



NEW YORK CITY COMPTROLLER
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Follow-up Audit Report on the New York City Department of Buildings' Controls over Field Inspectors

MH22-062F | October 13, 2022



THE CITY OF NEW YORK
OFFICE OF THE COMPTROLLER
BRAD LANDER

October 13, 2022

To the Residents of the City of New York:

My office has audited the New York City Department of Buildings (DOB) to determine the extent to which recommendations issued in a 2018 audit report have been implemented. We conduct audits such as this to determine whether agencies are implementing recommendations made in prior audit reports.

I am pleased to report that DOB has improved some of its controls over inspectors. The 2018 audit found that DOB did not have sufficient controls over field inspectors and that it could not be reasonably assured that inspections were being performed in an appropriate manner or that the results of inspections were properly recorded and reported. In that audit, 13 recommendations were made to improve DOB's controls.

This follow-up audit found that five of the 13 recommendations have been implemented, one has been partially implemented, two are in the process of being implemented, and five are no longer applicable.

This follow-up audit makes four recommendations, including that DOB create a mechanism for tracking follow-up inspections of inspectors who receive less than satisfactory ratings; properly identify all follow-up inspections within its online inspection database; ensure that all required entries are made in that database; and establish a written policy for recording inspections completed by the Construction Safety Enforcement Unit.

The results of the audit have been discussed with DOB officials and their comments have been considered in preparing this report. DOB's complete written response is attached to this report.

If you have any questions concerning this report, please email my Audit Bureau at audit@comptroller.nyc.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "B. Lander".

Brad Lander
New York City Comptroller

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AUDIT IMPACT

Summary of Findings

This follow-up audit was conducted to determine the implementation status of an earlier audit, issued on December 21, 2018, titled *Audit Report on the New York City Department of Buildings' Controls over Field Inspectors* (Audit # MD18-078A). This audit found that the New York City (City) Department of Buildings (DOB) has improved its controls over inspectors and can be reasonably assured that inspections are being performed in an appropriate manner and that the results are properly recorded and reported.

DOB regulates the use of buildings and construction sites under its jurisdiction, and the agency's inspectors issue violations when a property or construction does not comply with the Construction Codes, New York City Zoning Resolution, or other applicable laws and rules.

Of the 13 recommendations made in the initial audit, this follow-up audit found that five have been implemented, one has been partially implemented, two are in the process of being implemented, and five are no longer applicable.

This follow-up audit recommends that DOB create a mechanism for tracking follow-up inspections of inspectors who receive less than satisfactory ratings; properly identify all follow-up inspections within its online inspection database; ensure that all required entries are made in that database; and establish a written policy for recording inspections completed by the Construction Safety Enforcement Unit.

Intended Benefits

The audit identified areas in which DOB can enhance its oversight of inspectors tasked with helping to facilitate safe construction activities and the lawful use of buildings and properties, thereby improving public safety.

INTRODUCTION

Background

As noted above, this follow-up audit assessed the implementation of recommendations made in a 2018 audit of DOB. That audit was conducted to determine whether DOB had sufficient controls over field inspectors to be reasonably assured that inspections were being performed in an appropriate manner and that the results were properly recorded and reported.

DOB's controls were found to be insufficient in that the agency was not in compliance with its Inspections Oversight Procedure, its Quality Assurance (QA) Inspection Reporting Systems were incomplete and inaccurate, and its online inspections management tool, DOB NOW, had inadequate processing controls. The audit made 13 recommendations intended to strengthen DOB's oversight. DOB agreed with one (#1), partially agreed with nine (#2, #3, #4, #5, #7, #8, #10, #11 and #13), and disagreed with three (#6, #9, and #12). In this report, we discuss the implementation status of each of the 13 recommendations.

DOB regulates the safe and lawful use of more than 1 million buildings and over 40,000 active construction sites under its jurisdiction by enforcing laws including City Construction Codes, Zoning Resolution, and Energy Code, and the New York State Multiple Dwelling Law. DOB enforces compliance with these regulations and promotes worker and public safety through its review and approval of building plans, permitting and licensing functions, and inspections. DOB Inspectors issue violations when a property or construction does not comply with the Construction Codes, Zoning Resolution, or other applicable laws and rules.

Objective

The objective of this audit was to determine the extent to which the 13 recommendations issued in the 2018 audit report have been implemented.

