

Please be advised the attached sample Part 1203 Reporting Form for Calendar Year 2019 is only a sample and should **not** be used as the submitting form.

This sample form is to be used by the CEO/BSI official as a worksheet to help compile the data needed to complete the online form. Please note that you should use Google Chrome as your internet browser to complete the form electronically. The link for the *Reporting Form for Calendar Year 2019* can be found on the Department of State's website at: https://www.dos.ny.gov/DCEA/part_1203.html.

Please follow the instructions on the first page of the form. As a reminder, if submitting electronically you must complete this form in a single session. If you close the internet browser before submitting, you will lose all your work, and you will need to start over again from the beginning.

Electronic submissions are preferred.

If you are unable to submit the form electronically, you may mail or fax the completed form to:

New York State Department of State
Division of Building Standards and Codes
One Commerce Plaza, Suite 1160
99 Washington Avenue
Albany, NY 12231

Fax: 518-486-4487

If you have any questions, please contact us.

Division of Building Standards and Codes
Oversight Unit

New York Department of State
99 Washington Avenue, Albany, NY 12231
Office: 518-474-4073 | Fax: 518-474-5788
dos.sm.codes.1203reportform@dos.ny.gov

Uniform and Energy Code Administration and Enforcement Report (R...

General Information

Instructions

We recommend using Google Chrome to fill out this form

Make sure the web browser application you are using is updated to the most current release before proceeding. We recommend that you not use *Internet Explorer*.

You Must Complete This Form in a Single Session

You must complete your submission in a single session on your web browser. If you close the browser before submitting your work, your incomplete submission will be discarded. Before you close the browser, make sure you see the submission confirmation screen after you click "Submit" at the end of the form.

Who Must Complete This Form

The official who oversees code enforcement activities for your local government must complete this form. If your local government has transferred such responsibilities to another local government by opting out of enforcement or entering a shared services agreement as provided by law, then this official will be part of the other local government. Do not complete this form if you are not responsible for code enforcement activities in this local government's jurisdiction.

Instructions

The *Reporting Year* is the calendar year (January through December) for which the reported data have been collected. The *Uniform Code* is the New York State Uniform Fire Prevention and Building Code. The *Energy Code* is the New York State Energy Conservation Construction Code. The *Code Official* is the official enforcing the Uniform Code or Energy Code in the city.

If you are submitting on behalf of a local government that administers the Uniform Code or the Energy Code for other local governments, you must submit a separate report on each city, town, village, and county for which you administer those services.

If you still have questions after reviewing this form and instructions, please contact the Division of Building Standards and Codes at (518) 474-4073.

Jurisdiction

Name of Local Government *

Provide the full name of the local government (e.g. for counties, "Albany County" and for others, "City of Albany", "Village of Cayuga Heights", etc.) for which you are reporting activities relative to administration and enforcement of the Uniform Code and/or Energy Code. You can type part of the local government's name and choose from the list that appears.



Municipality Information

Responsibility for Administration of Uniform Code and Energy Code in the local government

Has the municipality opted out of enforcing the Uniform Code and Energy Code?

Answer "yes" only if the municipality adopted a local law which was in effect during the reporting period and provided it will not enforce the Uniform Code and Energy Code pursuant to Executive Law § 381(2).

Yes

No

Has the municipality entered into an agreement pursuant to General Municipal Law, Article 5-G, with one or more other local governments to jointly administer the Uniform Code or Energy Code as authorized by Executive Law Section 381(2)? *

Yes

No

Does the municipality employ any code enforcement officials or building safety instructors to support its administration of the Uniform Code or Energy Code?

If yes, you will be prompted later in the submission to identify these personnel. Answer no if personnel who administer code for the city are not employees of the city.

Yes

No

Scope of Report

Submitting Official 

Your earlier responses indicate the municipality is responsible for its own administration of the Uniform Code and Energy Code. You must be an employee of the city to submit this report.

OK

Name

*

Business Phone

*

Provide business phone number with area code.

Business Email

*

The e-mail receipt for this submission will be sent to this address.

Business Address

*

City

For business address

Zip Code

*

This report pertains to the municipality, and it will be submitted by the municipality.

You must report on administration of the Uniform Code for the municipality in this report.

OK

You must report on administration of the Energy Code for the municipality in this report.

