# General Permitting and Inspection Guidelines

# Pedestrian Protection Guidelines

# Special Inspections

# Third*-*Party Inspection Program (TPIP)



**City of Auburn**

**Inspection Services Department**

Third-Party Inspection Program (TPIP)

**Manual**

2018 Edition

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## INTRODUCTION

### Purpose:

The City of Auburn Third-Party Inspection Program (TPIP) establishes a building inspections procedure that utilizes qualified, third-party professionals in addition to the City of Auburn’s Inspectors. The purpose of this document is to establish the policy and guidelines for the construction process in accordance with the TPIP and to:

1. Identify the types of structures that are subject to the TPIP.
2. Define the responsibility of all parties.
3. Qualifications to become a pre-qualified third party inspector;
4. Standardize code application.
5. Provide for an orderly and systematic approach for updating standards that apply to the TPIP.
6. Ensure that the TPIP modifications are uniformly applied.
7. Set forth a guideline for third-party inspectors to follow in the TPIP.

### Basis for third-party inspections

Third party inspections (TPI) are not allowed by right. TPI’s are intended to augment inspections mandated by City and the 2015 International Building Code (IBC). IBC sections 104.4 and 110.4 authorizes the building official to accept reports by pre-approved inspection agencies. The building official recognizes the use of TPI’s as a means to augment the demand on daily City inspection services as a means to maintain high quality services delivery.

**IBC 104.4 Inspections.** The building official shall make the required inspections, or the building official shall have the authority to accept reports of inspection by approved agencies or individuals. Reports of such inspections shall be in writing and be certified by a responsible officer of such approved agency or by the responsible individual. The building official is authorized to engage such expert opinion as deemed necessary to report upon unusual technical issues that arise, subject to the approval of the appointing authority.

**IBC 110.4 Inspection agencies**. The building official is authorized to accept reports of approved inspection agencies, provided such agencies satisfy the requirements as to qualifications and reliability.

## APPLICABILITY

Structures that are subject to the TPIP include, but are not limited to:

1. All commercial structures for which a permit is obtained to construct a new building or to construct an addition to an existing structure with an estimated construction cost in excess of $200,000. This excludes buildings or structures of Use Group R3 (Town Houses and Detached Single Family Dwellings), and R4. Minor tenant work done in an existing building(s) is also excluded from the scope of the TPIP.
2. All deep foundations, such as caissons and piles.
3. All post-tensioned buildings.
4. Buildings on problematic soil conditions.
5. All elevated concrete slabs.
6. Other structures determined by the Building Official, or their representative, to be of unusual design or where code reference standards require special architectural or engineering inspections.
7. The Building Official may include or exclude a project from the TPIP due to its simplicity or complexity.

All supplemental permits for a project shall fall under the TPIP until such time the final Certificate of Occupancy (CO) is issued and that all permit requirements for the project are finalized. This includes, but is not limited to: soils and foundation construction, earth retention systems, pre-cast concrete construction, cast-in-place concrete, masonry construction, wood construction, wood framing, structural steel construction, insulation, finish systems, fire protection, life safety, electrical systems, mechanical systems, plumbing systems, fuel/gas systems, fire sprinkler systems, fire alarm systems, etc.

## DEFINITIONS AND QUALIFICATIONS

The following words and terms shall, for the purposes of this manual and the City’s TPIP have the meaning delineated below. See Attachment #2 for a more extensive list of responsibilities for many of the individuals mentioned.

**NOTE:** It is possible that multiple professionals share the titles defined below, for example, the term “Structural Inspector of Record” may be shared by one person who performs the foundation inspection and a second who performs inspections on the superstructure.

**Agent**: A full-time, qualified employee under the direct supervision of an inspecting *Registered Design Professional* retained to conduct continuous actual or assist with onsite inspections and testing.

**Architect of Record (AR)**: The *Registered Design Professional* retained by the Owner to design and specify architectural construction and whose signature and State of Alabama architectural seal appear on the City-approved architectural construction documents.

Building Code: The current International Building Code (IBC) as amended by The City of Auburn

**Certification:** A statement of professional opinion by a qualified *Registered Design Professional* that indicates that the work under consideration, based upon their actual inspections, in their opinion and to the best of their knowledge meets the requirements of the City-approved construction documents and the City Code. Certifications must be signed and sealed by the qualified professional making the statement.

**Construction Documents**: Plans and other documents prepared for the purpose of obtaining a building permit.

**City-Approved Plans:** Construction Documentsapproved by the City including all approved revisions.

**City of Auburn Inspector (COAI):** The individual(s) employed by the COAIS, who oversees all third-party inspections and any projects falling within the purview of the TPIP.

City of Auburn Inspection Services Department (COAIS): The City of Auburn Inspection Services Department.

Contractor: A person who contracts on predetermined terms to provide labor and materials and to be responsible for the performance of a construction job in accordance with established specifications or plans.

**Design Engineers of Record:** The *Registered Design Professionals* whose designs are included in the City-Approved Plans (includes: Electrical Engineer of Record, Fire Protection Engineer of Record, Fire Protection Systems Designer of Record, Geotechnical Engineer of Record, Mechanical Engineer of Record, and Structural Engineer of Record).

**Electrical Engineer of Record (EER):** The *Registered Design Professional* retained by the Owner to design or specify electrical documents and whose seal and signature appear on any electrical documents.

**Electrical Inspector of Record (EIR):** The *Qualified Professional* retained by the Owner to provide third-party electrical inspections and testing services as approved by the City. The EIR cannot be an individual affiliated with the *EER*.