Discussion of Audit Results with DOB

The matters covered in this report were discussed with DOB officials during and at the conclusion of this audit. An Exit Conference Summary was sent to DOB on August 29, 2022 and discussed with DOB officials at an exit conference held on September 12, 2022. On September 22, 2022, we submitted a draft report to DOB with a request for written comments. We received a written response from DOB on October 6, 2022. In its response, DOB agreed with the audit's recommendations, stating that DOB "appreciates the time and effort that you and your staff dedicated to performing this audit. We appreciate the opportunity to address your audit findings and concerns, and will use it as a guide to further improve our policies and procedures."

The full text of the DOB response is included as an addendum to this report.

RESULTS OF FOLLOW-UP AUDIT

The audit found that five of the 13 recommendations (#3, #5, #9, #12, and #13) are no longer applicable. Of the remaining eight recommendations, the auditors determined that five (#1, #2, #4, #10, and #11) have been implemented, one (#8) has been partially implemented, and two (#6 and #7) are in the process of being implemented. The audit also identified one new issue. The initial audit's recommendations and the current audit's findings are summarized below.

Recommendation #1

DOB should ensure that all inspectorial and supervisory staff are trained and well informed of the QA inspection requirements as outlined in the Inspections Oversight procedure.

This recommendation has been IMPLEMENTED.

DOB officials explained that they distributed the QA policy to all inspectorial staff and provided follow-up training sessions on QA requirements. In addition, DOB provided the auditors with training videos on QA Inspections – Policy & Requirements for Supervisors, and on QA GPS Reviews – Training and Demonstrations for Supervisors.

DOB officials provided the auditors with the *Inspections Oversight Program (QA) Updates and Interim Protocols Memorandum* dated February 8, 2021 (QA Memorandum) and the email sent to DOB staff with the updated *Inspection Oversight Program (Quality Assurance Inspections) Standard Operating Procedures (SOP)* dated January 28, 2022 (QA SOP). Officials stated that the QA policy is sent to inspection managers monthly.

Recommendation #2

DOB should ensure that required QA Trainings and Reviews are performed bi-monthly for all inspectors by reviewing and monitoring the QA Inspection database.

This recommendation has been IMPLEMENTED.

Although DOB partially agreed with this recommendation in the prior audit, the auditors found that it was implemented. DOB provided the auditors with internal emails sent to DOB officials with the QA Inspections Mid Summary Reporting Dashboards for March 1 – April 5, July 1 – August 5, and September 1 – October 6, 2021; as well as the QA Mid Summary Reporting Dashboard for May 1 – June 7, 2021. The auditors received five Controls and Compliance Presentations (Bi-Monthly Updates) for January/February through September/October 2021 and an email containing the QA Inspections Reporting Dashboard for November 1 – December 31, 2021. A review of the data for Calendar Year 2021 shows that DOB's Development and Enforcement units increased the number of inspectors who received QA Inspections from January/February through March/April 2021, and that DOB maintained a QA Inspection completion rate of 90% or above from March 2021 through December 2021, the end of the audit scope period.

Recommendation #3

DOB should ensure that its requirement that there is a minimum of five days between QA Trainings and Reviews for the same inspector is adhered to.

This recommendation is NO LONGER APPLICABLE.

DOB's prior policy requiring a minimum of five working days between a QA Training Inspection and a QA Review Inspection is no longer in effect. According to the Inspections QA Memorandum, the requirement now states that a minimum of one QA Inspection every two months must be completed for each inspector that conducts field inspections¹ as part of his or her regular duties.

Recommendation #4

DOB should ensure that QA GPS tracking reviews are conducted bi-monthly for all inspectors in accordance with DOB procedures.

This recommendation has been IMPLEMENTED.

Although DOB had partially agreed with this recommendation in the prior audit, the auditors found that it was implemented. DOB provided the auditors with the internal QA GPS Mid Summary Reporting Dashboards for July 1 – August 5 and September 1 – October 6, 2021. The audit team received three Controls and Compliance Presentations (Bi-Monthly Updates) for May/June through September/October 2021 that were emailed to various DOB officials, which included the completed Bi-Monthly QA GPS Reviews, similar to the QA GPS Reviews Dashboards; and an email containing the QA GPS Dashboard for November 1 – December 31, 2021, which was sent to various DOB officials.

A review of the QA GPS Reviews Dashboards covering the periods of May 1 – December 31, 2021, found that DOB's Development and Enforcement units increased the number of QA GPS Reviews completed and that DOB maintained a GPS review completion rate of 90% or more during the period of September – December 2021.

