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# CITY OF CHICAGO RULES

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## **SELF-CERTIFICATION PERMIT PROGRAM**



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**Mayor Lori E. Lightfoot**

**Commissioner Judith Frydland**

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BY AUTHORITY VESTED IN THE COMMISSIONER OF BUILDINGS PURSUANT TO SECTIONS 14A-1-104.2 AND 14A-1-104.4 AND THE GENERAL PROVISIONS OF THE MUNICIPAL CODE OF CHICAGO, THE FOREGOING RULES FOR THE SELF-CERTIFICATION PERMIT PROGRAM ARE ADOPTED AND SUPERSEDE ALL PRIOR RULES.

BY ORDER OF THE COMMISSIONER:

  
JUDITH FRYDLAND

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## Overview

The Self-Certification Permit Program simplifies and shortens the building permitting process for eligible projects by allowing architects and structural engineers who meet the qualifications specified in these Rules to take full responsibility for code compliance on small and mid-sized projects that do not present unusual hazards. Instead of plan reviews conducted by a Department of Buildings employee, a Self-Certification Professional (SCP) certifies that the proposed work fully complies with the Building Code or Chicago Construction Codes, as applicable. Reviews and approvals by other City departments, including zoning, are still required before a permit is issued. The Department verifies compliance of work permitted under the Self-Certification Program through both field inspections and selective audits.

## PART I: GENERAL PROVISIONS

### A. Definitions

Unless otherwise expressly stated, for the purposes of these Rules, the following words and terms have the meanings shown in this Rule.

1. **BUILDING CODE.** As defined in Section 1-4-090(h) of the Municipal Code and any rules or formal interpretations issued pursuant to the Building Code, excluding the Chicago Construction Codes.
2. **CHICAGO CONSTRUCTION CODES.** As defined in Section 14A-2-202 of the Municipal Code pursuant to the transitional provisions in Section 14A-1-105 of the Municipal Code, and any rules or formal interpretations issued pursuant to the Chicago Construction Codes.
3. **COMMISSIONER.** The Commissioner of Buildings or the Commissioner's designee.
4. **DEPARTMENT.** The Department of Buildings of the City of Chicago.
5. **E-PLAN.** The Department's web-based system for the electronic submission and review of plans and other documents related to building permit applications.
6. **EXPEDITER.** A person licensed under Section 4-6-260 of the Municipal Code.
7. **FALSE STATEMENT.** As described in Chapter 1-21 of the Municipal Code.
8. **MODULAR CONSTRUCTION.** A type of building construction where individual components of the building such as wall, floor, and roof framing, sheathing, cladding, and/or finishes, electrical systems or fixtures, plumbing systems or fixtures, HVAC systems or fixtures, life safety systems, or other structural or non-structural components of a building are pre-assembled at an off-site location into finished or partially-finished modules.
9. **MUNICIPAL CODE.** The Municipal Code of Chicago.
10. **NOTIFICATION.** As described in Section 14A-4-410.4 of the Municipal Code.

11. **PERMIT APPLICANT.** The person who applies for the permit in accordance with Item 5.1 of Section 14A-4-410.3 of the Municipal Code.
12. **PERMIT APPLICATION.** An application for a building permit or similar permit, including the associated drawings and all other supporting information, submitted to the Department or prepared for submission to the Department under the Self-Certification Permit Program, together with all revisions or additional related information submitted to the Department prior to permit issuance.
13. **PREPARED BY.** Personally prepared by the SCP; or, if the SCP is an Illinois-licensed architect, prepared by a person over whom the SCP exercises responsible control within the meaning of Section 14 of the Illinois Architecture Practice Act of 1989; or, if the SCP is an Illinois-licensed structural engineer, prepared by a person over whom the SCP exercises personal supervision and control within the meaning of Section 12 of the Illinois Structural Engineering Act of 1989.
14. **PROFESSIONAL OF RECORD.** The Illinois-licensed architect or structural engineer who signed and sealed the architectural drawings for a project which the Department has permitted.
15. **PROJECT.** The work identified in a permit application and accompanying plans, or, with respect to a phased permitting process, the work identified in all related applications and accompanying plans.
16. **PROJECT LEAD.** An individual, other than the professional of record, who is licensed by the State of Illinois to practice architecture or structural engineering and exercises substantial responsibility for the architectural design of a project. For example: an individual who prepared more than half of the architectural documents for a project under the control of the professional of record.
17. **SELF-CERTIFICATION PROFESSIONAL or SCP.** A natural person currently registered and eligible under Part V of these Rules.
18. **SELF-CERTIFIED DRAWINGS.** Means all drawings and associated notes and calculations submitted to the Department by the SCP in connection with a permit application, including drawings, notes, and calculations prepared, signed, and sealed by other licensed professionals.
19. **STRUCTURAL PEER REVIEWER'S REPORT.** A report meeting the requirements of the Department's Rules for the Structural Peer Review Program.
20. **SUBMITTED BY.** Personally submitted by the SCP; or, if the SCP is an Illinois-licensed architect, submitted by a person over whom the SCP exercises responsible control within the meaning of Section 14 of the Illinois Architecture Practice Act of 1989; or, if the SCP is an Illinois-licensed structural engineer, submitted by a person over whom the SCP exercises personal supervision and control within the meaning of Section 12 of the Illinois Structural Engineering Act of 1989.
21. **TECHNOLOGY EQUIPMENT AREA.** As defined in Section 14B-2-202 of the

Municipal Code.

22. **TEMPORARY.** To be erected at the same location for 60 days or less.

## **B. Scope and Effect**

1. These Rules are prospective only.
2. Nothing in these Rules prevents a SCP from using the Department's standard plan review process to obtain a building permit for an eligible project.
3. Nothing in these Rules is intended to limit the power or authority of the City of Chicago, the Commissioner, the Department, or any other City department or official; nor are these Rules intended to relieve any person or entity from full compliance with any provision of the Municipal Code, or any other rules and regulations promulgated by the Department or any department of the City.
4. The Commissioner reserves the right to amend these Rules at any time in accordance with law.
5. The provisions of these Rules are severable. If any part of these Rules is declared invalid or unconstitutional, that declaration shall not affect the part or parts that remains.

