



**Division of Local  
Government Services**

# **Record Keeping Tips For Zoning Administration**

---

**JAMES A. COON LOCAL GOVERNMENT TECHNICAL SERIES**

**A Division of the New York Department of State**

**Andrew M. Cuomo, Governor**

**Rossana Rosado, Secretary of State**

NEW YORK STATE DEPARTMENT OF STATE  
99 WASHINGTON AVENUE  
ALBANY, NEW YORK 12231-0001  
<http://www.dos.ny.gov>

---

Revised 2008  
Reprint Date: 2011

---

# Table of Contents

Introduction.....	1
The Essentials of Record-Keeping.....	1
The Importance of Filing .....	1
The Statutory Requirements .....	1
What Constitutes Filing?.....	1
How Should Records be Filed?.....	2
Why File by Location?.....	2
Methods of Identifying Property Locations .....	2
Is More Than One Filing System Necessary?.....	2
Using Checklists .....	2
Conclusion .....	3
Appendix: Model Checklists:	
Zoning Permit Procedure .....	5
Zoning Appeal .....	6
Minor Subdivision Review Procedure .....	8
Major Subdivision Review Procedure .....	9
Site Plan Review/Special Use Review Procedure .....	11

## INTRODUCTION

Zoning review can be a very bureaucratic process. It involves handling a lot of paper – site plans, special permits, subdivisions, appeals, building permits, certificates of compliance, and enforcement actions. Properly managing this paperwork and keeping it organized is often difficult, even in the best of circumstances, but it is essential to effective zoning administration and enforcement.

Paperwork must be located where municipal officials can find it – and even more importantly, where they can easily make it accessible to the public. Properly organizing paperwork will help to avoid the unnecessary delays and confusion that can result when records cannot be located, either during the review process or in the years subsequent to the action.

The advice in this publication should make the job of record-keeping easier, and should help a community achieve a record-keeping system that will be efficient and practical.

## THE ESSENTIALS OF RECORD-KEEPING

**The Importance of Filing.** The statute of limitations for challenges to planning and zoning actions generally expires 30 days after a determination is filed.<sup>1</sup> This means that if records are not properly filed, the municipality may remain vulnerable to legal challenge for a longer time than necessary. Where a court finds that the municipality violated filing and/or record-keeping requirements, the validity of the final determination is placed at risk.

**The Statutory Requirements.** The New York planning and zoning enabling statutes contain filing requirements which must be followed precisely. For site plan reviews, special use permits, subdivision plats, and zoning appeals, the board's determination must be filed in the municipal clerk's office within five business days.<sup>2</sup>

**What Constitutes Filing?** A record is filed when it is placed under the control of the officer having responsibility for its custody. As regards zoning and planning determinations, this usually occurs when the document is presented to the municipal clerk at her office. But if the clerk is actually present in an official capacity when the board's determination is made, with the clerk's assent it could be placed "under her control" at that time--and would, therefore, be filed. If you are unsure whether your records are under the control of the clerk, check with your municipal attorney.

---

<sup>1</sup> Gen. City L. §§27-a(11), 27-b(9), 38, 81-c; Town L. §§274-a(11), 274-b(9), 282, 267-c; Vil. L. §§7-725-a(11), 7-725-b(9), 7-740, 7-712-c.

<sup>2</sup> Gen. City L. §§27-a(8), 27-b(6), 32(9), 81-a(9); Town L. §§274-a(8), 274-b(6), 276(9), 267-a(9); Vil. L. §§7-725-a(8), 7-725-b(6), 7-728(9), 7-712-a(9).

**How Should Records be Filed?** All records should be stamped with the date they are received by the municipal clerk. This will establish the date from which the 30-day statute of limitations is calculated. **File records chronologically, but also according to the location of the property by tax parcel number**, even if parallel filing methods are also used. A parallel system that is especially useful for boards of appeals involves filing records according to the section of the local zoning law that the appeal affected.