*

OK

Reporting Period

Does reported activity cover the full calendar year 2019?

Answer yes if reported code enforcement activities cover the full calendar year 2019 from January 1 to December 31. Answer no if they cover only part of the year. You should only answer no if responsibility for enforcement was transferred to or from another jurisdiction during the calendar year.

*

Yes

No

Except where otherwise indicated, information provided in this report should reflect the status of the city as of Dec 31, 2019. Information provided regarding activities that happened *during* the reporting period should include any activities that happened from Jan 1, 2019 to Dec 31, 2019.

*

OK

Administrative and Legislative Context

How Responsibility Is Assigned

Are third-party contracted services used to meet the requirements of 19 NYCRR Part 1203? *

Yes

No

Does the third party meet the education requirements of 1203.2(e)(1)? *

Yes

No

Unknown

Does the fire department perform fire safety inspections? *

Yes

No

Legislative Authorization

Please list the local law(s), ordinance(s) or other legislation that provides for the administration and enforcement of the Uniform Code and/or the Energy Code in the municipality: *

Enter the name and number of the local law, ordinance, and/or regulation that provides for the administration and enforcement of the Uniform Code in the city (example: Local Law #12 of 2006)

Local Legislative Modifications of Uniform Code Standards

Does the city have in effect any local law or ordinance that imposes construction standards that are more stringent, less stringent, or otherwise different from the requirements imposed by the *Uniform Code*? *

Answer "Yes" if the city has any standards in place that may be subject to Executive Law Article 18, Section 379.

Yes

No

Is each such local law or ordinance approved or pending approval by the State Fire Prevention and Building Code Council pursuant to Executive Law Article 18, Section 379? *

Yes

No

Specify the year and number of the local law(s) or ordinance(s): *

Do not include laws or ordinances that have been completely repealed or replaced by more recent legislation.

Local Legislative Modifications of Energy Code Standards

Does the city have in effect any local law or ordinance that imposes energy conservation standards that are more stringent, less stringent, or otherwise different from the requirements imposed by the *Energy Code*? *

Answer "Yes" if the city has any standards in place that may be subject to Energy Law § 11-109.

Yes

No

Is each such local law or ordinance filed with State Fire Prevention and Building Code Council pursuant to Energy Law § 11-109? *

Yes

No

Specify the year and number of the local law(s) or ordinance(s): *

Do not include laws or ordinances that have been completely repealed or replaced by more recent legislation.

Building Permits

Instructions for this section

Enter the number of building permits issued for each occupancy type listed.

(A) One-family dwellings, two-family dwellings, and townhouses

(A)(1) New construction *

12³

(A)(2) Additions, alterations, or repairs of existing *

12³

(B) Other residential occupancies

Exclude one-family dwellings, two-family dwellings, and townhouses reported above

(B)(1) New construction *

12³

(B)(2) Additions, alterations, or repairs of existing *

12³

(C) Nonresidential buildings

Include commercial, industrial, and hazardous occupancies

(C)(1) New construction

*

10^3

(C)(2) Additions, alterations, or repairs of existing

*

10^3

(D) Other permits

(D)(1) All other permits (pools, sheds, decks, plumbing, HVAC, etc.)

*

This number should include all building permits not included in figures reported above.

10^3

(D)(2) Certificates of occupancy or compliance issued for all occupancies

*

Enter the number of certificates of occupancy and/or compliance issued here.

10^3

Operating Permits

Are operating permits required in the city?

Throughout the reporting period, operating permits were defined in the Uniform Code under Section * 108 of the 2017 Uniform Code Supplement as follows:

108.8 Operating permits.

Where the stricter of the Authority Having Jurisdiction's Code Enforcement Program or a Part 1203-Compliant Code Enforcement Program requires an operating permit to conduct an activity or to use a category of building, no person or entity shall conduct such activity or use such category of building without obtaining an operating permit from the Authority Having Jurisdiction. The procedures for applying for, issuing, revoking, and suspending operating permits shall be as set forth in the stricter of the Authority Having Jurisdiction's Code Enforcement Program or a Part 1203-Compliant Code Enforcement Program.