## **PART II: GENERAL SELF-CERTIFICATION REQUIREMENTS**

### **C. Eligible Projects**

1. A permit application prepared by a SCP for a project of a type listed in Table C-1 (2018) or C-1 (2020), as applicable, and not including any disqualifying feature listed in Table D (2018) or D (2020), as applicable, or Rule D is eligible to be submitted through the Self-Certification Permit Program.
2. The permit application must include a Structural Peer Reviewer's Report if the project scope is listed in Table C-2 (2018) or C-2 (2020), as applicable.

**NOTE:** *Tables C-1 (2018), C-1 (2020), C-2 (2018), C-2 (2020), D (2018) and D (2020) are found at the end of these Rules.*

3. The Department has sole and final authority over whether a project is eligible to be submitted or permitted through the Self-Certification Permit Program and as to whether a Structural Peer Reviewer's Report is required in order to be permitted under the Self-Certification Permit Program. In case of a dispute over eligibility, the permit application will be reviewed under the Department's standard plan review process.
4. The Department may require a permit application otherwise eligible for the Self-Certification Permit Program to be reviewed under the Department's standard plan review process if the Department, in its sole discretion, determines the project presents an unusual risk or hazard to life or property.

5. The Commissioner may grant written authorization for a permit application for a type of work similar to one listed in Table C-1 (2018) or C-1 (2020), as applicable, to be reviewed under the Self-Certification Permit Program.
6. Permit applications for projects to be permitted under the Chicago Construction Codes, as listed in Table C-1 (2020), may only be submitted by a SCP who has been trained to use the Chicago Construction Codes, as determined by the Department.
7. Projects which require a structural peer review per Table C-2 (2020) may not be submitted before February 1, 2020.

#### **D. Ineligible Projects**

1. A permit application for any project containing a disqualifying feature listed in Table D (2018) or D (2020), as applicable, is ineligible to be submitted through the Self-Certification Permit Program.

**NOTE:** *Tables C-1 (2018), C-1 (2020), C-2 (2018), C-2 (2020), D (2018) and D (2020) are found at the end of these Rules.*

2. Permit applications for projects that are eligible for the Self-Certification Prototype Program or the Self-Certification Temporary Structure Permit Program must be submitted under Part III or IV of these Rules, as applicable.

#### **E. Pre-Submission Requirements**

1. Prior to submitting a permit application to the Department, the SCP must:
  - a. Complete a thorough on-site investigation of the site where work is to be performed to determine that the self-certified drawings accurately reflect site conditions and existing building conditions, if applicable.
  - b. Thoroughly review all documents to be submitted to the Department as part of the permit application, including documents signed and sealed by other licensed professionals, to verify compliance with the Municipal Code.
  - c. Complete, sign and seal a Self-Certification Statement, on the form provided by the Department, and provide a copy to the permit applicant identified on the permit application.
  - d. Obtain a signed Permit Applicant Acknowledgement and Hold Harmless Letter(s), on the forms provided by the Department.

#### **F. Submission Requirements**

1. Permit applications must be submitted by the SCP using the SCP's personal E-Plan account. A SCP may not designate any other person to begin an electronic permit application, upload documents to the E-Plan system, or request that the Department process or not process an existing permit application under the Self-

Certification Permit Program.

2. An expeditor may assist with a permit application, but the expeditor may not perform any of the actions listed in Paragraph F(1) on behalf of the SCP.
3. Permit applications must comply with all ordinances and rules governing applications for permit, generally.
4. Permit applications must include:
  - a. All forms and documents required under the Department's standard plan review process.
  - b. A completed Architect's Self-Certification Statement.
  - c. A completed Permit Applicant Acknowledgement.
  - d. Completed Hold Harmless Letter(s), from the permit applicant and from the owner of the real property where work is to be performed, if the owner of the real property is different from the permit applicant.
  - e. A valid Debt Clearance Certificate from the Department of Finance.
  - f. A Structural Peer Reviewer's Report, if structural peer review is required by these Rules.
  - g. Evidence that, if any specialized review by the Department is required, including but not limited to Alternative Code Approval or Committee on Standards and Tests consideration, such review has been completed and approved prior to submission of the permit application.

**G. Architect's Self-Certification Statement**

1. The Architect's Self-Certification Statement will require the SCP to make the following representations:
  - a. The SCP meets all eligibility requirements set forth in Rule O.
  - b. The SCP has determined the project is eligible under these Rules.
  - c. The SCP has reviewed all documents being submitted in connection with the permit application, including those prepared and signed or sealed by others, and has determined that the work identified in the documents will conform to the requirements of the Building Code or Chicago Construction Codes, as applicable.
  - d. The Self-Certification Statement and all other documents which are part of the permit application and sealed by the SCP were prepared in accordance with the standard of care applicable to the practice of architecture in the State of Illinois.
  - e. All information and assertions made by the SCP in the permit application

are true and correct.

- f. The SCP will comply with his or her ongoing obligations under Rule T.
  - g. The SCP understands that the Commissioner will rely on the truth and accuracy of the certifications made in the permit application as the basis for issuing a permit, and such permit will be subject to field inspection and/or audit in accordance with these Rules.
2. Nothing in this Rule limits the Commissioner from requiring additional representations in the Architect's Self-Certification Statement.

## **H. Permit Applicant Acknowledgement**

1. The Permit Applicant Acknowledgement will require the permit applicant to make the following representations:
- a. The permit applicant has authorized the work of all design professionals and contractors identified in the permit application and self-certified drawings.
  - b. The permit applicant agrees to take all measures necessary to correct any false or inaccurate statement made by the permit applicant, knowingly or negligently, in the permit application or any document submitted in support of the permit application, either by the permit applicant or the permit applicant's agents, contractors, or employees.
  - c. The permit applicant understands that the permit will be a conditional permit, subject to post-issuance audit and/or field inspection by the Department in accordance with these Rules.
2. Nothing in this Rule limits the Commissioner from requiring additional representations in the Permit Applicant Acknowledgement.