**Why File by Location?** Many times, it is extremely difficult for a person to remember the exact date that a board's determination occurred. Often the exact date is not relevant to the concern in question. But a person almost always knows, or can easily look up, the parcel location. Consider common reasons for people to search zoning records:

- a potential home buyer, or his attorney, researching the history of building permits and variances on a property to be purchased;
- a planning board looking into past variances on a site plan before the board;
- a zoning enforcement officer verifying violations of previously approved plans;
- a town assessor looking into improvements on a property being reassessed.

In all these cases, the location of the property is known. The dates of actions taken on these properties is, however, in all likelihood unknown, and impossible to determine without expending enormous time and effort searching chronologically through planning board, board of appeals, or building/zoning permit records.

**Methods of Identifying Property Locations.** A simple way to identify location is to use the tax parcel identification system. This is a ready-made filing system that is infinitely expandable. Each new subdivision of land creates new subcategories of numbers. It is a simple system and is readily available for use by public officials. By keeping all records tagged with the tax parcel identification number, it is easy to route every record to its correct file location.

**Is More Than One Filing System Necessary?** No. Although some communities may wish to segregate planning board, board of appeals and building/zoning permit records, there is no need to do so. The municipality should consider an integrated record system for both simplicity and comprehensiveness. Simplicity is the key to the effective working of most systems.

**Using Checklists.** Review authorities should use procedural checklists as a routine for all project reviews (see examples in the Appendix). These checklists help to: (1) keep the review authority aware of the necessary steps in the review process; and (2) provide a permanent record of the sequence and timing of actions taken, should the procedure be challenged later. These checklists should be tagged with both the **tax parcel identification number** as well as a chronological **project log number** for each project. Each decision-maker (enforcement officer, board, etc.) should maintain a separate project log number sequence (e.g., 08-1, 08-2, 08-3, etc.). The

checklist should be retained by the decision-maker, possibly in the form of a notebook. It will provide a permanent cross-referenced record of the location of the associated records in the municipal clerk's files.

## **CONCLUSION**

It is important to follow the statutory filing requirements of state law, and file all records with the proper officer. File records chronologically, as well as by location using the tax parcel identification number, so that they may be more easily retrieved in the ensuing years. Boards of appeals should also file records by zoning law section. Always use checklists to keep track of project reviews, and to provide a permanent record of where files are located in the proper municipal office.

## **APPENDIX – MODEL CHECKLISTS**

Tax Parcel Number: Section: \_\_\_\_\_ Block: \_\_\_\_\_ Lot: \_\_\_\_\_ Log No.: \_\_\_\_\_

**TOWN OF \_\_\_\_\_ ZONING PERMIT PROCEDURE**

Applicant Name and Address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Phone ( ) \_\_\_\_\_

Email: \_\_\_\_\_

Event (as applicable)

Date

Application received

\_\_\_\_\_

Supplemental material received

\_\_\_\_\_

Fee paid, amount: \$ \_\_\_\_\_

\_\_\_\_\_

Zoning permit:

issued

\_\_\_\_\_

denied

\_\_\_\_\_

Reasons for denial: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Application appealed, ZBA log number: \_\_\_\_\_

\_\_\_\_\_

Application referred to building inspector

\_\_\_\_\_

Zoning inspections: Remarks:

1. \_\_\_\_\_

\_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

3. \_\_\_\_\_

\_\_\_\_\_

4. \_\_\_\_\_

\_\_\_\_\_

5. \_\_\_\_\_

\_\_\_\_\_

6. \_\_\_\_\_

\_\_\_\_\_

7. \_\_\_\_\_

\_\_\_\_\_

8. \_\_\_\_\_

\_\_\_\_\_

Certificate of occupancy:

issued

\_\_\_\_\_

denied

\_\_\_\_\_

Reasons for denial: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Decision filed with town clerk