**Fabrication and Erection or Shop Drawing Documents**: Written, graphic, and pictorial documents prepared or assembled after issuance of a permit describing the design, location, and physical characteristics of building components necessary for fabrication, assembly, or erection of project elements or systems. These documents usually require a supplemental City review, permit, and/or approval.

**Final Inspections Report**: A signed and sealed certification document from each *Third-Party Inspector of Record* that performed inspections, which indicates that the construction, having been inspected in the qualified professional's opinion and to the best of the qualified professional's belief, complies with the *City-Approved Plans* and specifications. This includes a record of all Routine Inspection Non-Compliance Reports having been satisfied.

**Fire Protection Engineer of Record (FPER):** The *Registered Design Professional* retained by the Owner to design or specify building fire protection and egress documents and whose seal and signature appear on any fire protection documents.

**Fire Protection Inspector of Record (FPIR)**: The *Qualified Professional* retained by the Owner to perform third-party building fire protection and egress inspections and testing services as approved by the City. The FPIR cannot be an individual affiliated with the *FPER or FPSD*.

**Fire Protection Systems Designer of Record (FPSD):** The *Qualified Professional* retained by the Owner to design or specify fire protection system documents and whose seal and signature appear on any fire protection system documents.

**Fire Protection Systems Inspector of Record (FPSI):** The *Qualified Professional* retained by the Owner to perform third-party fire protection system inspections and testing services as approved by the City. The FPSI cannot be an individual affiliated with the *FPSD or FPER*.

**General Contractor (GC):** The construction company who coordinates building construction and is retained by the Owner.

**Geotechnical Engineer of Record (GER):** The *Registered Design Professional* retained by the Owner to design or specify earthwork and foundations and whose seal and signature appear on any geotechnical documents.

**Geotechnical Inspector of Record (GIR)**: The *Qualified Professional* retained by the Owner to perform third-party geotechnical inspections and testing services as approved by the City. The GIR cannot be an individual affiliated with the *GER*.

ICC Certification: Voluntary certifications issued by the International Code Council (ICC), a nonprofit organization established in 1994 that is dedicated to developing a single set of comprehensive and coordinated national model construction codes. ICC Certification is based on the results of one or more examinations administered by the ICC to establish proficiency in professional categories.

**Inspection:** The periodic observation of work and the performance of tests for certain building or structure components to check code compliance of a system or group of assembled components to assure compliance with the City Code.

Inspections Division (ID): The individual(s) employed by the City of Auburn Inspection Services Department (COAIS) in the Inspections Division.

**Inspection and Testing Agency**: Agency or agencies retained by the Owner and approved by the Building Official or their designee to perform special inspections and materials testing as required by the International Building Code (IBC) and the City.

International Building Code (IBC): A model code developed by the International Code Council and adopted with amendments by the City of Auburn. These adopted codes include, Building, Residential, Plumbing, Mechanical, Fuel Gas, Fire, Accessibility, Energy and Property Maintenance.

**Mechanical Engineer of Record (MER):** The *Registered Design Professional* retained by the Owner to design or specify mechanical documents and whose seal and signature appear on any mechanical documents.

**Mechanical Inspector of Record (MIR)**: The *Qualified Professional* retained by the Owner to provide third-party mechanical system inspection and testing as approved by the City. The MIR cannot be an individual affiliated with the *MER*.

**Non-Structural Elements**: Elements of a building that are not primary or secondary structural elements such as exterior curtain walls and cladding, non-load bearing partitions and stair railings. Inspection is required to assure compliance with the applicable City Building Code.

**Owner:** Owner or owners of the free hold premises or lesser estate therein; a mortgagee or vendee in possession, assignee of rents, receiver, executor, trustee, or lessee in control of a building/structure to be constructed/altered or the Owner's duly authorized representative.

**Pre-Engineered Structural Elements**: Structural elements specified by the Structural Engineer of Record, but which may be designed by a specialty-registered design professional.

Examples may include open web steel joists and joist girders; wood trusses; combination wood, metal and plywood joists; pre-cast concrete elements; prefabricated wood or metal buildings; tilt-up concrete panel reinforcement and lifting hardware.

**Primary Structural System**: The combination of elements that serve to support the weight of the building's structural shell, the applicable live load based upon use and occupancy, and environmental loads such as snow, wind, thermal loads and seismic loads. Items such as curtain wall members, non-load bearing walls, or exterior facades are not part of the primary structural system.

Project: The totality of construction activity covered by specific construction permit(s) and which requires field inspections or special inspections pursuant to the Construction Codes.

**Qualified Professional:** An individual practicing within their area of expertise meeting the qualifications established by the City through this document and the requirements of the State Board of Licensed Professionals (see Attachment #2, page 31, for field specific qualifications).

**TPIP Certification Form**: The final, signed and sealed certification documents (includes all field specific, standard certification forms) from each *Third-Party Inspector of Record* that performed inspections, which indicate the construction elements specified for their inspection that, having been inspected and in the qualified professional's opinion and to the best of their belief, comply with the *City-Approved Plans,* City Code and specifications (see Attachment #3).

**Registered Design Professional (RDP):** A professional licensed in the State of Alabama and practicing within their field of expertise.

**Routine Inspection Report:** Written documentation of each inspection done by a Third-Party Inspector of Record or their agent.

**Secondary Structural Elements**: Building elements that are structurally significant for the function they serve, but are not necessary for the stability of the primary structure.

Examples include support beams above the primary roof structure, which carry a chiller, elevator support rails and beams, retaining walls independent of the primary building, flagpole or light pole foundations, false work required for the erection of the primary structural system, steel stairs or railings, etc.

