

University at Albany, State University of New York  
Office of Facilities Management – Code Administration  
**Certificate of Occupancy/Compliance Records Checklist**  
*On-site Inspection Items Not Included*

Project \_\_\_\_\_ Building Permit No. \_\_\_\_\_

Record or “As-Built” Drawings

	One complete set of Record or “as-built” drawings (electronic)	
	One complete set of Record or “as-built” drawings (hard copy)	

**FIRE PROTECTION SYSTEMS \*\*\***

Fire Alarm System\*\*

	FAS Acceptance Testing Record <ul style="list-style-type: none"> <li>- Alarm Notification Appliances and Circuits</li> <li>- Alarm Initiating Devices and Circuits</li> <li>- Supervisory Signal Initiating Devices and Circuits</li> <li>- Signaling Line Circuits</li> <li>- Primary and Secondary Power Supplies</li> </ul>	
	FAS Notification; Voice Intelligibility Test Record	
	FAS Record of Completion	
	Engineer Letter of Substantial Completion or Completion and Warranty Letter	
	Record or “As Built” Drawings*	
	Reprogramming addresses for detection/notification devices (Alterations)	
	FAS Installer and Testing Contractors – NYS DOS license copy	
	Copy of Manufacturers’ Operating and Maintenance Manuals	
	Approved Materials Submittals	
	Site Specific Software	

Carbon Monoxide Detection (Albany County Dept. of Health)

	Carbon Monoxide Detection/Notification Test Records (Cafeterias/Dining Areas)	
	NFPA 720 Carbon Monoxide System Record of Completion	
	Approved Materials Submittals (Detection Devices)	

Carbon Monoxide Detection (NYS Amanda’s Law 2/2010)

	Carbon Monoxide Detection/Notification Test Records (Residential Structures)	
	NFPA 720 Carbon Monoxide System Record of Completion	
	Approved Materials Submittals (Detection Devices)	

### Water-Based Fire Protection Systems\*\*

	Contractor's Material and Test Certificate for Under-Ground Piping	
	Contractor's Material and Test Certificate for Above-Ground Piping (Sprinklers, NFPA 13)	
	Contractor's Material and Test Certificate for Above-Ground Piping (Standpipes, NFPA 14)	
	Contractor Statement/Certificate of Compliance	
	Fire Sprinkler System – Inspector's Test Records	
	Fire Sprinkler System – Record or "As Built" Drawings*	
	Fire Sprinkler System – NFPA 25-2014 " <i>Standard for the Inspection, Testing and Maintenance of Water-Based Fire Protection Systems</i> "	
	Fire Pump – Acceptance Testing Records; Form NFSA 20-A	
	Fire Pump – Electrical Inspection Certificate	
	Contractor's Material and Test Certificate for Fire Pump Systems	
	Fire Hydrant(s) – Fire Flow Testing Records	
	Contractor's Material and Test Certificate for Private Fire Service Mains	
	Report on Test and Maintenance of Backflow Prevention Device NYS DOH form DOH-1013 (9/91)	
	Backflow Preventer Tester Certification (IAPMO-BPI or equivalent)	
	Fire Department Connections Acceptance Testing	
	Manufacturers' Operation and Maintenance Manuals	

### Water-Based Fire Protection System(s) – Pre-Construction Submittals

	Fire Sprinkler System - Hydraulic Calculations	
	NFPA 13 Owner's Information Certificate	

### Alternative Automatic Fire-Extinguishing Systems

	Wet Chemical Systems – Acceptance Testing Record	
	Dry Chemical Systems – Acceptance Testing Record	
	Carbon Dioxide Systems – Acceptance Testing Record	
	Halon Systems – Acceptance Testing Record	
	Clean Agent Systems – Acceptance Testing Record	
	Protected Enclosure Leakage Test (Gaseous Fire Suppression Agents)	

## ENERGY CODE COMPLIANCE

### Energy Conservation Construction Code

	HVAC System Certification from registered design professional	
	Commissioning Plan developed by registered design professional	
	Preliminary Commissioning Report	
	System Balancing Report	
	Final Commissioning Report	
	Report of Functional Testing of Lighting Controls	

## BUILDING SYSTEMS

### Plumbing

	Laboratory Test Record(s) – Potable Water	
	Water Treatment Service Record	
	Test Records – Drainage & Vent	
	Inspection Records – Underground Piping	
	Inspection Records – Rough In	
	Inspection Records – Final	
	Utility Supply Test Report(s)	
	Utility Sanitary Test Report(s)	