\_\_\_\_\_



Tax Parcel Number: Section: \_\_\_\_\_ Block: \_\_\_\_\_ Lot: \_\_\_\_\_ Log No.: \_\_\_\_\_

**TOWN OF \_\_\_\_\_ ZONING APPEAL**

Applicant Name and Address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Phone: ( ) \_\_\_\_\_

Email: \_\_\_\_\_

Event (as applicable)

Date

Notice of Appeal filed/fee paid

\_\_\_\_\_

EAF form filed

\_\_\_\_\_

Type of SEQRA action determined to be:

Type I

\_\_\_\_\_

Type II

\_\_\_\_\_

Unlisted

\_\_\_\_\_

SEQRA determination

Positive (EIS required)

\_\_\_\_\_

(Note: Positive determination will initiate steps not on this checklist)

Negative

\_\_\_\_\_

Conditional negative

\_\_\_\_\_

Application referred to county planning agency

\_\_\_\_\_

Application referred to other agencies/officers

\_\_\_\_\_

County planning agency response received

\_\_\_\_\_

Resolution to hold public hearing

\_\_\_\_\_

Notice of hearing published in paper

\_\_\_\_\_

Notice of hearing mailed to applicant.

\_\_\_\_\_

Other agencies/entities notified of hearing

\_\_\_\_\_

Public hearing opened

\_\_\_\_\_

Public hearing closed

\_\_\_\_\_

Action taken on application:

Approval

Appeal upheld on interpretation

\_\_\_\_\_

Variance granted

\_\_\_\_\_

Variance granted with conditions

\_\_\_\_\_

Disapproval

Appeal denied on interpretation

\_\_\_\_\_

Variance disapproved

\_\_\_\_\_

Resolution addressing county planning agency review

\_\_\_\_\_

Report filed with county planning agency

\_\_\_\_\_

Determination mailed to applicant

\_\_\_\_\_

Determination filed with town clerk  
Order issued to zoning officer  
Zoning permit issued  
Certificate of occupancy issued

---

---

---

---

Tax Parcel Number: Section: \_\_\_\_\_ Block: \_\_\_\_\_ Lot: \_\_\_\_\_ Log No.: \_\_\_\_\_

**TOWN OF \_\_\_\_\_**  
**MINOR SUBDIVISION REVIEW PROCEDURE**

Project Name

Applicant Name and Address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Phone (    ) \_\_\_\_\_  
Email: \_\_\_\_\_

Event (as applicable)

Date

Sketch plan presented

\_\_\_\_\_

Plat determined complete/fee paid

\_\_\_\_\_

EAF form filed

\_\_\_\_\_

Type of SEQRA action determined to be:

Type I

\_\_\_\_\_

Type II

\_\_\_\_\_

Unlisted

\_\_\_\_\_

SEQRA Determination:

Positive (EIS required)

\_\_\_\_\_

(Note: Positive determination will initiate steps not on this checklist)

Negative

\_\_\_\_\_

Conditional negative

\_\_\_\_\_

Application referred to county planning agency

\_\_\_\_\_

County planning agency response received

\_\_\_\_\_

Resolution to hold public hearing

\_\_\_\_\_

Notice of hearing published in paper

\_\_\_\_\_

Public hearing opened

\_\_\_\_\_

Public hearing closed

\_\_\_\_\_

Action taken on the application:

Approval

\_\_\_\_\_

Conditional approval

\_\_\_\_\_

Approval with modifications

\_\_\_\_\_

Disapproval

\_\_\_\_\_

Resolution approved addressing county planning agency review

\_\_\_\_\_

Report filed with county planning agency

\_\_\_\_\_

Determination mailed to applicant

\_\_\_\_\_

Conditionally approved plat signed

\_\_\_\_\_

Determination filed with town clerk

\_\_\_\_\_

Plat filed in the office of the county clerk

\_\_\_\_\_

Report filed with county planning agency

\_\_\_\_\_

Tax Parcel Number: Section: \_\_\_\_\_ Block: \_\_\_\_\_ Lot: \_\_\_\_\_ Log No.: \_\_\_\_\_

**TOWN OF \_\_\_\_\_**  
**MAJOR SUBDIVISION REVIEW PROCEDURE**

Project Name

Applicant Name and Address

---

---

---

---

---

---

---

Phone (     ) \_\_\_\_\_

Email: \_\_\_\_\_

Event (as applicable)

Date

Sketch plan presented.