**Statement of Third-Party Inspections (STPI):** A form (see Attachment #1) prepared by the Owner and appropriate *Registered Design Professionals* of Record that is submitted by the permit applicant for review and approval by the City. The STPI identifies the names and qualifications of all professionals involved. The STPI is required as a condition of permit issuance.

**Structural Engineer of Record (SER)**: The *Registered Design Professional* retained by the Owner to design or specify structural documents and whose signature and seal appear on such documents.

**Structural Inspector of Record (SIR)**: The *Qualified Professional* retained by the Owner to provide third-party structural inspection and testing, as approved by the Building Official or their designee. The SIR cannot be an individual affiliated with the *SER*.

Subcontractor (SC): One who takes a portion of a contract from the principal contractor or from another subcontractor.

Third Party Inspector subcontractor (TPISC): One who takes a portion of a contract from the Third Party Inspector of Record or from another Third Party Inspector of Record subcontractor.

**Third-Party Inspector(s) of Record (TPIR)**: The qualified, third-party professional(s) retained by the City and named in the STPI to provide discipline specific inspections and material services as approved by the Building Official or their designee (includes: *EIR, FPIR, FPSI, GIR, MIR* and *SIR*).

## PRE-PERMIT PHASE

### Statement of third-party inspections

Owners of projects that are subject to the TPIP must submit, as part of the permit application, the names of all design professionals of record.

The Fire Protection System Designer(s) of Record (FPSD) is not required to submit at permitting. It is the responsibility of the Owner and General Contractor to make the COAIS and the TPI aware of their contact information within five (5) business days of their contract approvals.

Third-Party Inspectors of Record (TPIR), and the Inspection and Testing Agency retained to provide inspections and/or testing services must submit the names and qualifications to the Building Official prior to the pre-construction meeting. Refer to Attachment #1 in this document. An individual’s signature on the STPI certifies that they have read and understand their role under the TPIP.

**NOTE**: It must be clearly understood that each of the Third-Party Inspectors of Record (EIR, FPIR, FPSI, GIR, MIR, and SIR) must be unaffiliated with the Registered Design Engineers of Record (EER, FPER, FPSD, GER, MER, and SER) and the installer/contractor. It is assumed that the design professionals will field verify the installation of their designed or specified documents; HOWEVER, this verification is not part of the TPIP process. In addition, the Third-Party Inspectors of Record (EIR, FPIR, FPSI, GIR, MIR, and SIR) must be unaffiliated with City officials or current/previous City employees as outlined in all applicable State and local codes of ethics. It is the Third-Party Inspection Agency’s responsibility to ensure its officers, directors, employees and agents are in full compliance with such codes of ethics.

### Fees and Cost

Fees and costs associated with the performance of TPIR shall be borne by the Owner. The estimated amount of the third party inspection cost will be included in the fees at time of permitting. The owner will guarantee they are responsible for the cost of the TPI’s and provide a bond to cover any expenses that should occur in which the owner does not provide payment for services encumbered by the TPI. The owner will pay for any overages for the cost of the TPI’s. Failure to have the requisite inspections may result in the City issuing a stop work and/or assessing special investigation fees until the inspections are brought up to date. Each out-of-date inspection may result in a separate special investigation fee ($100).

### Relevant Codes and Standards

The provisions of the relevant codes shall determine the applicability of a project to any technical codes or standards referenced in these requirements or standards in effect as of the submission date of the permit application.

### Independence

Third Party Inspectors (hereafter Inspectors) must be able to demonstrate and maintain independence from any person or firm responsible for construction of work they will inspect. The Inspector shall have no financial or personal relationship with the property owners, designers, permit holders, contractors or sub-contractors being inspected. Inspectors shall not have:

1. Accepted monies or any other item of value other than remuneration for third party inspection services; or
2. Performed services or other work other than third party inspections for the property owners, designers, permit holders, contractors or sub-contractors being inspected for a period of 2 years prior to performing such inspection.

The Inspector must always maintain a high degree professionalism, neutrality and autonomy necessary to secure the health, safety and welfare provisions of the IBC and other related statues, law or regulations. Although paid by the permit holder, the TPI is ultimately responsible to the City of Auburn Building Official. If the Inspector discovers any attempts by the responsible party to cover or conceal discrepancies or rejected work, the Inspector shall immediately contact the building official. The Inspector shall not perform any further TPI’s on the project until approval is obtained from building official.

The Inspector is required to complete the attached “Affidavit of Independence” and submit it to the City of Auburn Building Official prior to approval as a TPIR.

### Third Party Inspector Insurance Requirements

The Inspector or agency must submit proof of general liability insurance, professional errors and omissions insurance and workers’ compensation insurance if the inspector or agency is required by law to carry the coverage. Limits of liability for general liability insurance shall be, at a minimum, $1,000,000 per occurrence, $1,000,000 personal and advertising injury, $1,000,000 general aggregate and $1,000,000 products completed operations aggregate. Limits of liability for professional liability shall be, at a minimum, $ 5,000,000 per occurrence or claim and $5,000,000 aggregate. If any of the liability coverages are on a claims-made base, the inspector or agency must carry coverage at the limits specified in this paragraph for two (2) years following completion of the work specified in this agreement. If the inspector or agency is required by law to carry workers’ compensation insurance, the coverage will provide statutory benefits and employers’ liability limits of $500,000 each accident, $500,000 disease – each employee and $500,000 disease – policy limit. If the inspector or agency is not required by law to carry workers’ compensation insurance, the inspector or agency acknowledges that they are responsible for any workers’ compensation type benefits. The inspector’s or agency’s insurance is primary. If the inspector carries higher coverage limits, the higher limits apply. The inspector or agency is responsible for the payment of any deductibles or self-insured retentions. The insurance company must state that they will provide a thirty (30) days’ written cancellation notice to the City. The Inspector or agency shall provide proof of insurance prior to approval as a TPI.