Yes

No

Manufacturing, storing, or handling hazardous materials in quantities exceeding those listed in Tables 5003.1.1(1-4) of the 2015 International Fire Code (see 19 NYCRR Part 1225): *

12³

Hazardous processes and activities, including but not limited to, commercial and industrial operations which produce combustible dust as a by product, fruit and crop ripening, and waste handling: *

12³

Use of pyrotechnic devices in assembly occupancies: *

12³

Buildings containing one or more areas of public assembly with an occupant load of 100 or more persons: *

$\frac{1}{2}^3$

Buildings whose use or occupancy classification may pose a substantial potential hazard to public safety, as determined by the government or agency charged with or accountable for administration and enforcement of the Uniform Code: *

$\frac{1}{2}^3$

Parking garages: *

$\frac{1}{2}^3$

Are other kinds of operating permits required in the city? *

Yes

No

Report other categories of operating permits issued and number of permits issued for each such category. Use *plus (+)* button to add as many as needed.

Describe operating permit category	*	1
<hr/>		
Number of permits issued	*	
<input type="text" value="123"/>		

Stop Work Orders ▼

Number of Stop Work Orders issued in reporting year	*
Enter the number of stop work orders issued. If none have been issued, enter 0.	
<input type="text" value="123"/>	

Practices

Notification of Fire or Explosion ▼

Have procedures been established for notification by the chief of your fire department(s) regarding fire or explosion involving any structural damage, fuel burning appliance, chimney, or gas vent?

<input type="radio"/> Yes	*
<input type="radio"/> No	

Unsafe Structures and Equipment

Have procedures been established for identifying and addressing unsafe structures and equipment? *

Yes

No

Procedures for Assuring Compliance with Uniform Code

Please identify all procedures used by the city to assure compliance with the Uniform Code:

Field Inspections

Plan Reviews

Software Report or Printout

Compliance Checklist

Other

Please specify other strategy to ensure compliance with the Uniform Code: 1

Use *plus (+)* button to add as many as needed.

Procedures for Assuring Compliance with Energy Code

Please identify all procedures used by the city to ensure compliance with the Energy Code:

Field Inspections

Plan Reviews

Software Report or Printout

Compliance Checklist

Other

Please specify other strategy to ensure compliance with the Energy Code: 1

Use *plus (+)* button to add as many as needed.

Record Keeping

Has a system of records of the features and activities specified in 19 NYCRR 1203.3(a-j) been established and maintained? *

Yes

No

Does the city utilize computer software to support your Uniform Code or Energy Code administration? *

Yes

No

Which vendors' software products does the city use to administer the Uniform Code or Energy Code? *

Inspections

Fire Safety and Property Maintenance Inspections

Use this section to report information regarding fire safety and property maintenance inspections performed in the city *during* the reporting period. In reporting numbers of buildings and occupancies, include *only* those which the municipality is required to inspect pursuant to 19 NYCRR 1203.3(h). Do not include those for which a state agency, such as the New York State Office of Fire Prevention and Control, or another local government is responsible.

(A) Buildings Containing One Or More Areas of Public Assembly in the municipality

An area of public assembly is any area with an occupant load of 50 or more

(A)(1) Number of buildings

*

12³

(A)(2) Number of buildings inspected

*

During the reporting period

12³

(A)(3) Number of buildings not inspected in the last 12 months

*

As of Dec 31, 2019, the last day of the reporting period

12³

(B) Buildings Containing 3 or More Dwelling Units in the municipality

Do not include:

- buildings containing areas of public assembly reported in (A)(1) above or
- dormitories reported in (C)(1) below.

(B)(1) Number of buildings

12³

(B)(2) Number of dwelling units in buildings reported in question (B)(1) above

12³

(B)(3) Number of buildings inspected

During the reporting period

*

12³

(B)(4) Number of buildings not inspected in the last 36 months

As of Dec 31, 2019, the last day of the reporting period

12³

(C) Dormitories in the municipality

(C)(1) Number of buildings in the city

*

12³

(C)(2) Number of buildings inspected

*

During the reporting period

10^3

(C)(3) Number of buildings not inspected in the last 12 months

*

As of Dec 31, 2019, the last day of the reporting period

10^3

(D) Nonresidential Buildings in the municipality

Do not include:

- buildings containing areas of public assembly reported in (A)(1) above;
- buildings containing 3 or more dwelling units reported in (B)(1) above; or,
- dormitories reported in (C)(1) above.