### Electrical

	NYBFU <i>or equivalent</i> Electrical Inspection Certificate(s) – Rough In	
	NYBFU <i>or equivalent</i> Electrical Inspection Certificate(s) – Final	
	Short Circuit and Coordination Study	
	Electrical Engineer Letter of Substantial Completion	
	Generator Acceptance Testing Record	
	IPS/UPS Acceptance Testing Record	
	IPS/UPS copy of O&M Manual	

### Elevators

	Inspection & Testing Report	
	Certificate of Inspection	
	Fireman's Service Keys (2 sets)	
	Door Release Hole Access Keys (2 sets)	
	Door Release Drop Keys (2 sets)	

## Platform Lifts

	Inspection & Testing Report	
	Certificate of Inspection	

## HVAC

	Pre-Balance Report(s) [pre-demolition phase]	
	Final Air Balance Report(s)	
	Operational Test Record – Fire Dampers	
	Operational Test Record – Fire / Smoke Dampers	
	Smoke Control Systems†:	
	SCS – Special Inspector Qualifications	
	SCS – Special Inspections and Testing Reports	
	SCS – Fire Department Training Documentation	

## Heating Systems

	Underground Radiant Heat Pressure Testing Report	
	Heating Supply & Return Pressure Testing Report	
	Boiler Installation and Service Certificate	

## Mechanical Refrigeration

	Refrigerant Detection and Alarm Systems	
	Refrigerant MSDS	

## Emergency Illumination – Unit Equipment

	90-Minute Testing Record: Illuminated Exit Signs	
	90-Minute Testing Record: Emergency Lighting	
	MOE Illumination – 1 foot-candle measured at floor	

## Fire Doors

	Acceptance Inspection and Testing Record: Swinging Fire Doors	
	Acceptance Inspection and Testing Record: Rolling Steel Fire Doors	
	Acceptance Inspection and Testing Record: Service Counter Doors	
	Acceptance Inspection and Testing Record: Access Door Assemblies	
	Acceptance Inspection and Testing Record: Sliding Doors	
	Qualifications of Fire Door Assembly Inspector	

## Firestopping

	Inspection Records	
	Inspection Records: Sprayed Fire-Resistant Materials (SFRM)	

## Commercial Kitchen Grease Exhaust Hoods/Ducts

	Record or “As-Built” Exhaust Duct Drawings*	
	Performance Test – Rate of Exhaust Airflow, Makeup Airflow	
	Grease Duct System – Air Velocity Measurement(s)	
	Grease Duct Leakage Test Records	
	Fire Suppression System Acceptance Testing Report**	
	Copy of Manufacturer’s <i>Listed Installation &amp; Maintenance Manual</i>	
	Class K portable fire extinguisher – posted and w/in 30’ of hazard	

## Hazardous Exhaust Systems

	Record or “As-Built” Exhaust Duct Drawings*	
	Air Balance Report(s)	
	Chemical Fume Hood Calibration/Certification Report	

## Process Gas Piping Systems

	Pressure Testing Reports	
	Gas Detection & Alarm Acceptance Testing Report(s)	
	Engineer’s Letter of Substantial Completion	

## Fuel Gas Piping \*\*

	Pressure Testing & Inspection Reports <i>Air, carbon dioxide, nitrogen or inert test gas, NOT OXYGEN.</i>	
	Piping System Leakage Check Records	

## Emergency Shower/Eyewash Stations

	Acceptance Testing Reports	
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## STRUCTURAL

### *Reference Statement of Special Inspections*

#### Reinforced Concrete

	Compressive Strength Testing Report(s)	
	Copies of Delivery Tickets	
	Mix Test Reports (e.g. slump, air content, temperature)	
	Reinforcing Steel Inspection Report(s)	
	CASE form 102-2001 <i>or equivalent</i> Final Report of Special Inspections	
	Special Inspection Non-Conformance/Deficiency Report(s)	
	Engineering Response to Non-Conformance Report(s)	
	P.E. Letter of Substantial Completion	

#### Masonry Unit Construction

	CASE form 102-2001 <i>or equivalent</i> Final Report of Special Inspections	
	Special Inspection Non-Conformance/Deficiency Report(s)	
	Engineering Response to Non-Conformance Report(s)	
	P.E. Letter of Substantial Completion	