## **I. Hold Harmless Letter**

1. The Hold Harmless Letter will require the permit applicant and the owner of the real property where work is to be performed, if the owner of the real property is different from the permit applicant, to agree to the following:
- a. To protect, defend, indemnify and hold harmless the City of Chicago and its officers, representatives, agents, and employees against any and all claims, liabilities, judgments, costs, expenses, delays, demands, or injuries arising out of or in any way connected with the design, construction, code compliance review, or issuance of a permit for the project.
  - b. To promptly take all action necessary to bring the project into conformance with the Building Code or Chicago Construction Codes, as applicable, including but not limited to securing a revised permit, modifying work performed under the conditional permit, or removing work

performed under the conditional permit, at no cost to the City of Chicago, if the Department determines through a field inspection or post-issuance audit that the self-certified drawings and/or work performed under the conditional permit do not comply with the Building Code or Chicago Construction Codes, as applicable.

2. Nothing in this Rule limits the Commissioner from requiring additional agreements in the Hold Harmless Letter.

## **J. Review and Issuance**

1. Permit applications will be subject to review for compliance with the Zoning Ordinance under the authority of the Zoning Administrator and the Department of Planning and Development.
2. Permit applications will be subject to review for compliance with the Stormwater Management Ordinance, if applicable.
3. Permit applications will be subject to review for compliance with requirements of the Chicago Department of Transportation's Office of Underground Coordination (OUC), if applicable.
4. Following review and approval by all necessary City departments (including but not limited to those listed above), the permit application will be reviewed by the Department for compliance with these Rules.
5. If the Department determines that a permit application has minor defects, errors, omissions, or deficiencies, the Department will notify the SCP and provide one opportunity to correct the permit application.
6. If the Department determines that a permit application has substantial defects, errors, omissions, or deficiencies, the Department may notify the SCP and provide one opportunity to correct the permit application or may require the permit application to be reviewed under the standard plan review process.
7. If, after allowing the SCP one opportunity to correct the permit application, the Department again determines that there are minor or substantial defects, errors, omissions, or deficiencies in the permit application, the project is ineligible to continue under the Self-Certification Permit Program and the permit application (and any subsequent permit applications for the same or substantially similar project prepared by the same SCP) must be reviewed under the standard plan review process.

## **K. Permit Revisions**

1. An application to revise a permit issued under the Self-Certification Permit Process may be submitted through the Self-Certification Permit Process but only with the written pre-approval of the Department.
2. The Department will ordinarily grant such approval if:

- a. The revision does not make the scope of work an ineligible project;
  - b. The revision does not change the zoning use classification of the project, as approved in the original permit;
  - c. The revision is not being made to address a stop work order or audit under these Rules;
  - d. The self-certified drawings are prepared by the same SCP who prepared the self-certified drawings for the original permit; and
  - e. The application will include an updated Structural Peer Reviewer’s Report if the revision is structural in nature.
3. An application to revise a permit issued under the Self-Certification Permit Program which will be submitted by an architect other than the SCP who prepared the self-certified drawings for the original permit must always be submitted for review under the Department’s standard plan review process.
  4. The Department has sole and final authority over whether an application to revise an active permit may be submitted or permitted through the Self-Certification Permit Program.

**PART III: PROTOTYPE-BASED SELF-CERTIFICATION**

**L. Eligibility and Requirements**

1. A permit application prepared by a SCP for a new-construction project of a type listed in Table L (2018) or L (2020), as applicable, and not including any disqualifying feature listed in Table D (2018) or D (2020), as applicable, or Rule D, is eligible to be submitted through the Self-Certification Permit Program as a prototype-based application if the SCP was the professional of record on a substantially similar project permitted under the Department’s standard plan review process during the preceding 36-month period.

**TABLE L (2018): PROTOTYPE ELIGIBLE PROJECTS**

Occupancy Classification	Conditions
<b>Single-Family Dwelling (A-1)</b>	- up to 4 stories
<b>Multiple Dwelling (A-2)</b>	- up to 4 stories, any number of dwelling units
<b>Small Assembly (C-2)</b>	- up to 2 stories
<b>Business (E)</b>	- up to 4 stories
<b>Mercantile (F)</b>	- up to 2 stories
<b>Garage (H-3)</b>	- 1 story
<b>Mixed Occupancy (any combination of A, C-2, E, F, and H-3)</b>	- up to 4 stories with only Class A (Residential) or only Class E (Business) above 1st story

**TABLE L (2020): PROTOTYPE ELIGIBLE PROJECTS**

**City of Chicago Department of Buildings  
Rules for the Self-Certification Permit Program**

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<b>Occupancy Classification</b>	<b>Conditions</b>
<b>Group A</b> (occupant load less than 300)	- up to 2 stories above grade plane - no more than one basement
<b>Group B</b>	- up to 4 stories above grade plane - no more than one basement
<b>Group M</b>	- up to 2 stories above grade plane - no more than one basement
<b>Group R</b>	- up to 4 stories above grade plane - no more than one basement - any number of dwelling units or sleeping units
<b>Group S-2 (parking garage only)</b>	- up to 1 story above grade plane - no more than 1 basement
<b>Mixed Occupancy (any combination of A, B, M, R, or S-2 allowed above)</b>	- up to 4 stories above grade plane - Group A, M and S-2 occupancies limited to basement and first story above grade plane

2. The permit application for a project submitted under this Rule must also include a Structural Peer Reviewer's Report if the project scope is listed in Table C-2 (2018) or C-2 (2020), as applicable, or the project will involve an earth retention system.
3. A project is not eligible to be permitted through the Self-Certification Prototype Permit Program if any provision of the Building Code or Chicago Construction Codes applicable to the project has been substantively amended since the prototype permit was issued.
4. For purposes of this Rule, a project is substantially similar to a prototype project if the only changes are:
  - a. A minor decrease, as determined by the Department, in the building's width or length.
  - b. An increase in the distance from property lines and other buildings on the same lot.
  - c. A change of window location, size, or type that does not decrease the quantity of natural light or ventilation in a room or space required by the Building Code or Chicago Construction Codes, as applicable, to be provided with natural light or ventilation.
  - d. A change of exterior wall finishes, if the change does not decrease the fire-resistance rating or change the combustibility of the wall assembly.
  - e. A mirror image of the building.
  - f. Room variations on a floor, such as the relocation of closets or changes in closet size, the relocation of plumbing fixtures if such relocation does not impact vertical stack locations, the relocation of interior doors, or the installation of plumbing fixtures where the prototype indicated rough-in only, provided, however, all such changes must be itemized on the first

sheet of the drawings and are subject to review by the Department.