Recommendation #5

DOB should ensure that required QA In-House reviews of supervisors are performed and documented.

This recommendation is NO LONGER APPLICABLE.

As per DOB's QA Memorandum dated February 8, 2021, the requirement for QA Inspections to be performed on supervisory staff working in the office is no longer in effect. For supervisory staff that may perform field inspections as part of their regular duties, QA Inspections may take place, but they are performed at the discretion of the QA Administrator or Unit Head and are not categorized as QA In-House inspections.

Recommendation #6

DOB should modify the QA Inspection database and the QA Inspection forms so that required follow-up QA inspections are identified and can be tracked.

This recommendation is IN PROCESS.

¹ "Field Inspection" is any inspection conducted on-site, in the field. It does not include document reviews, approvals, or triage activities conducted in-office that do not require an on-site inspection.

Although DOB disagreed with this recommendation in its response to the initial audit, the current audit found that the recommendation is IN PROCESS.

In January 2022, DOB updated its QA SOP, which now stipulates that each QA Inspection that receives a rating of “Unsatisfactory” or “Needs Improvement” must have a minimum of one separate, additional record entered in DOB NOW: *Inspections* identifying what follow-up actions were taken to address the issues identified during the original QA Inspection and QA Follow-up Inspection(s).

In addition, the updated QA SOP requires the reviewer to enter the QA Inspection ID of the original “Unsatisfactory” or “Needs Improvement” QA Inspection, to help identify the QA Follow-up Inspection as being associated with the original QA Inspection.

While DOB has implemented a new procedure to ensure the identification of QA Follow-up Inspections, it was only recently implemented in January 2022, after the audit scope period. Auditors conducted limited walkthroughs of the procedure and DOB provided examples of documented follow-up actions for the various Development and Enforcement units. Auditors noted that some of the Enforcement Unit’s examples, however, were not properly identified as follow-up QA Inspections as required by the new QA procedure.

Recommendation #7

DOB should ensure that required follow-ups of QA inspections rated as “unsatisfactory” and “needs improvement” are conducted, adequately documented, and appropriately indicated as follow-ups in the database.

This recommendation is IN PROCESS.

Although DOB had partially agreed with this recommendation, the current audit found that the recommendation is IN PROCESS.

DOB’s recently updated QA SOP for QA Inspections now states that QA Administrators are responsible for reviewing QA Inspections with overall ratings of “Needs Improvement” and “Unsatisfactory” on a minimum monthly basis, identifying areas requiring intervention at the unit or individual level, and coordinating or taking other follow-up action, including QA Follow-up Inspections and other follow-up actions (e.g., on-site or in-office discussions, training) as appropriate. The procedure calls for follow-up actions to be performed and documented no later than the end of the following reporting period.

As stated above, DOB updated this QA SOP after the audit scope period. Auditors conducted limited walkthroughs of the procedure and DOB provided examples of documented follow-up actions by the various Development and Enforcement units.

Recommendation #8

DOB should ensure that the inspection data entered into the QA Inspection database is periodically reviewed for completeness and accuracy.

This recommendation is PARTIALLY IMPLEMENTED.

DOB partially agreed with this recommendation in the prior audit, disagreeing with the need for the agency to manually review data for accuracy. The current audit found that the agency continues to disagree with this part of the recommendation.

DOB no longer completes QA Inspections in hard copy before entering them into the system—all inspections are now recorded directly in DOB NOW: *Inspections*.

Since the previous audit, DOB created the position of QA Administrator, who is responsible for monitoring the QA Inspection program for their respective unit or division, including verification that each inspector receives the minimum number of QA Inspections during each reporting period and that supervisors are entering information completely and accurately to ensure that overall ratings are consistent with QA Inspection findings.

While these are significant improvements, this follow-up audit found that a key piece of information—the Building Identification Number (BIN)—is still not consistently recorded in the system. An analysis of a spreadsheet listing the QA Inspections completed by the Development and Enforcement units for Calendar Year 2021 showed that 805 (21%) of the 3,887 QA Inspections recorded were missing the BIN and would be considered incomplete. The auditors also identified another 38 QA Inspections that did not record an address.

Recommendation #9

DOB should ensure that all QA Inspection forms are maintained by the units that are not using DOB NOW and that all inspections are recorded in the QA Inspection database, in accordance with its procedures.

This recommendation is NO LONGER APPLICABLE. DOB officials stated that all QA Inspections are recorded directly in DOB NOW: *Inspections*.