#### AUTO INSURANCE

The Third Party Inspector will provide Auto Liability Insurance at a minimum of 1,000,000.00 combined single limit. The City of Auburn should be listed as an additional insured under the auto liability coverage.

#### THIRD PARTY INSPECTOR SUBCONTRACTORS

The TPI shall require certificates of insurance from its TPI subcontractors. TPI subcontractors will carry limits of insurance equal to or greater than those carried by the TPI. These certificates shall evidence waivers of subrogation in favor of the TPI and the City, and shall be made available to the City upon request.

### Independent Contractor

The relationship of the TPIR to the City, and its employees and agents, is that of an independent TPIR contractor and not an employee. TPIR acknowledges that the true nature of its relationship is that of an independent TPIR contractor in that TPIR may use any appropriate method of conducting its services based on its knowledge, skill, judgment, means and methods.

### Indemnification

The TPIR, inspector or agency shall be solely responsible for any and all of its actions, errors and/or omission, and agrees to indemnify and hold harmless the City, its officials, representatives, agents, servants and employees, from and against any and all claims, actions, lawsuits, damages, judgments, liability and expense, including attorneys’ fees and litigation expenses arising from the inspector’s or agency’s performance of TPI actions. This obligation survives the payment of any losses by the inspector’s or agencies insurance carrier.

### Business License

The Inspector or agency performing TPIRs shall provide documentation of an appropriate business and license(s) as required by the City of Auburn.

### Training & Meetings

Inspectors maintaining an approval status or who are providing continuous inspection services shall have at least one qualified company representative attend designated City TPIR meetings as necessary. All inspectors shall attend any required training to maintain a professional license or certification.

### Third Party Inspector and Laboratory Qualifications

Third party inspectors must demonstrate the knowledge, skills and abilities to perform inspections in their area of expertise. Not only must they demonstrate a technical knowledge of the code and trade they inspect, they must also demonstrate that they have applicable knowledge of City ordinances and regulations. Inspection and Testing Agency personnel shall perform only those services in which they have demonstrated competency through such a recognized certification or registration program and shall be under the direct supervision of an Alabama Registered Design Professional. Third party inspectors must provide the following for evaluation and approval purposes to the building official. Approval of a third party inspector shall be in writing from the building official.

#### Registration and Certification

The following shall serve as minimum qualifications for all inspectors:

1. Alabama registration as an inspector in the specific area(s) of inspections performed; and
2. International Code Council (ICC) certification(s) as an inspector in the specific area(s) of inspections performed; or
3. An Alabama Registered Design Professional (RDP) practicing within their area of competency as related to the area of inspection; or
4. Certified by examination through ACI, AWS, ASNT, NICET, WACEL, or other organizations whose programs are recognized by the City and approved in writing by the Building Code Official
5. Individuals or firms approved to perform special inspections as specified in 2015 IBC §110.3.9 within their area of qualification, competency and operating under the direction of an Alabama RDP.

#### Experience

The Inspector shall demonstrate knowledge of the applicable codes, Alabama modifications, City ordinances and other applicable City regulations by demonstrating the following minimum experience:

1. A minimum of five years of experience conducting inspections within the specific area of expertise as regulated by IBC; or
2. Applicants may also submit for consideration additional qualifications to substantiate equivalent experience. This may include engineers-in-training that include a college degree in subject area augmented with field inspection experience and supervision of an Alabama RDP; or
3. Applicants may substitute two years of field construction supervision experience for each one year of field inspection experience if it is relevant to the area of inspections being sought for approval. Field construction supervision experience may replace up to three of the five years of inspection experience.

However, the building official reserves the right to require more than the above minimum requirements in specific situations, at his/her sole discretion.

#### Annual Renewal of Third Party Inspector Qualification

To maintain approval to conduct third party inspections in The City of Auburn, the Inspector shall submit, one month before their approval anniversary date, all the following:

1. Proof of attendance of any mandatory training to maintain registration or professional qualifications;
2. Proof of the required insurance; and
3. Proof of business license.

Failure to submit the above documentation will result in suspension status and suspension of inspection privileges. The Inspector or agency will be required to be re-approved before being authorized to perform inspections.

#### Laboratory Qualifications

Laboratory facilities must be accredited for the testing conducted by an agency such as AALA, NVLAP, WACEL, or other organizations whose programs are recognized by the City and approved in writing by the Building Code Official. All laboratory facilities must meet the requirements of ASTM E329, ASTM D3740, and ASTM C1077 in addition to the requirements outlined in this Program. The TPIR shall accredit on-site laboratory facilities as an extension of an accredited laboratory. The TPIR shall submit resume and documentation, for approval by the City, of inspection and testing personnel and laboratories prior to the Pre-Construction Meeting.

## PRE-CONSTRUCTION MEETING:

### Pre-construction meeting

A Pre-Construction Meeting is required for every project that is subject to the TPIP as a condition of permit issuance. The meeting shall take place after the plans and the STPI have been reviewed and approved by the City and prior to issuance of the permit.