(D)(1) Number of buildings

*

10^3

(D)(2) Number of buildings inspected

*

During the reporting period

10^3

(D)(3) Number of buildings not inspected in the last 36 months

*

As of Dec 31, 2019, the last day of the reporting period

10^3

Special Inspections

Instructions for this section

Answer questions in this section in reference to special inspections as defined in Section 1702 of the Uniform Code.

Are special inspections required in the city?

*

Yes

No

Does the municipality retain special inspection reports?

*

Yes

No

Does the municipality require a statement of special inspections required as part of a condition for permit issuance?

*

Yes

No

Does the municipality require special inspection reports to be submitted prior to issuance of certificates of compliance or completion?

*

Yes

No

Construction Activity and Compliance

For each of the following project categories, provide the total number of projects in each category that were completed during the year covered by this report and the number of such completed projects that complied with the applicable requirements of the Energy Code:

New commercial building construction projects completed

*

12³

Completed new commercial building construction projects that are compliant *

12³

New residential building construction projects completed

*

12³

Completed new residential building construction projects that are compliant *

12^3

Existing commercial building renovation projects completed *

12^3

Completed existing commercial building renovation projects that are compliant *

12^3

Existing residential building renovation projects completed *

12^3

Completed existing residential building renovation projects that are compliant *

12^3

With respect to the response to previous question, provide a description of the methods used to verify such compliance with the Energy Code.

Average Number of Uniform Code Inspections Per Construction Project

On average, how many construction inspections are conducted for Uniform Code compliance for each *new residential* building? *

$1/2^3$

On average, how many construction inspections are conducted for Uniform Code compliance for each *new commercial* building? *

$1/2^3$

Average Number of Energy Code Inspections Per Project

On average, how many construction inspections are conducted for Energy Code compliance for each *new residential* building? *

$1/2^3$

On average, how many construction inspections are conducted for Energy Code compliance for each *new commercial* building? *

$1/2^3$

Estimation of Numbers Reported for This Section

Are any of the numbers reported in this section estimates?

Answer 'Yes' if any of the numbers of occupancies or inspections reported were estimated rather than *
tabulated from electronic records or manual counting of records.

Yes

No

Please describe briefly which figures are estimated and how estimates were calculated.

Average number of energy inspections is a rough estimate because we do not distinguish between energy and uniform code inspection types in records.

Energy Code Compliance

Instructions

The State Energy Conservation Construction Code (Energy Code) was amended and updated in its entirety, effective October 3, 2016. The amended and updated version of the Energy Code includes specific requirements relating to construction documents, applications for building permits, approvals of applications for building permits, and inspections and tests to be performed during construction. The questions in this section of this Report relate to the city's familiarity with, and ability to enforce, these new provisions.

In this section of this Report, the term "2015 IECC" means the 2015 edition of the International Energy Conservation Code (Second Printing, May 2015), the term "2016 Energy Code Supplement" means the publication entitled "2016 Supplement to the New York State Energy Conservation Construction Code (Revised August 2016)," the term "residential building" is as defined in the 2016 Energy Code Supplement, and the term "commercial building" means any building that is not a residential building.

The term "residential building" includes: (1) detached one-family dwellings having not more than three stories above grade plane; (2) detached two-family dwellings having not more than three stories above grade plane; (3) buildings that (i) consist of three or more attached townhouse units and (ii) have not more than three stories above grade plane; (4) buildings that (i) are classified in accordance with Chapter 3 of the 2015 International Building Code (as amended) in Group R-2, R-3 or R-4 and (ii) have not more than three stories above grade plane; (5) factory manufactured homes (as defined in section 372(8) of the New York State Executive Law); and (6) mobile homes (as defined in section 372(13) of the New York State Executive Law). For the purposes of this definition of the term "residential building," the term "townhouse unit" means a single-family dwelling unit constructed in a group of three or more attached units in which each unit (i) extends from the foundation to roof and (ii) has open space on at least two sides.

Did any Energy Code permitting or inspection functions performed in the city involve commercial buildings? *

Yes

No

Substantive requirements for construction documents

Does the city require that construction documents submitted as part of an application for a building permit show the following data and features of the building in sufficient detail to determine whether a building does or does not comply with the energy code:

Representation of building's thermal envelope? *

Yes

No

Insulation materials and their R-values? *

Yes

No

Fenestration U-factor and solar heat gain coefficient (SHGC)? *

Yes

No

Area-weighted U-factor calculations and SHGC values (where applicable)?