Recommendation #10

DOB should ensure that hardcopy inspection reports/checklists are maintained for all inspections in accordance with its procedures.

This recommendation has been IMPLEMENTED.

Although DOB had partially agreed with this recommendation, the current audit found that the recommendation has been implemented.

DOB officials stated that there are four Development and Enforcement units—Concrete Enforcement, Construction Safety Compliance, Construction Safety Enforcement, and Special Operations—that are not using DOB NOW but are instead completing hardcopy or electronic inspection reports. Once completed, the results are entered into an Excel spreadsheet. DOB provided auditors Excel spreadsheets listing the inspections completed by each of the four units from July 1 – December 31, 2021.

Auditors took a random sample of 103 inspections completed by the four units, obtained the hardcopy inspection reports, and compared the information contained in the inspection reports to the information contained in the Excel spreadsheets. That analysis showed that all hardcopy inspections reports were accounted for.

Recommendation #11

DOB should ensure that the DOB NOW QA inspection reporting tool captures all relevant information for QA inspections so that it can be used to adequately and timely monitor compliance with the Inspections Oversight procedure.

This recommendation has been IMPLEMENTED.

Although DOB had partially agreed with this recommendation, the current audit found that the recommendation has been implemented.

The auditors reviewed the Excel spreadsheet received from DOB, which contained 3,887 QA Inspections for Calendar Year 2021, and found that it included all the relevant fields that were missing in the previous audit.

Recommendation #12

DOB should ensure that inspection results receive the required supervisory review before they are auto-finalized in DOB NOW.

This recommendation is NO LONGER APPLICABLE.

DOB indicated that the auto-finalization feature was disabled in September 2020 and provided auditors with a screenshot showing the last day auto-finalization was performed. DOB also provided a January 2021 email chain between various DOB officials discussing auto-finalization and confirming that the feature is no longer in use.

A review of the more than 178,000 inspections completed during the period of July 1 – December 31, 2021, found that all the inspections were reviewed by a supervisor and none were auto-finalized.

Recommendation #13

DOB should track and monitor the number of auto-finalized inspections to see whether there are any patterns, such as certain supervisors with high numbers of inspections that are not being reviewed.

This recommendation is NO LONGER APPLICABLE.

As stated above, DOB discontinued the auto-finalization feature of inspection reports in DOB NOW: *Inspections* in September 2020.

New Issue

Requirement for Centralized Recording of All Construction Safety Enforcement Inspections

The Construction Safety Enforcement Unit is one of the units that records their inspection results in hardcopy inspection reports. These results are then entered into the unit's "Inspection Stops" spreadsheet, and the hardcopy inspection reports are maintained in boxes. To determine whether the "Inspection Stops" spreadsheet provided by DOB accounted for all hardcopy inspection reports, auditors took a limited sample of 50 hardcopy reports from the boxes for the Construction Safety Enforcement Unit and attempted to see whether they were recorded on the spreadsheet. The analysis showed that 11 (22%) of the 50 hardcopy inspection reports from the Construction Safety Enforcement Unit were not listed.

At the exit conference, DOB explained that during the scope of the audit the Construction Safety Enforcement Unit did not require inspectors to track inspections if the inspection did not result in a violation. Officials stated that as of December 2021, the unit changed its process and began requiring the tracking of all inspections, including those where no violation is issued. DOB stated that this change was verbally relayed to supervisory staff at multiple unit meetings but will be formalized in writing in the near future.

RECOMMENDATIONS

The auditors recommend that DOB:

1. Create a Dashboard (or some other mechanism) for tracking required Follow-up QA Inspections for inspectors who receive an “Unsatisfactory” or “Needs Improvement” rating, to ensure that the required Follow-up QA Inspections are completed as required in the QA SOP.

DOB Response: DOB agreed with this recommendation.

2. Identify all Follow-up QA Inspections in DOB NOW: *Inspections* as follow-up inspections so that they can be properly tracked.

DOB Response: DOB agreed with this recommendation.

3. Ensure that all required QA Inspection fields are completed in DOB NOW: *Inspections* as required in the QA SOP.

DOB Response: DOB agreed with this recommendation.

4. Establish a written policy for recording inspections completed by the Construction Safety Enforcement Unit.

DOB Response: DOB agreed with this recommendation.

Recommendations Follow-up

Follow-up will be conducted periodically to determine the implementation status of each recommendation contained in this report. Status updates are reported in the Audit Recommendations Tracker available here: <https://comptroller.nyc.gov/services/for-the-public/audit/audit-recommendations-tracker/>.