5. Permit applications submitted under this Rule must have a full copy of the approved permit drawings for the previously-permitted prototype project uploaded to the reference documents folder in the E-Plan system.
6. Permit applications submitted through the Self-Certification Prototype Permit Program must also comply with Rules E through J.

## **PART IV: TEMPORARY STRUCTURE SELF-CERTIFICATION**

### **M. Eligibility and Requirements**

1. The following projects are eligible to be permitted under the Self-Certification Permit Program as temporary structures:
  - a. Temporary tents and temporary canopies up to 4,000 square feet, with an occupant load less than 300.
  - b. Temporary stages and temporary platforms with an occupant load less than 300.
  - c. Other temporary buildings and structures which will be used for small-assembly (C-2), business (E), or mercantile (F) occupancy, or Group A (with occupant load less than 300), B, or M occupancy, as applicable.
2. A permit for a temporary structure issued under the Self-Certification Permit Program may only be renewed or extended through the standard plan review process.
3. Permit applications submitted through the Self-Certification Permit Program for temporary structures must also comply with Rules E through J, however the Department may provide and require the use of specialized forms for such applications.

### **N. Required Pre-Occupancy Inspection by SCP**

1. If a permit is issued under the Self-Certification Permit Program for a temporary structure, the SCP, or an Illinois-licensed architect or structural engineer working under the SCP's control, must conduct a field inspection of the structure for conformance with the self-certified drawings and the Building Code or Chicago Construction Codes, as applicable.
2. A temporary structure permitted under the Self-Certification Permit Program may not be used or occupied, until: (a) the project has passed all necessary inspections performed by the Department; or (b) 24 hours after the SCP completes a Certificate of Compliance and uploads it to the E-Plan system.
3. The Certificate of Compliance must be on a form provided by the Commissioner, and, at a minimum, will require the SCP to certify that:

- a. The SCP has completed, or caused an Illinois-licensed architect or structural engineer working under the SCP's control to complete an in-person inspection of the temporary structure;
  - b. Based on the inspection, the temporary structure has been erected in substantial compliance with the self-certified drawings;
  - c. Based on the inspection, the temporary structure has been erected in substantial compliance with the Building Code or Chicago Construction Codes, as applicable;
  - d. Based on the inspection, the temporary structure, as erected, is safe for use and occupancy; and
  - e. The SCP has notified the permit applicant in writing of applicable restrictions on the use or occupancy of the temporary structure under the permit.
4. The Certificate of Compliance must be signed and sealed by the SCP and a copy must be available on site at all times the temporary structure is occupied.
  5. Nothing in this Rule limits the Commissioner from requiring additional certifications in the Certificate of Substantial Compliance.
  6. Nothing in this Rule limits the Department from inspecting a temporary structure permitted under the Self-Certification Permit Program or prohibiting the use or occupancy of a temporary structure found to be unsafe.

## **PART V: PROFESSIONAL REGISTRATION**

### **O. Eligibility**

1. To be eligible for SCP status, registration, or renewal an individual must:
  - a. Currently be licensed by the State of Illinois to practice architecture or structural engineering;
  - b. Have been licensed by the State of Illinois to practice architecture or structural engineering for at least 3 years;
  - c. Have acted as professional of record or project lead on 5 or more permits issued by the Department in the prior 60-month period;
  - d. Have successfully completed a Self-Certification Permit Program training class offered by the Department, as evidenced by a certificate of completion; and
  - e. Maintain current contact information, including an e-mail address, on file with the Department.
2. An individual is ineligible for SCP status if he or she is subject to active discipline

or disciplinary proceedings by the Department, the State of Illinois, or any other municipality or state licensing authority, or has been subject to such discipline during the preceding 5-year period.

3. An individual is ineligible for SCP status if, during the preceding 5-year period, he or she has been convicted or found liable of:
  - a. Knowingly making a false statement of material fact on or in connection with any permit application or other submission to a governmental entity;
  - b. Knowingly submitting any document containing false or fraudulent information in support of a permit application or other submission to a governmental entity; or
  - c. Knowingly affixing a false signature or seal to any permit application or other submission to a governmental entity.
4. Only natural persons (not firms, sole proprietorships, partnerships, corporations, limited liability companies, or other legal entities) are eligible for SCP status.
5. A SCP must continuously maintain professional liability insurance, issued by an insurer authorized to insure in the State of Illinois, with limits of not less than \$500,000.00 per claim and \$1,000,000.00 in the aggregate for all claims made during the policy period. This requirement may be met with professional liability coverage applicable to the SCP as owner, member, or employee of a sole proprietorship, firm, partnership, corporation, limited liability company, or similar entity, so long as the coverage is applicable to architectural and/or structural engineering services.

**P. Duration of Registration**

1. For an individual who was eligible to participate in the Self-Certification Permit Program prior to the effective date of these Rules, and who has not renewed under these Rules, his or her registration will expire on December 31 of the sixth year after the most-recently-attended training class.
2. For a SCP who registers or renews after the effective date of these Rules, his or her registration will expire on December 31 of the latter of:
  - a. The sixth year after such registration; or
  - b. The sixth year after the scheduled expiration of the prior registration.
3. A permit application submitted by a SCP whose registration status is expired will not be processed under the Self Certification Permit Program but will be reviewed under the Department's standard plan review process or other applicable review process.
4. The responsibility to maintain SCP status is on the registered individual and not on the Department. The Department is under no obligation to extend registration pending renewal or offer additional training classes to accommodate renewal for

an individual who has allowed his or her prior registration to expire.