### Participants in the pre-construction meeting:

The following construction team members shall participate in the meeting, as required:

1. Owner or Owner’s duly authorized representative
2. Architect of Record (AR)
3. Design Engineers of Record
4. Electrical Inspector of Record (EIR)
5. Fire Protection Inspector of Record (FPIR)
6. Fire Protection Systems Inspector of Record (FPSI)
7. Geotechnical Inspector of Record (GIR)
8. Mechanical Inspector of Record (MIR)
9. Structural Inspector of Record (SIR)
10. General Contractor (GC)
11. City Staff – City Inspector (COAI)
12. Third Party Inspector of Record representative
13. Other parties deemed appropriate by the Owner or City

### Purpose:

The purpose of the Pre-Construction Meeting is to review the inspection requirements of the project and establish communication. The Owner or Owner’s representative is responsible for ensuring that the Architect, General Contractor, Design Engineers of Record and Special Inspectors attend.

The City of Auburn will conduct the meeting. At a minimum, the following shall be discussed:

1. Construction Project Requirements: Construction requirements of the City of Auburn TPIP, including construction methods, site safety, fire hazard prevention and temporary electrical installations during the construction process.
2. Responsibilities: Clarify the roles and responsibilities of each party. Refer to the Definitions and Attachment #2.
3. Communication: Organize channels of communication between the City, Owner's representatives, and members of the construction and design teams. Identify who is to obtain copies of various inspections reports, certifications, and the time limitation on submitting those reports to COAI. Verify that the contact information on the Statement of Third-Party Inspections (Attachment #1 is correct.
4. Phased Construction: Requirements for phasing or separations of permits and certificates of completion.
5. Schedule of Inspections: Estimate a timeline for building construction and identify areas of concern to specific inspections. Site visits for each Third-Party Inspector of Record must be at intervals appropriate to the stage of construction or as otherwise agreed by the Owner, Design Professional, or City representative. Each inspection must be documented for COAIS to become clearly familiar with the progress and quality of the work completed and to determine, in general, if the work is being performed in a manner conducive to completion in accordance with the City-Approved Plans.

## CONSTRUCTION PHASE

### Reports and communications flow

The Third-Party Inspectors of Record (TPIR) and the Inspection and Testing Agencies shall provide Routine Inspection Reports as required by the Statement of Third-Party Inspections and this TPIP document within five business days of inspection.

Site visits for each TPIR must be at intervals appropriate to the stage of construction or as otherwise agreed by the COAIS, Owner, and Design Professional or their representative. Each visit must be documented, in writing, for the COAIS to become clearly familiar with the progress and quality of the work completed and to determine, in general, if the work is being performed in a manner conducive to completion in accordance with the City-Approved Plans. The TPIR shall notify the COAIS if their services have not been requested for a project in a manner consistent with the normal construction schedule of a similar building, or if they suspect that a project is proceeding without inspections.

Reports shall include:

1. The applicable permit numbers
2. Project name
3. Title: Third Party Inspections
4. The Inspector's name, address, phone number and E-mail
5. The name of the approved agent if different from above
6. Project street address
7. Inspection type
8. Discipline (Architect, Structural, Mechanical, Electrical Fire General, Fire System)
9. Date and time of the inspection
10. City approved permit plans were available on site for inspection
11. The inspection results with deficiencies properly identified
12. Verification that previous inspection discrepancies were known, reviewed and approved or need correction where applicable
13. A statement that reads, "This inspection report is subject to review and approval by the City of Auburn Inspection Services Department.

Each report shall be prepared in a manner that is legible, describes what was inspected, and any modifications or deficiencies encountered. Follow-up reports shall be prepared when deficiencies have been corrected and inspected. These reports shall clearly indicate compliance or non-compliance. Reports shall also indicate if work is proceeding without inspection approval.

If the Routine Inspections Report includes deficiencies, the Report shall describe the nature and specific location of the deficiency and include a description of the corrective action recommended by the Registered Design Professional of Record. If a similar deficiency exists throughout the project, it may be so noted once, but corrections must be noted individually.

The TPI shall bring nonconforming items to the attention of the COAIS , contractor, owner by the issuance of a nonconforming report , and note all such items in the daily report. The TPI inspector shall also notify the Engineer or Architect of Record. Reports of non-compliance shall give the TPI the authority to suspend all work in the areas of such non-compliance, until the noncompliance is corrected and a field report indicating compliance has been issued by the TPI.

The TPI is responsible to immediately notify the COAIS of any structural failure, collapse or condition that in the opinion of the TPI inspector may possibly lead to a structural failure. The COAIS will provide for after-hours notification of emergency conditions. Those numbers will be made available to all Inspection Agencies.

All reports shall be sent to the COAIS, Owner or Owner's designee, appropriate design professionals of record, and to any such others that the Owner or City may direct. The parties who are to receive Routine Inspections Reports will be identified and confirmed at the Pre-Construction Meeting.

### Routine Inspection Reports Guidelines

1. Each time an agent of the Third-Party Inspector completes an inspection or test, an Inspection Report shall be filed immediately with COAIS and the Contractor.
2. The inspection or testing report shall be signed and sealed by an approved Alabama Professional Engineer as shown on the TPIP agreement.
3. Inspection reports shall be legible. Only typed or printed reports are acceptable unless an alternative is deemed satisfactory. Reports that are not legible will be rejected and the Third-Party Inspection Agency notified that a replacement is required.
4. Type of inspection, as much as practical, should be specific: This may include terms such as but not limited to: subgrade, concrete placement, backfill, forming, framing, insulation, rough in (electrical, mechanical, plumbing, etc.), accessibility, brick tie, and final.
5. The Contractor shall maintain a log of inspection reports and ensure that it is available to the City, Owner, and third party agents, on site at all times. This log shall be given to the City and Owner upon completion of the project unless mutually agreed otherwise.
6. Each report shall be completed in its entirety.
7. The reviewer of the report shall be the signatory of the Third-Party Inspection Agreement.
8. Room numbers, sections, wing, floor, or column line shall reference inspection location when partial inspections are completed.
9. Inspections conducted on the same day, for the same type, by the same inspector may be recorded on one report.
10. Outstanding issues are required to be noted when an inspection fails.
11. The architectural inspector must view the foundation certification prior to issuing an inspection report to allow the erection of the superstructure.
12. The structural inspector must issue a “passing” inspection report prior to the general contractor permitting trade (electrical, mechanical, etc.) work to proceed in that portion of the structure.
13. The architectural inspector must view the “passing” inspection reports for the other disciplines and the superstructure certification prior to issuing their inspection report prior to a framing inspection. The architectural inspection report must be on site and submitted to the City prior to requesting an framing inspection.
14. The architectural inspector must view the “passing” final inspection reports for the other disciplines prior to conducting the final inspection. A final inspection report shall be completed prior to requests to the City to issue stocking, temporary, or final occupancies.
15. A narrative section may be used for positive comments and to record inspection information, i.e., observed UFER ground, reviewed reports of others, hydrostatic test conducted, etc.