#### Structural Steel

	Welding Inspection Reports	
	High Strength Bolts Inspection and Verification Reports	
	Steel Framing Inspection	
	Inspection Records: Sprayed Fire-Resistant Materials (SFRM)	
	CASE form 102-2001 <i>or equivalent</i> Final Report of Special Inspections	
	Special Inspection Non-Conformance/Deficiency Report(s)	
	Engineering Response to Non-Conformance Report(s)	
	P.E. Letter of Substantial Completion	
	ICC-300 Compliance Inspection: Bleachers	

#### Verification and Inspection of Soils

	CASE form 102-2001 <i>or equivalent</i> Final Report of Special Inspections	
	Special Inspection Non-Conformance/Deficiency Report(s)	
	Engineering Response to Non-Conformance Report(s)	
	P.E. Letter of Substantial Completion	

### Pile Foundations

	CASE form 102-2001 <i>or equivalent</i> Final Report of Special Inspections	
	Special Inspection Non-Conformance/Deficiency Report(s)	
	Engineering Response to Non-Conformance Report(s)	
	P.E. Letter of Substantial Completion	

### Load Testing - General

	Load Testing Report(s)	
	P.E. Letter of Substantial Completion	

## GENERAL

### ACM

	Contractor NYS DOL Asbestos License	
	Copies of Asbestos Handlers' Certificates	
	MSDS of products/chemicals used	
	Pre-Demolition Sampling Reports	
	Notification Postings – “Notice to Building Occupants”	
	NYS Department of Labor Project Request (> 160 SF; 260 linear)	
	Notification to EPA (if applicable)	
	Asbestos Disposal & Documentation Form or Asbestos Waste Shipment Record	
	Air Sampling Records	

### Universal/Hazardous Waste

	Waste Manifests. <u>Contact:</u> Nay Gosai, UAlbany Office of Environmental Health & Safety (518) 591-8542.	
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### Storm Water Pollution Prevention Plan (SWPPP)

	<u>Contact:</u> Frank Fazio or Brad Bunzey (518) 442-3400	
	Notice of Termination (NOT)	

### Portable Fire Extinguishers

	Fire Extinguisher Cabinet Keys. <u>Contact:</u> Fire Safety 442-3400	
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## Fire Department Access – Knox® Rapid Entry System Key Box

	Contact: Fire Safety 442-3400	
	Building Keys (2)	
	Mechanical Room Keys (2)	
	Elevator Keys (2)	
	Building SUNYCard swipe key card (2)	

## Materials Submittals

	Certified Lab Testing Report(s)	
	Certificate(s) of Flame Resistance	

## Submittals

	Third Party Testing Agent(s). AHJ approval required prior to testing.	
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## Substantial Completion

	Engineer/Architect Letter of Substantial Completion AIA form G704-2000 Certificate of Substantial Completion <i>or equivalent</i>	
	Final Report of Special Inspections	
	UAlbany Trade Shops sign-offs on the Building Permit - Mechanical ----- - HVAC ----- - Plumbing ----- - Electrical ----- - Asbestos Abatement-----	
	Letter of Acceptance; Director of Facilities Management	

## SUCF and DASNY Projects Only

	Building Permit		SUCF		DASNY	
	Certificate of Occupancy		SUCF		DASNY	
	Punch List					
	NYS Office of Fire Prevention & Control Inspection Report					



## ADDITIONAL DOCUMENTS:

	Albany County Department of Health Approval of Plans and Specifications for the Construction, Alteration or Remodeling of a Food Service Establishment	
	New York State Department of Health DOH-192 Food Service Establishment Inspection Report	
	Albany County Department of Health Permit to Operate a Food Service Establishment	
	New York State Department of Labor boiler inspection certificates	
	New York State Education Department (NYSED)	

\* All drawings requested for specific systems should be submitted as one full-sized hardcopy.

\*\* Contact UAlbany Code Administration at (518) 442-3400 to witness tests/inspections.

\*\*\* **2020 Fire Code of New York State 901.5.1** Occupancy. It shall be unlawful to occupy any portion of a building or structure until the required fire detection, alarm and suppression systems have been tested and *approved*.

† **2020 Fire Code of New York State 909.19** System acceptance. Buildings, or portions thereof, required by this code to comply with this section [SMOKE CONTROL SYSTEMS] shall not be issued a certificate of occupancy until such time that the code enforcement official determines that the provisions of this section have been fully complied with and that the fire department has received satisfactory instruction on the operation, both automatic and manual, of the system and a written maintenance program complying with the requirements of Section 909.20.1 has been submitted and approved by the fire code official.

American Institute of Architects (AIA)  
Council of American Structural Engineers (CASE)

<http://www.aia.org>  
<http://www.acec.org>