5. The Department may periodically require SCPs to submit written acknowledgement of significant changes to the Chicago Construction Codes. It will be grounds to suspend or revoke the registration of any SCP if he or she fails to acknowledge such a change within 60 days of an official notice sent to the e-mail address on file with the Department.

#### **Q. Training Class**

1. The Department will periodically offer a training class for individuals seeking or renewing SCP status. The class will provide attendees with an overview of these Rules and selected provisions of the Chicago Construction Codes and Municipal Code.
2. The training class will be open to any individual who has been licensed by the State of Illinois to practice architecture or structural engineering for at least 3 years, is otherwise eligible under Rule O, and has paid the training class fee. Space in each training class is limited and placement in a training class is on a first come basis upon full payment of the training class fee.
3. The training class fee will be periodically established by the Commissioner but shall not be less than \$2,500.00, except that the Commissioner may allow individuals who have never before registered with the Department as a SCP to take the training class for one-half the otherwise applicable training class fee. The training class fee is non-refundable. Payment of the training class fee and attendance at the training class does not guarantee SCP status if other eligibility requirements are not met.
4. The Department will issue a certificate of completion to each attendee who successfully completes the training class. Successful completion requires:
  - a. In-person attendance at all portions of the training class. An individual who is absent for more than 30 minutes of the scheduled training class sessions, without advance permission from the Department, has not successfully completed the training class.
  - b. Active participation in the training class. An individual who is present at the training class but engaged in unrelated activities during the class has not successfully completed the training class.
  - c. Substantial comprehension of materials covered in the training class. The Department may administer one or more written evaluations as part of the training class. An individual must receive satisfactory results on each such evaluation to successfully complete the training class.
5. The Department may allow any person to audit the training class if space is available. Such individuals are required to pay one-half of the training class fee prior to attendance. Such individuals will not receive a certificate of completion.

**R. Initial Application Procedure**

1. An initial application must be submitted on a form provided by the Department.
2. If the applicant did not serve as professional of record for at least 5 projects for purposes of Rule O(1)(c), the Department may require the applicant to submit one or more letters signed by the professional of record establishing the applicant's role as project lead.
3. An initial applicant who meets the minimum training class eligibility requirements will be notified by e-mail of the next available training class date and the procedure for payment of the training class fee.
4. The Department will make every effort to review other qualifications of initial applicants prior to requiring payment of the training class fee, however admission to the training class is not a determination by the Department that all eligibility criteria are met or that the applicant has sufficient expertise to act as a SCP. Any questions about eligibility should be discussed with the Department prior to payment of the training class fee, which is non-refundable.
5. For each applicant who successfully completes the training class, the Department will conduct a final review of eligibility and notify each qualified individual in writing.
6. The Department will maintain a list of SCPs and make it available to the public.

**S. Renewal Procedure**

1. Renewal applications must be made in writing in a form and format established by the Department.
2. A renewal application must be accompanied by a training class certificate of completion issued within the past 365 days.
3. For each renewal applicant who meets all eligibility requirements, the Department will renew the SCP's registration.
4. The Department may, but is not required to, automatically renew the registration of a SCP who successfully completes a training class.

**T. Ongoing Obligations**

1. A SCP must notify the Department in writing within 10 business days of any event which may cause the SCP to no longer be eligible under these Rules.
2. A SCP has the following ongoing obligations with respect to each project for which he or she submits a permit application under the Self-Certification Permit Program:
  - a. To notify the Department in writing within 5 business days if he or she becomes aware of any false or inaccurate statement in the permit

application or self-certified drawings.

- b. To notify the Department in writing within 5 business days (or 24 hours for a temporary structure) if he or she becomes aware of work done contrary to a permit issued under the Self-Certification Permit Program and provide the permit number and details of such non-compliant work.
- c. To fully cooperate with the Department in addressing any conditions in the self-certified drawings, supporting documentation, and application that the Department determines do not comply with the Building Code or Chicago Construction Codes, as applicable.
- d. To work with the permit applicant to prepare and submit an application for a revision to the permit in a timely manner, and to take other remedial measures within the SCP's control, to bring the self-certified drawings for the project, and the project itself, into conformance with the Building Code or Chicago Construction Codes, as applicable, if the Department determines through field inspection or post-issuance audit that the self-certified drawings do not conform to the Building Code or Chicago Construction Codes, as applicable.

## **PART VI: FIELD INSPECTION AND AUDIT**

### **U. Pre-Issuance Review and Audit**

1. All documents submitted in connection with a permit application are subject to review by the Department, at the Department's discretion, to determine if the project is in compliance with the Municipal Code.
2. The Commissioner, in the Commissioner's sole discretion, may require any permit application which is found by the Department to contain substantial defects, errors, omissions, or deficiencies prior to issuance to be reviewed under the Department's standard plan review process.

### **V. Field Inspection and Post-Issuance Audit**

1. All permits issued under the Self-Certification Permit Program are conditional and subject to field inspection and post-issuance audit by the Department.
2. Post-issuance audits may be conducted on a random or judgmental basis, at the discretion of the Commissioner. Post-issuance audits may review one, several, or all disciplines.
3. If a field inspection or post-issuance audit identifies one or more condition in the self-certified drawings that does not comply with the Building Code or Chicago Construction Codes, as applicable, the SCP must prepare an application to revise the permit in order to correct the non-compliant conditions.
4. If a field inspection or post-issuance audit identifies one or more condition in the self-certified drawings that does not comply with the Building Code or Chicago Construction Codes, as applicable, and poses a serious risk to health, safety, or

welfare, the Department may issue a stop work order and/or revoke the permit, at the discretion of the Department.