*

Yes

No

Mechanical system design criteria (Manual "J" and Manual "S" for residential buildings)?

*

Yes

No

Mechanical and service water heating system and equipment types, sizes, and efficiencies?

*

Yes

No

Economizer description (in the case of a commercial building)?

*

Yes

No

Equipment and system controls (in the case of a commercial building)?

*

Yes

No

Fan motor horsepower (hp) and controls (in the case of a commercial building)?

*

Yes

No

Duct sealing, duct and pipe insulation and location?

*

Yes

No

Lighting fixture schedule with wattage and control narrative (in the case of a commercial building)?

*

Yes

No

Location of daylight zones on floor plans (in the case of a commercial building)?

*

Yes

No

Air sealing details?

*

Yes

No

Construction document certification

Where the construction documents are required to be prepared by a New York State registered architect or licensed professional engineer, does the city require that the documents bear the seal or stamp and signature of such registered architect or licensed professional engineer and include, immediately above the signature, a statement substantially similar to the following: "To the best of the knowledge, belief, and professional judgment of the undersigned [registered architect or licensed professional engineer], the plans and specifications depicted on these drawings are in compliance with the applicable provisions of the New York State Uniform Fire Prevention and Building Code and the New York State Energy Conservation Construction Code, as currently in effect."?

*

 Yes No

When the city determines the construction documents to be in compliance with the applicable requirements of the Energy Code and accept the documents, does the city stamp the construction documents "Reviewed for Energy Code Compliance" and endorse the documents in writing?

*

 Yes No

Are inspections completed for each of the following (where applicable):

Inspections of footings and foundations to verify compliance with the Energy Code as to R-value, location, thickness, depth of burial and protection of insulation as required by the Energy Code and approved plans and specifications?

*

Yes

No

Inspections at framing and rough-in, made before application of interior finish and to verify compliance with the Energy Code as to types of insulation and corresponding R-values and their correct location and proper installation, fenestration properties (U-factor and SHGC and, in the case of a commercial building, VT), and proper installation and air leakage components as required by the Energy Code and approved plans and specifications?

*

Yes

No

Inspections at plumbing rough-in to verify compliance as required by the Energy Code and approved plans and specifications as to types of insulation and corresponding R-values and protection, required controls, and required heat traps on potable water heaters?

*

Yes

No

Inspections at mechanical rough-in to verify compliance as required by the Energy Code and approved plans and specifications as to installed HVAC equipment type and size, required controls, system insulation, and corresponding R-value; system and damper air leakage (in the case of a commercial building) or system air leakage control (in the case of a residential building); and required energy recovery and economizers (in the case of a commercial building) or programmable thermostats, dampers, whole-house ventilation, and minimum fan efficiency (in the case of a residential building)? *

Yes

No

Inspections at electrical rough-in to verify compliance as required by the Energy Code and approved plans and specifications as to installed lighting systems, components and controls and, if applicable, installation of an electric meter for each dwelling unit? *

Yes

No

A final inspection that verifies, in the case of a commercial building, the installation and proper operation of all building controls required by the Energy Code, the receipt of documentation verifying that activities associated with building commissioning required by the Energy Code have been conducted and that findings of noncompliance corrected, and the receipt of the HVAC system certification required by the Energy Code; and the final inspection shall verify, in the case of a residential building, the installation of all building systems, equipment, and controls required by the Energy Code and their proper operation and the installation of the number of high-efficacy lamps and fixtures required by the Energy Code?

*

 Yes No

In the case of residential buildings: 

Does the city require that a permanent certificate listing the predominant R-values of insulation installed be completed by the builder or registered design professional and posted on a wall in the space where the furnace is located?

*

 Yes No

Does the city require that building envelope values be confirmed as code compliant by at least one of the following methods? Prescriptive, Trade-off method (RESCheck), Energy Rating Index (2015 IECC Section R406)

*

Yes

No

In case of detached one-and-two family dwellings, townhouses, and multiple family dwellings of three stories or less, does the city require that an air leakage test (blower door test) be performed on the completed building envelope?