---

Plat determined complete/fee paid

---

EAF form filed

---

Type of SEQRA action determined to be:

Type I

---

Type II

---

Unlisted

---

SEQRA determination

Positive (EIS required)

---

(Note: Positive determination will initiate steps not on this checklist)

Negative

---

Conditional negative

---

Application referred to county planning agency

---

Application referred to other agencies/officers

---

County planning agency response received

---

Resolution to hold public hearing

---

Notice of hearing published in paper

---

Notice of hearing mailed to applicant

---

Other agencies/entities notified of hearing

---

Public hearing opened

---

Public hearing closed

---

Determination on preliminary plat:

Approval

---

Approval with modifications

---

Disapproval

---

Determination mailed to applicant

---

Determination filed with town clerk

---

Final plat accepted as complete/fee paid

---

Other agencies/entities notified

---

Resolution to waive or hold public hearing

---

Notice of hearing published in paper	_____
Public hearing opened	_____
Public hearing closed	_____
Action taken on final plat:	
<input type="checkbox"/> Approval	_____
<input type="checkbox"/> Approval with modifications	_____
<input type="checkbox"/> Conditional approval	_____
<input type="checkbox"/> Conditional approval with modifications	_____
<input type="checkbox"/> Disapproval	_____
Bond or other security posted	_____
Resolution addressing county planning agency review	_____
Report filed with county planning agency	_____
Determination mailed to applicant	_____
Determination filed with town clerk	_____
Plat signed	_____
Plat (or first stage) filed with county clerk	_____
Plat & all records filed with town clerk	_____

Tax Parcel Number: Section: \_\_\_\_\_ Block: \_\_\_\_\_ Lot: \_\_\_\_\_ Log No.: \_\_\_\_\_

**TOWN OF \_\_\_\_\_**  
**SITE PLAN REVIEW/SPECIAL USE PERMIT PROCEDURE**

Project Name

Applicant Name and Address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Phone (     ) \_\_\_\_\_

Email: \_\_\_\_\_

Event (as applicable)

Date

Application accepted as complete/fee paid

\_\_\_\_\_

EAF form filed

\_\_\_\_\_

Type of SEQRA action determined to be:

Type I

\_\_\_\_\_

Type II

\_\_\_\_\_

Unlisted

\_\_\_\_\_

SEQRA determination

Positive (EIS required)

\_\_\_\_\_

(Note: Positive determination will initiate steps not on this checklist)

Negative

\_\_\_\_\_

Conditional negative

\_\_\_\_\_

Application referred to county planning agency

\_\_\_\_\_

Application referred to other agencies/officers

\_\_\_\_\_

County planning agency response received

\_\_\_\_\_

Resolution to hold public hearing

\_\_\_\_\_

Notice of hearing published in paper

\_\_\_\_\_

Notice of hearing mailed to applicant

\_\_\_\_\_

Other agencies/entities notified of hearing

\_\_\_\_\_

Public hearing opened

\_\_\_\_\_

Public hearing closed

\_\_\_\_\_

Determination made

Approval

\_\_\_\_\_

Approval with modifications

\_\_\_\_\_

Disapproval

\_\_\_\_\_

Resolution addressing county planning agency review

\_\_\_\_\_

Report filed with county planning agency

\_\_\_\_\_

Determination mailed to applicant

\_\_\_\_\_

Determination filed with town clerk

\_\_\_\_\_

Zoning permit issued

\_\_\_\_\_

Certificate of occupancy issued

\_\_\_\_\_