5. For purposes of this Part, conditions which pose a serious risk to health, safety, or welfare include, but are not limited to:
  - a. Incorrect classification of the occupancy resulting in a lower-than-required hazard index in accordance with Table 13-200-170 of the Municipal Code or Tables 14R-10-1011.4, 14R-10-1011.5, and 14R-10-1011.6 of the Municipal Code, as applicable.
  - b. Inclusion of any occupancy not eligible for permitting under the Self-Certification Permit Program.
  - c. Inadequate fire separation between mixed occupancies.
  - d. A project which exceeds height and area limitations based on the occupancy and construction type.
  - e. A project which violates any restriction applicable to the fire limits.
  - f. Inadequate fire-resistance ratings based on construction type.
  - g. Inappropriate use of combustible materials in a building of Type I, II or III construction.
  - h. Inadequate or inappropriate fire protection system(s).
  - i. Inadequate size or number of exits.
  - j. Undercalculation of occupant load for purposes of exiting.
  - k. Inadequate accessible routes of ingress or egress.
  - l. Inadequate or missing areas of rescue assistance.
  - m. Insufficient design loads.
  - n. Insufficient or inappropriate structural elements or connections.
6. If a field inspection or post-issuance audit identifies a false statement in the permit application or self-certified drawings, the Department may issue a stop work order or revoke the permit, at the discretion of the Department.
7. The Department will only undertake a post-issuance audit of a permit issued under the Self-Certification Permit Program within 12 months of permit issuance, or, if the permitted work is not complete at that time, prior to completion of the permitted work, as evidenced by passing final inspections by all applicable disciplines.

## W. Suspension and Revocation

1. For each SCP, the Department will maintain a record of any deficiency identified in connection with a permit application or permit issued under the Self-Certification Permit Process. A deficiency shall be assigned a point value as follows:
  - a. Submission of a permit application for a project determined by the Department to be ineligible. **1 POINT.**
  - b. Submission of a permit application for an eligible project found by the Department to contain substantial defects, errors, omissions or deficiencies prior to issuance. **2 POINTS.**
  - c. Submission of a permit application found to contain a false statement. **2 POINTS.**
  - d. Submission of self-certified drawings in which, during a field inspection and/or post-issuance audit, the Department identifies a condition that does not comply with the Municipal Code. **2 POINTS.**
  - e. Submission of self-certified drawings in which, during a field inspection and/or post-issuance audit, the Department identifies a condition that does not comply with the Municipal Code and pose a serious risk to health, safety, or welfare. **5 POINTS.**
  - f. Failure to comply with any ongoing obligation identified in Rule T. **5 POINTS.**
2. If a deficiency is identified prior to permit issuance, the SCP will be notified as part of the permit review process. Such notification may be oral or written.
3. If a deficiency is identified after permit issuance, the Department will send notification to the SCP. Any post-issuance determination of deficiency is only subject to review as part of a suspension or revocation process.
4. If a SCP accrues 5 points within a 365-day period, or 10 points within a registration period, his or her SCP status may be suspended by the Department.
5. If a SCP accrues 10 points within a 365-day period, or 20 points within a registration period, his or her SCP status may be suspended or revoked by the Department.
6. The process for suspending/revoking SCP status will be the process established in the Department's Rules Regarding the Suspension and Revocation of Licenses, Registrations and Certifications.

**TABLE C-1 (2018): ELIGIBLE PROJECTS**

Use or Occupancy Classification of Finished Building	Scope of Work	
	New Construction	Repairs, Renovations, Alterations & Additions
<b>Exclusively Residential Buildings and Accessory Structures</b>		
<b>Detached Single-Family Dwelling (A-1)</b>	- up to 4 story building - may include attached private garage	- up to 4 story building - may include attached private garage
<b>Multiple Dwelling (A-2), up to 3 dwelling units</b>	- up to 4 story building - may include attached private garage	- up to 4 story building - may include attached private garage - gut rehab and porch replacement allowed
<b>Multiple Dwelling (A-2), up to 8 dwelling units</b>	- up to 4 story building - may include attached garage	- up to 4 story building - may include attached garage - gut rehab and porch replacement allowed
<b>Detached Private Garage (J)</b>	- 1 story building (may include rooftop deck)	- 1 story building (may include rooftop deck)
<b>Single-Occupancy Non-Residential Buildings (No Mixed Occupancy)</b>		
<b>Single Tenant: Small Assembly (C-2); Business (E); or Mercantile (F)</b>	- up to 2 story building - up to 10,000 ft <sup>2</sup> building - single tenant building	- up to 2 story building - up to 10,000 ft <sup>2</sup> building - single tenant building
<b>Up to 4 Tenants: Business (E); or Mercantile (F)</b>	- up to 4 story building - up to 30,000 ft <sup>2</sup> building	- up to 4 story building - up to 30,000 ft <sup>2</sup> building - each tenant space and common areas must be permitted separately ( <i>see below</i> ) UNLESS entire building is vacant
<b>Institutional (B) or School (C-3) (excluding residential restrained care facilities and day care centers)</b>	<i>Not eligible.</i>	- single tenant buildings only - up to 4 story building - up to 30,000 ft <sup>2</sup> building - alterations or repairs only; NO additions
<b>Mixed-Occupancy Buildings</b>		
<b>Mixed Occupancy (including Residential (A); Small Assembly (C-2); Business (E); Mercantile (F); and/or Garage (H-3 or J))</b>	- mercantile, assembly or garage use on 1st story ONLY - up to 4 story building - up to 30,000 ft <sup>2</sup> building - up to 4 non-residential tenant spaces in building - up to 8 dwelling units in building	- alterations or repairs only; NO additions - mercantile, assembly or garage use on 1st floor ONLY - up to 4 story building - up to 30,000 ft <sup>2</sup> building - up to 4 non-residential tenant spaces in building - up to 8 dwelling units in building - each tenant space and common areas must be permitted separately ( <i>see below</i> ) UNLESS entire building is vacant
<b>Individual Tenant Spaces, Dwelling Units, and Common Areas in Existing Buildings</b>		
<b>Separately-owned dwelling unit in Multiple Dwelling (A-2) (e.g. condominium or cooperative apartment)</b>	<i>Not applicable.</i>	- includes residential sales centers and model units - includes individual residential townhouse units - Department pre-approval required if building > 80' - alterations or repairs only; NO additions
<b>Single-tenant Small Assembly (C-2), Business (E), or Mercantile (F) space in building WITHOUT residential occupancy</b>		- alterations or repairs only; NO additions - multi-floor tenant spaces allowed - 30,000 ft <sup>2</sup> maximum area for Mercantile - Department pre-approval required if building > 80'
<b>Single-tenant Small Assembly (C-2), Business (E), or Mercantile (F) space in building WITH residential occupancy</b>		- alterations or repairs only; NO additions - single-floor tenant spaces ONLY - 30,000 ft <sup>2</sup> maximum area for Mercantile - Department pre-approval required if building > 4 stories
<b>Common areas or systems in multiple dwelling or multi-tenant commercial building</b>		- alterations or repairs only; NO additions - must be permitted separately from work within dwelling units or tenant spaces - pre-approval required if building > 80'