### Changes in critical services

In the event that the Design Professionals or Inspection and Testing Agencies of Record are changed during the course of the project, the Owner shall notify the Building Official in writing, within one business day of the action taken by the Owner.

The Owner shall provide to the Building Official a written explanation for such change prepared and signed by the departing party. It must identify the replacement organization or individual with whom they have contracted; must furnish the documentation necessary to show that such organization or individual is qualified for the work as required herein; and must provide a revised inspection agreement signed by the new party.

The departing party must provide a job status report indicating completed inspections and known deficiencies. This report must be signed and sealed by an approved professional, licensed in the State of Alabama, and practicing within their field of expertise.

COAIS may Stop Work if, in the Department’s opinion, work otherwise would proceed without adequate inspection. COAIS will authorize a recommencement of work only when it is satisfied that the integrity of the inspection can be assured.

The ultimate responsibility and final certification is with the replaced inspection agency.

COAIS may Stop Work and withhold any Certificate of Occupancy until adequate and satisfactory certifications are presented to the City.

## PERFORMANCE REVIEWS

City of Auburn may periodically review the performance of any professionals utilized in the TPIP. If a professional is determined to not be performing satisfactorily, COAIS will notify the TPI to provide a replacement that is acceptable.

The building official may suspend or revoke inspection privileges of an approved inspector or agency for just cause. Failure to strictly comply with all of the below terms may result in inspection reports being rejected and suspension or termination of approval to conduct TPI.

1. Failure to maintain required certifications or licenses
2. Failure to maintain the minimum required insurance
3. Failure to adhere to the requirements for inspection scheduling or reporting
4. Failure to perform proper inspections in accordance with the code and City ordinances, policies and the TPI program
5. Failure to attend training or meetings that are required by TPI program
6. Failure to follow the written City directives when unacceptable inspection practices or results are identified
7. Evidence of misrepresentation of fact that led to approval by the City
8. Failure to maintain independence from the individuals or firms responsible for the project construction being inspected
9. Failure to have City approved inspectors performing inspections
10. Falsification of any reports
11. Any act or omission that is deemed by the City to violate the letter or intent of the TPI program or any laws or ordinances of the Federal Government, State of Alabama or City of Auburn.

### Third party inspector revocation

#### FRAUDULENT/INCOMPETENT CERTIFICATIONS

COAIS will utilize established Departmental guidelines for dealing with fraudulent certifications and incompetent individuals and/or agencies. These guidelines include the suspension of the acceptance of ANY certifications from the party involved and/or filing of complaints with the appropriate licensing/registration board.

#### THREATS TO PUBLIC HEALTH AND SAFETY

If COAIS’s determines that the subject agreement constitutes a threat to public health, safety, or welfare, or is in conflict with the City, State, or other government goals or purposes, the TPI will be notified by COAIS to withdraw the third-party inspection services and COAIS will assign City inspectors to monitor and inspect the permitted work until such time as the situation is resolved.

## POST CONSTRUCTION PHASE

### Final Report of Third Party Inspections

Upon completion of the inspections and testing, the Third-Party Inspectors of Record (TPIR) and any Inspections and Testing Agency utilized, shall submit a Final Report of Inspection to the COAIS referencing all Routine Inspection Reports issued. The Final Report of Inspection is submitted after the inspection specified has been completed for the project. Reports shall include:

1. The applicable permit numbers
2. Project name
3. The Inspector's name, address, phone number and E-mail
4. The name of the approved agent if different from above
5. Project street address
6. Inspection type
7. Discipline (Architect, Structural, Mechanical, Electrical Fire General, Fire System)
8. Date and time of the inspection
9. Inspection reports numbered\_\_\_\_\_\_\_ to \_\_\_\_\_\_, and testing reports numbered \_\_\_\_\_\_\_\_\_\_to \_\_\_\_\_\_\_\_\_, submitted prior to this final report form a basis for, and are to be considered an integral part of this final report.
10. The inspection results with deficiencies properly identified
11. Verification that previous inspection discrepancies were known, reviewed and approved or need correction where applicable
12. A statement that reads, "This inspection report is subject to review and approval by the City of Auburn Inspection Services Department.”
13. A statement that reads, “To the best of my information, knowledge and belief, the inspections specified for this project, have been completed. In my professional opinion, the inspections have been found to comply with City-approved documents and project specifications and the City of Auburn adopted codes.
14. Sign and Affix P.E. Seal to document

#### TPIP CERTIFICATION FORM

Upon acceptance of the Final Report of Inspection, each Third-Party Inspector of Record (TPIR) and any Inspections and Testing Agency utilized, shall submit a TPIP Certification Form to the Building Official, Owner, and others as designated. Refer to Attachment #3. The report must provide a professional opinion stating that, to the best of their knowledge, information, and belief, the work observed was constructed in accordance with the City-Approved Plans, construction documents, adopted City of Auburn codes, State and Federal regulations. Submit any certification forms (NFPA, UL, FM, ASCE, etc.) with the TPIP Certification Form.