SCOPE AND METHODOLOGY

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objective. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objective. This audit was conducted in accordance with the audit responsibilities of the City Comptroller as set forth in Chapter 5, §93, of the New York City Charter.

The audit covered the period of January 1 through December 31, 2021.

To obtain an understanding of DOB's efforts in implementing the prior audit report's recommendations, the auditors reviewed the prior audit report, titled *Audit Report on the New York City Department of Buildings' Controls over Field Inspectors* (Audit # MD18-078A), issued on December 21, 2018. In addition, the auditors reviewed and used the following as criteria:

- QA Inspections Policy Update (Memorandum on the Inspections Oversight Program (QA) Updates and Interim Protocols), dated February 8, 2021;
- SOP Inspection Oversight Program (Quality Assurance Inspections), dated January 28, 2022; and
- SOP Global Positioning System, dated March 5, 2018.

In addition, the auditors also reviewed the following information:

- DOB NOW: *Inspections* – Operational & Technical Policies, dated October 17, 2018;
- DOB NOW: *Inspections* – Mobile User Manual (February 12, 2020);
- DOB NOW: *Inspections* – Office User Manual (March 26, 2020);
- Training videos for: Field Force Manager, QA GPS Reviews, and QA Inspections – Policy and Requirements for Supervisors;
- List of all Development and Enforcement Inspection Units and descriptions of each;
- Hardcopy and electronic inspection reports from Concrete Enforcement, Construction Safety Compliance, Construction Safety Enforcement, and Special Operations;
- Mid-Period QA Inspection Dashboards for March 1 – April 5, 2021, May 1 – June 7, 2021, July 1 – August 5, 2021, and September 1 – October 6, 2021;
- QA Inspections Reporting Dashboard for November 1, 2021 – December 31, 2021;
- QA GPS Mid Summary Reporting Dashboards for July 1 – August 5, 2021, and September 1 – October 6, 2021;
- QA GPS Dashboard for November 1, 2021 – December 31, 2021; and
- Controls and Compliance bi-monthly reports from January – February 2021 through September – October 2021.

To obtain a further understanding of DOB's implementation of the prior report's recommendations, the auditors interviewed DOB's Deputy Commissioner of Enforcement, Director of Construction Enforcement Inspections, Director of Special Enforcement Inspections, Assistant Commissioner

of Development Inspection Services, Executive Inspector, QA Management, and the Chief Learning Officer at Building University.

DOB provided Controls and Compliance Presentations (Bi-Monthly Updates) for the period January through October 2021 containing QA Inspection Reporting. These presentations also contained the QA GPS Reviews for the period of May through October 2021. Auditors also received an email containing the Bi-Monthly QA Inspections and QA GPS Dashboards for November – December 2021. The auditors entered the number of inspectors who received QA Inspections and the number that did not, as well as the total number of inspectors for each Development and Enforcement unit into an Excel spreadsheet. Auditors then determined the percentage of inspectors who received a QA Inspection versus the inspectors that did not for Calendar Year 2021, and did the same analysis for the QA GPS Reviews for May through December 2021.

DOB provided Excel spreadsheets with a list of the inspections completed by each of the four inspection units that still record the inspections on hardcopy. Auditors received a spreadsheet on April 6, 2022 for the Special Operations Unit, on April 20, 2022 for the Concrete Enforcement Unit, on April 22, 2022 for the Construction Safety Compliance Unit, and on April 27, 2022 for the Construction Safety Enforcement Unit.

From each of the spreadsheets, auditors took a random sample using the Excel data analytic tool of 25 inspection reports from each of the units, and an additional sample of three inspection reports completed in Staten Island from the Concrete Enforcement Unit, for a total sample of 103 inspection reports. In addition, auditors took a random sample of 25 inspections reports from the boxes for the Construction Safety Enforcement and Special Operations units for a total of 50 inspection reports.

After reviewing the inspection reports and attempting to match them to the Excel spreadsheet for each unit, auditors found that they could not find five inspection reports from the Construction Safety Enforcement Unit on its Excel spreadsheet. Auditors sent DOB an email requesting an explanation and after waiting for five weeks and not receiving a reply, the audit team decided to take an additional random sample of 25 inspection reports from the Construction Safety Enforcement Unit's boxes, found an additional six inspection reports that were not listed on its Excel spreadsheet, and sent an additional email to DOB asking for an explanation.