**TABLE C-2 (2018): STRUCTURAL PEER REVIEW REQUIREMENTS**

Use or Occupancy Classification of Finished Building	Scope of Work	
	New Construction & Additions	Repairs, Renovations & Alterations
<b>All buildings</b>	- work includes adding balcony to existing building - work includes construction within 1 foot of lot line - work includes excavation ≥ 10 feet below grade	Structural scope of work includes: - adding, altering, or removing load-bearing elements - adding, altering, or removing floor openings - use of earth retention system
<b>Exclusively residential use</b>	- scope of work exceeds 3 stories - scope of work includes rooftop deck above 3rd story	- structural scope of work in building greater than 3 stories
<b>Any non-residential use</b>	- scope of work exceeds 1 story - scope of work includes rooftop deck above 2nd story - work includes excavation ≥ 5 feet below grade within 5 feet of an existing building	- structural scope of work in building greater than 1 story

**TABLE D (2018): DISQUALIFYING FEATURES**

<p><b>Use and Occupancy:</b></p> <ul style="list-style-type: none"> <li>- increase in number of dwelling units in existing building</li> <li>- any work in a residential restrained care facility</li> <li>- new construction or addition with an Institutional (B) or School (C-3) occupancy</li> <li>- any work involving Assembly (C-1 or C-2) occupancy or occupancies with total occupant load greater than 299</li> <li>- any below-grade Assembly (C-1 or C-2) occupancy</li> <li>- any work in a day care center</li> <li>- any work in Mercantile (F) occupancy with total area greater than 30,000 ft<sup>2</sup></li> <li>- any below-grade Mercantile (F) occupancy</li> <li>- any work involving an Open-Air Assembly (D), Industrial (G), Storage (H-1 or H-2), or Hazardous (I) occupancy</li> <li>- any work involving a Miscellaneous (J) occupancy other than fences, sheds, carports, and private garages and temporary tents, canopies and stages</li> </ul>	<p><b>Use and Occupancy (continued):</b></p> <ul style="list-style-type: none"> <li>- any working involving congregate living facilities</li> <li>- any work involving a Wrigley Field-adjacent rooftop deck</li> <li>- any work involving a distillery</li> <li>- any change of occupancy classification where the original and new classifications are other than Small Assembly (C-2), Business (E), and Mercantile (F)</li> <li>- any work involving a technology equipment room</li> </ul> <p><b>Height and Area:</b></p> <ul style="list-style-type: none"> <li>- any new construction or addition resulting in a building with total floor area exceeding 30,000 ft<sup>2</sup></li> <li>- any new construction or addition resulting in a building exceeding 4 stories in height</li> <li>- any new construction or addition resulting in a building exceeding 55 feet in height</li> </ul>	<p><b>Specialized Review or Department Pre-Approval Required:</b></p> <ul style="list-style-type: none"> <li>- any work requiring Alternative Code Approval, unless such approval has been granted prior to filing the permit application</li> <li>- any work requiring approval by the Committee on Standards and Tests, unless such approval has been granted prior to filing the permit application</li> <li>- any work involving modular construction without written preapproval from the Commissioner to use the Self-Certification Permit Program</li> <li>- any work in an existing building exceeding 80 feet in height (high rise building) without written preapproval from the Department to use the Self-Certification Permit Program for such work</li> </ul>
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**TABLE C-1 (2020): ELIGIBLE PROJECTS**