ATTACHMENT 1

Statement of Third-Party Inspections

Permit applicants are required to submit a Statement of Third-Party Inspections (STPI) as a condition for permit issuance. This statement shall certify that all third-party inspections shall occur in accordance with the Third-Party Inspection Program. The STPI shall include a list of the individuals (agents), approved agencies, and firms intended to be retained for conducting such inspections and the function in which each Third-Party Inspector is serving must be clearly designated. AN INDIVIDUAL’S SIGNATURE ON THIS STPI CERTIFIES THAT THEY UNDERSTAND THE ROLE THEY ARE UNDERTAKING IN THE TPIP. The City reserves the right to require notarization of any signature included in this document.

This Attachment may be used “as is” or may be modified to accommodate unique requirements of a specific project. These pages must identify the project name, location, Owner, Design Engineers of Record, Third-Party Inspectors of Record (TPIR), any Inspections and Testing Agency of Record (if different from the TPIR), and the General Contractor.

The qualifications of the TPIR and/or any Inspections and Testing Agency of Record are reviewed and approved by the Building Official or their designee as part of the permitting process. The definitions and qualifications for individuals referenced in this STPI can be found in the City of Auburn TPIP Manual (Section 4.3 and Attachment #2).

Documentation supporting any individual’s qualifications may be requested at any time and is to remain on file with COAIS.

To help assure a complete understanding of responsibilities and reporting requirements, the TPIR identified on this STPI, select COAIS representatives, and other appropriate parties must attend a pre-construction meeting. Design Engineers of Record are required to attend this meeting unless directed otherwise by the Owner or City representative. This STPI and the qualifications of the TPIR and/or any Inspection and Testing Agency are reviewed again by City Code Officials and approved at the Pre-Construction Meeting prior to the issuance of a permit.

The Fire Protection System Designer(s) of Record (FPSD) is not required to be listed in the STPI. It is the responsibility of the Owner and General Contractor to make the COAIS and the TPI aware of their contact information within five (5) business days of their contract approvals.

NOTE: It must be clearly understood that each of the Third-Party Inspectors of Record (EIR, FPIR, FPSI, GIR, MIR and SIR) selected must be unaffiliated with the Design Engineers of Record (EER, FPER, FPSD, GER, MER, and SER) and the installer. It is assumed that the design professionals will field verify the installation of their designed or specified documents; HOWEVER, this verification is not part of the TPIP process.

**CITY OF AUBURN**

**INSPECTION SERVICES DEPARTMENT**

STATEMENT OF THIRD-PARTY INSPECTIONS

**Project Name:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Building Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Owner:

 Company’s Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_

Officer:

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_

Resident Agent/Program Contact (Owner’s Authority):

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_

The authority for implementing this Third-Party Inspection Procedure is found in the 2015 IBC, Section 110, titled, "INSPECTIONS.” The undersigned hereby agrees that inspections of the structure being constructed will be carried out in compliance with the rules and procedures outlined in the City of Auburn TPIP Manual.

The Owner further agrees that compliance with this agreement and procedures during construction is a requirement for the issuance of a valid Certificate of Occupancy at the completion of construction.

**CITY OF AUBURN**

**INSPECTION SERVICES DEPARTMENT**

PRIMARY CONTACTS

**OWNER**

Full Legal Name (Printed): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**ARCHITECT (AR):**

Company Name (Printed):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Officer’s Name and Position (Contact): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Alabama Registration Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**GENERAL CONTRACTOR (GC):**

Company Name (Printed): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

On Site Representative’s Full Legal Name (Printed):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**CITY OF AUBURN**

**INSPECTION SERVICES DEPARTMENT**

DESIGN ENGINEER OF RECORD

ELECTRICAL ENGINEER OF RECORD (EER):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

Company Name (Printed):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Alabama Registration Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

FIRE PROTECTION ENGINEER OF RECORD (FPER):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

Company Name (Printed):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Alabama Registration Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

GEOTECHNICAL ENGINEER OF RECORD (GER):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

Company Name (Printed):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

MECHANICAL ENGINEER OF RECORD (MER):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

Company Name (Printed):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Alabama Registration Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

STRUCTURAL ENGINEER OF RECORD (SER):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

Company Name (Printed):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Alabama Registration Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

FIRE SPRINKLER ENGINEER OF RECORD (FSER):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

Company Name (Printed):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Alabama Registration Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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FIRE ALARM ENGINEER OF RECORD (FAER):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

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**CITY OF AUBURN**

**INSPECTION SERVICES DEPARTMENT**

THIRD PARTY INSPECTORS OF RECORD

ELECTRICAL INSPECTOR OF RECORD (EIR):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

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FIRE PROTECTION INSPECTOR OF RECORD (FPIR):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

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FIRE PROTECTION SYSTEM INSPECTOR (FPSI):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

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GEOTECHNICAL INSPECTOR OF RECORD (GIR):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

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MECHANICAL INSPECTOR OF RECORD (MIR):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

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STRUCTURAL INSPECTOR OF RECORD (SIR):