DOB provided two Excel spreadsheets on April 29, 2022, containing the inspections performed by DOB inspectors from July 1, 2021 through December 31, 2021, recorded in DOB NOW: *Inspections*. The first spreadsheet included the following fields: Inspection ID, Record ID, Inspector Department, Address and BIN where the Inspection took place, Inspection Date, Time Inspection Started and Ended, Inspector completing the inspection, Record Status, Record Type, Result, and Bureau. The second spreadsheet also contained the Inspection ID, Record ID, and Inspection Date, as well as the Supervisor who reviewed the inspection report. The auditors combined the two spreadsheets and reviewed the information to determine if all the inspections were reviewed by a supervisor and to ensure that none were auto-finalized.

DOB also provided an Excel spreadsheet on March 11, 2022, of the QA Inspections performed on the DOB inspectors from July 1, 2020 through December 31, 2021. The spreadsheet contained the Inspection ID, Type, Unit performing inspection, Date, Bureau, Address, BIN, Reviewer, Reviewer Title, Reviewee, Reviewee Title, and Overall Rating. The auditors reviewed each column in the spreadsheet to determine how many cells in each column were missing the required information.

On August 15, 2022, the auditors met with DOB officials from the Development Unit, and on August 17 and 25, 2022, the auditors met with DOB officials from the Enforcement Unit to discuss and observe how they handle Follow-up QA Inspections for inspectors that received a “Needs Improvement” or an “Unsatisfactory” rating on their QA Inspection as outlined in the new QA SOP.

The results of the above tests, while not statistically projected to their respective populations, provide reasonable assurance to assess whether DOB implemented the recommendations made in the prior audit report.



Eric A. Ulrich,
Commissioner

October 6, 2022

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Re: Follow-up Audit Report on New York City Department of Buildings' Controls Over Field Inspectors (MH22-062F)

Dear Ms. Hayes-Chaffe:

Thank you for giving us the opportunity to respond to the above referenced draft audit report. The Department appreciates the time and effort that you and your staff dedicated to performing this audit. We appreciate the opportunity to address your audit findings and concerns, and will use it as a guide to further improve our policies and procedures.

The Department makes unceasing efforts to continually improve and reinforce inspection standards and will continue this course.

As your report indicated, the objective of the City of New York, Office of the Comptroller's audit was to determine the extent to which the 13 recommendations issued in the 2018 audit report have been implemented. The summary conclusions and status of the audit recommendations indicated that the Department administrators have made significant progress in addressing the issues that were previously identified. Specifically, your report stated that "DOB has improved its controls over inspectors to be reasonably assured that inspections are being performed in an appropriate manner and that the results are properly reported and recorded."

Of the thirteen prior audit recommendations, five were no longer applicable, five recommendations have been implemented, two were in progress of being implemented, and one recommendation has been partially implemented.

The following are the Department's responses to the remaining four (4) recommendations that were made:

DOB Responses to Recommendations

Recommendation 1:

“Create a Dashboard (or some other mechanism) for tracking required Follow-up QA inspections for inspectors who receive an “Unsatisfactory” or “Needs Improvement” rating, to ensure that the required Follow-up QA Inspections are completed as required in the QA SOP.”

DOB’s Response: DOB agrees with this recommendation. A dashboard will be created for tracking QA inspections for inspectors who receive an “Unsatisfactory” or “Needs Improvement” rating. These inspectors will have related follow-up inspections that will be reflected in the dashboard report.

Recommendation 2:

“Identify all Follow-up QA Inspections in DOB NOW: Inspections as follow-up inspections so that they can be properly tracked.”

DOB’s Response: DOB agrees with this recommendation, and will provide additional training for the QA inspectorial team regarding awareness of selected drop-down menus. Additionally, a dashboard will be created to identify all inspections requiring a follow-up.

Recommendation 3:

“Ensure that all required QA Inspections fields are completed in DOB NOW: Inspections as required in the QA SOP.”

DOB’s Response: DOB agrees with this recommendation and will adhere to the QA SOP’s instructions.

Recommendation 4:

“Establish a written policy for recording inspections completed by the Construction Safety Enforcement Unit.”

DOB’s Response: DOB agrees with this recommendation and will create policies for recording Construction Safety Enforcement inspections. Moreover, all routed inspection stops have been documented in BIS since December 2021.

Sincerely,



Eric A. Ulrich, Commissioner
Department of Buildings

cc: Mark Sanabria, Department of Buildings
Kerry Castro, Department of Buildings
Doug Giuliano, Mayor’s Office of Operations



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