Use or Occupancy Classification of Finished Building	Scope of Work	
	New Construction	Rehabilitation
<b>EXCLUSIVELY RESIDENTIAL BUILDINGS AND ACCESSORY STRUCTURES</b>		
<b>Group R-1, R-2, R-3, R-4 or R-5, maximum 8 dwelling units and/or sleeping units</b>	- building up to 4 stories above grade plane - may include attached private garage - may include occupiable rooftop	- building up to 4 stories above grade plane - may include attached private garage - may include occupiable rooftop - gut rehab and porch replacement allowed
<b>Detached Private Garage (Group R-5 or U)</b>	- 1 story building (may include occupiable rooftop)	- 1 story building (may include occupiable rooftop)
<b>Single-Occupancy Non-Residential Buildings (No Mixed Occupancy)</b>		
<b>Single Tenant: Group A, B, or M (Group A occupant load less than 300)</b>	- building up to 2 stories above grade plane - up to 10,000 ft <sup>2</sup> building area - single tenant building	- building up to 2 stories above grade plane - up to 10,000 ft <sup>2</sup> floor area without written preapproval - single tenant building
<b>All Group B or all Group M; maximum 4 tenants</b>	- building up to 4 stories above grade plane - up to 30,000 ft <sup>2</sup> building area	- building up to 4 stories above grade plane - up to 30,000 ft <sup>2</sup> floor area without written preapproval - each tenant space and common areas must be permitted separately (see below) UNLESS entire building is vacant
<b>Group E-1, I-1, or I-2</b>	<i>Not eligible.</i>	- single tenant buildings only - up to 4 story building - up to 30,000 ft <sup>2</sup> floor area without written preapproval - alterations or repairs only; NO additions
<b>MIXED-OCCUPANCY BUILDINGS</b>		
<b>Mixed Occupancy (including Group A (with occupant load less than 300); B; M; R; S-2 (garage only); and/or U (private garage only))</b>	- mercantile, assembly or motor-vehicle-related use in basement or on first story above grade plane only - building up to 4 stories above grade plane - building area maximum 30,000 ft <sup>2</sup> - maximum of 4 non-residential tenant spaces in building - maximum of 8 dwelling and/or sleeping units in building - occupiable rooftop allowed	- alterations or repairs only; NO additions - mercantile, assembly or motor-vehicle-related use in basement or first story above grade plane only - building up to 4 stories above grade plane - building area maximum 30,000 ft <sup>2</sup> - maximum of 4 non-residential tenant spaces in building - maximum of 8 dwelling and/or sleeping units in building - each tenant space and common areas must be permitted separately (see below) UNLESS entire building is vacant
<b>INDIVIDUAL TENANT SPACES, DWELLING UNITS, AND COMMON AREAS IN EXISTING BUILDINGS (Work in high-rise buildings requires written pre-approval)</b>		
<b>Separately-owned dwelling unit in Group R-2 or R-5 (condominium or cooperative apartment)</b>	- residential sales centers and model units - alterations to single unit before initial occupancy	- alterations or repairs only; NO additions - no change of occupancy
<b>Single-tenant Group A (with occupant load less than 300), B or M space in building WITHOUT residential occupancy</b>	- first time buildout of Group A tenant space (any area) - first time buildout of Group B tenant space (any area) - first time buildout of Group M tenant space up to 30,000 ft <sup>2</sup> - multi-story tenant spaces allowed	- alterations or repairs only; NO additions - multi-story tenant spaces allowed - 30,000 ft <sup>2</sup> maximum floor area for Group M without written preapproval
<b>Single-tenant Group A (with occupant load less than 300), B or M space in building WITH residential occupancy</b>	- first time buildout of Group A tenant space (any area) - first time buildout of Group B tenant space (any area) - first time buildout of Group M tenant space up to 30,000 ft <sup>2</sup> - single-story tenant spaces ONLY	- alterations or repairs only; NO additions - single-story tenant spaces ONLY - 30,000 ft <sup>2</sup> maximum floor area for Group M without written preapproval
<b>Common areas or systems in multiple dwelling or multi-tenant commercial building</b>	<i>Not applicable.</i>	- alterations or repairs only; NO additions - exterior wall / window replacement work allowed - must be permitted separately from work within dwelling units or tenant spaces

**TABLE C-2 (2020): STRUCTURAL PEER REVIEW REQUIREMENTS**

Use or Occupancy Classification of Finished Building	Scope of Work	
	New Construction & Additions	Repairs, Renovations & Alterations
<b>All buildings</b>	- work includes adding balcony to existing building - work includes construction within 1 foot of property line - work includes excavation ≥ 10 feet below grade	Structural scope of work includes: - adding, altering, or removing load-bearing elements - adding, altering, or removing floor openings - use of earth retention system
<b>Exclusively residential use</b>	- scope of work exceeds 3 stories above grade plane - scope of work includes occupiable rooftop above third story above grade plane	- structural scope of work in building greater than 3 stories above grade plane
<b>Any non-residential use</b>	- scope of work exceeds 1 story above grade plane - scope of work includes occupiable rooftop above second story above grade plane - work includes excavation ≥ 5 feet below grade within 5 feet of an existing building	- structural scope of work in building greater than 1 story above grade plane

**TABLE D (2020): DISQUALIFYING FEATURES**

<p><b>Use and Occupancy:</b></p> <ul style="list-style-type: none"> <li>- increase in number of permitted dwelling units</li> <li>- new construction or addition of Group E or I occupancy</li> <li>- any work involving Group A occupancy or occupancies with total occupant load greater than 299</li> <li>- any work involving below-grade Group A occupancy</li> <li>- any work involving Group E-2 or I-4 occupancy</li> <li>- any work involving below-grade Group M</li> <li>- any work involving a Group F, H, or S-1 occupancy or Group S-2 occupancy other than a garage</li> <li>- any work involving a Group U occupancy other than fences, sheds, carports, and private garages and temporary tents, canopies and stages</li> <li>- any work involving congregate living facilities</li> <li>- any work involving ambulatory care facility</li> </ul>	<p><b>Use and Occupancy (continued):</b></p> <ul style="list-style-type: none"> <li>- any work involving a Wrigley Field-adjacent rooftop deck</li> <li>- any work involving a distillery</li> <li>- any change of occupancy where the original and new classifications are other than Group A (with occupant load less than 300), B or M</li> <li>- any work involving a technology equipment area greater than 150 ft<sup>2</sup></li> </ul> <p><b>Height and Area:</b></p> <ul style="list-style-type: none"> <li>- any new construction or addition resulting in a building with building area exceeding 30,000 ft<sup>2</sup></li> <li>- any new construction or addition resulting in a building exceeding 4 stories above grade plane</li> <li>- any new construction or addition resulting in a building exceeding 55 feet in building height</li> </ul>	<p><b>Specialized Review or Department Pre-Approval Required:</b></p> <ul style="list-style-type: none"> <li>- any work requiring Alternative Code Approval, unless such approval has been granted prior to filing the permit application</li> <li>- any work requiring approval by the Committee on Standards and Tests</li> <li>- any work in a building exceeding 80 feet in height (high rise building) without written preapproval from the Department</li> <li>- any work involving Group M occupancy with gross area exceeding 30,000 ft<sup>2</sup> without written preapproval from the Commissioner</li> <li>- any work involving modular construction without written preapproval from the Commissioner</li> </ul>
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