) to be perforated at the Record Room or other area designated by the borough.

If the plan is disapproved:

- An objection sheet will be completed by the plan examiner and e-mailed to the applicant (or mailed when email address is not available) informing applicant of areas that do not conform to applicable laws.

- Plan examiner data enters disapproval status into BIS.

- Applicant calls 311 to make an appointment to resolve the objections.

- The process described above may be repeated until all objections are resolved and the plan is approved.

> **Note:** *If changes need to be made to the plan after it is approved, applicant may be required to file a "Post Approval Amendment" (PAA). For details, please refer to "PAA Fact Sheet" on Department's web site under "How To File An Application".*

> **Note:** *Department offers a **Professional Certification Program** which enables Registered Architects (RA) and Professional Engineers (PE) to certify that the plans they are filing with the Department are in compliance with applicable laws. Plans that are professionally certified do not go through plan review. Details on the program can be found on Department's web site under "Application and Permits".*

STEP 5: DEPARTMENT PERFORATES THE PLAN

- Applicant brings the folder to Record Room.

- Record Room clerk perforates the plans and forms and returns them to the applicant.

- Applicant is required to microfilm the approved application (plans and forms) and deliver them to the Record Room before obtaining a permit.

- Record Room clerk files the microfilm and stamps the folder and returns it to the applicant. Application is now ready for permit.

STEP 6: APPLICANT OBTAINS PERMIT

- Applicant submits to the permit clerk the approved folder with a stamp indicating that microfilm has been received, along with the documents below:

  - PW-2 (permit application) form (signed and notarized by contractor. If licensee, seal is required in lieu of notarization.)
  - A PW-3 (cost affidavit) form (signed and notarized by contractor. If licensee, seal is required in lieu of notarization.)
  - A check for thirty-five dollars (final microfilming fee)

- Permit clerk checks for fees due and valid insurance prior to producing the permit.

  - Any fees due, including balances and civil penalties for work without a permit, must be paid prior to permit issuance.

  - Appropriate insurance must be held by all potential permittees unless the permittee is a homeowner who will be performing the work himself on his own home. In that case, a waiver from Worker's Compensation Board must be submitted.

- The permit is generated and the permit clerk enters the permit issuance date in BIS.

- The application folder is retained by the permit clerk and sent to the Record Room for filing.

STEP 7: POST PERMIT ACTIVITIES

- Some applications require a new or amended Certificate of Occupancy, and others should simply be signed off when the work has been completed. For information on the Sign-Off and Certificate of Occupancy process go to Certificate of Occupancy.