*

Yes

No

Does the city require verification that the air leakage rate is 3 ACH (50 pascals) or less?

*

Yes

No

Does the city require that a written report of the results of the air leakage test be signed by the party conducting the test and provided to the city? *

Yes

No

In a case where any part of the HVAC duct system located outside of the building envelope, does the city require that a duct tightness test be performed? *

Yes

No

Does the code official receive a written report of the results of the test signed by the party conducting the test? *

Yes

No

In the case of commercial buildings: 

Does the city require the demonstration of compliance with one of the following compliance paths?

ASHRAE Compliance Path:

Compliance with the requirements of ASHRAE 90.1-2013, as amended by the 2016 Energy Code Supplement.

Prescriptive Compliance Path:

Compliance with the requirements of (1) Sections C402 through C405 of the 2015 IECC, as amended by the 2016 Energy Code Supplement, (2) Section C406 of the 2015 IECC, as amended by the 2016 Energy Code Supplement, and (3) in the case of tenant spaces, Section C406.1.1 of the 2015 IECC, as amended by the 2016 Energy Code Supplement.

Performance Compliance Path:

Compliance with the requirements of Sections C402.5, C403.2, C404, C405.2, C405.3, C405.5, C405.6, and C407 of the 2015 IECC, as amended by the 2016 Energy Code Supplement, with building energy cost to be equal to or less than 85 percent of the standard reference design building.

*

 Yes No

Does the city require construction documents to clearly indicate provisions for commissioning and completion requirements in accordance with Section C408 of the 2015 IECC?

*

Yes

No

Complaints

Uniform Code Complaints

Number of complaints received in the municipality

*

During the reporting period

$1/2^3$

Number of complaints acted upon

*

During the reporting period

$1/2^3$

Energy Code Complaints

Number of complaints received in the municipality

*

During the reporting period

$1/2^3$

Number of complaints acted upon *

During the reporting period

 $\frac{1}{2}^3$ **Estimation of Numbers Reported for This Section** **Are any of the numbers reported in this section estimates?**

Answer 'Yes' if any of the numbers of occupancies or inspections reported were estimated rather than tabulated from electronic records or manual counting of records. *

 Yes No**Personnel****Instructions** **Identify all Code Enforcement Officials and Building Safety Inspectors enforcing the Uniform Code within Whoville.**

Do not include individuals who are limited to zoning and/or planning functions.

Include both employees and those performing these functions under contract.

Include personnel performing any work that requires them to obtain or possess certification as a Building Safety Inspector or Code Enforcement Officer. For example, fire department staff who perform fire safety or property maintenance inspections should be included. If services are provided by another local government that is required to file this report, you do not need to list any personnel in this report who will be listed in that local government's report.

Use *plus (+)* button to add as many as needed.

Training ID

Look the person up by typing their BSI certification number, CEO certification number, first + last name, or training ID number and choosing from the list that appears. If you cannot find the person in the list, leave blank and fill in information below.

▼

Name

*

Role

In what role is this person operating for the city?

*

Building Safety Inspector

Code Enforcement Official

Is This Person a Contractor?

Answer 'Yes', if the person is not an employee of the local government for which services are being provided.

*

Yes

No

Business E-Mail

DOS Code Enforcement Official Certification Number

Leave blank if individual is not yet certified

Hours Worked Per Week

*

2

Training ID

Look the person up by typing their BSI certification number, CEO certification number, first + last name, or training ID number and choosing from the list that appears. If you cannot find the person in the list, leave blank and fill in information below.



Role

In what role is this person operating for the city?

*



Building Safety Inspector



Code Enforcement Official

Is This Person a Contractor? *

Answer 'Yes', if the person is not an employee of the local government for which services are being provided.

Yes

No

Hours Worked Per Week *

Final Steps

Additional Information

Please provide any additional information or comments

Provide any additional information or comments that may prove helpful in processing the form and interpreting your response. Provide feedback on any data that were difficult to obtain and any concerns that might influence the accuracy, completeness, or precision of information you provided.

255

You Will Receive a Receipt *

The Division of Building Standards and Codes will send an email receipt with a copy of your submission within ten business days of receiving your submission. The receipt will be sent from dos.sm.codes.1203reportform@dos.ny.gov that includes a PDF transcript of your submission.

OK

Powered by Survey123 for ArcGIS