Full Legal Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

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Officer’s Name (if different from Above): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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This Statement of Third-Party Inspections is submitted as a condition for permit issuance in accordance with the City of Auburn TPIP requirement. Third-Party Inspectors of Record shall keep records of inspections and testing. They shall furnish inspection and test reports to the City and to the Registered Design Professionals of Record, as appropriate. All discrepancies shall be brought to the attention of the contractor for correction. Documents for corrective work must be prepared, signed and sealed by the appropriate Registered Design Professional and must carry the City stamp of approval. Discrepancies must be corrected and re-inspected prior to advancing to the next stage of construction. If the discrepancies are not corrected within a reasonable period, the discrepancies shall be brought to the attention of the City Building Official and to the Registered Design Professionals of Record, as appropriate. Routine Inspection Reports shall be submitted periodically at a frequency agreed upon by the Owner and the City prior to the start of work (typically at the Pre-Construction Meeting). Test reports shall be submitted within ten (5) days of the completion of the test to the City. Any critical deficiencies must be reported immediately. A Final Report of Third-Party Inspections documenting completion of all required inspections and correction of documented discrepancies shall be submitted prior to the issuance of the Certificate of Occupancy

Third Party Inspector Representative:

Type or Print Name Date

Signature:

Reviewed by Design Professional of Record:

Type or Print Name Date

Signature:

Building Official's (or Representative’s) Acceptance:

Type or Print Name Date

Signature:

ATTACHMENT 2

GENERAL RESPONSIBILITIES

Principal Parties

The following are general responsibilities of the principal parties to the constructed project that are affected by Third-Party Inspections. This list is not intended to be all-inclusive. The Owner, the Building Official, or his designee may assign to the parties identified below and to others additional responsibilities. Those responsibilities will be explained and confirmed at the Pre-Construction Meeting.

### Owner (Owner’s Representatives):

1. Submits permit applications that include a complete statement of inspections.
2. Retains registered Professional Engineers and Architect of Record, who are duly registered in the State of Alabama.
3. Prepares estimated time schedules.
4. Notifies the City of the starting date of the project prior to the initiation of construction (72 hours advanced notification is required on all projects).
5. Oversees the design, construction, and permitting for the project.
6. Verifies full-time construction inspections and testing of all stages of construction as required.
7. Reviews site visits of all stages of construction by the inspection team and the Architect of Record to become familiar with the progress and quality of work completed and to determine, in writing, if the work is being performed in accordance with the approved plans and contract documents.

### Architect of Record (AR):

1. Reviews and approves, as appropriate, concrete mix designs.
2. Reviews and approves construction bracing designs, mortar and grout mix designs and other building element designs that affect the approved architectural construction documents for conformance with those documents.
3. Reviews construction observation and testing reports provided by the Geotechnical Engineer of Record and/or the Inspection and Testing Agency of Record that affects the City-approved architectural construction documents.
4. Notifies the COAIS, TPI’s and Owner of any architectural modifications and changes made to help assure that the structure meets the requirements of the City-approved construction plans, documents, all applicable City, State, and National Codes. The changes must be reviewed and approved by COAI prior to construction and or modifications.
5. Visits the site at intervals appropriate to the stage of construction or as otherwise agreed by the Owner and the Architect, in writing, to become clearly familiar with the progress and quality of the work completed. Also, determines, in general, if the work is being performed in a manner indicating that the work, when completed, will be in accordance with the contract documents.
6. Assures that all other agents are making necessary inspections, reviews inspection results, and monitors construction progress along with any corrections to code deficiencies.

### Design Engineers of Record:

(Includes: EER, FPER, FPSD, GER, MER, and SER.)

1. Prepares and submits design modifications/recommendations, specifications, and construction criteria including related design calculations to the City for review and approval.
2. Reviews all construction plans and specifications as approved by the City.
3. Reviews and approves shop drawings.
4. Submits required shop drawings to the City for approval.
5. Provides guidance and professional opinions in response to inspection reports that indicate that the construction does not meet the requirements of the City-approved construction documents.
6. Takes appropriate action if conditions differ from those anticipated in the design and notifies the COAIS, TPI’s and Owner.
7. Notifies the COAIS, TPI and Owner of modifications and changes made to help assure the structure meets the City-approved construction plans, documents and all applicable City, State, and National Codes.

### General Contractor (GC):

1. Obtains all required approval and permits for temporary facilities such as construction and storage trailer, cranes, power, signs, etc.
2. Keeps a copy of the City-approved construction documents and permits posted on the site at all times.
3. Provides the means, methods, and materials of construction.
4. Takes necessary action to assure a safe jobsite and fulfills OSHA and other job site safety responsibilities.
5. Submits construction documents to the City as identified at the Pre-Construction Meeting.
6. Maintains an inspection log on site, to be completed by the inspector when the inspection is done.
7. Maintains a complete set of inspection records and files on the job site.
8. Notifies and coordinates with subcontractors all provisions of this agreement.
9. Notifies the COAIS, TPI and appropriate Design Professionals of Record of construction schedules as identified at the Pre-Construction Meeting.

### Third-Party Inspectors of Record (TPIR):

(Includes: EIR, FPIR, FPSI, GIR, MIR, and SIR.)

1. Performs inspections at intervals appropriate to the stage of construction or as otherwise agreed by the Owner, design professional and City representative.
2. Documents, in writing, to demonstrate clear familiarity with the progress and quality of the work completed and to determine, in general, if the work is being performed in a manner conducive to completion in accordance with the City-Approved Plans.
3. Notifies Architect of Record, Owner, COAIS, TPI, and any other pertinent individuals of deviations from approved construction documents.
4. Submits a Final Report of Inspection to the COAIS referencing all Routine Inspection Reports issued upon completion of inspections and testing by the Third-Party Inspectors of Record (TPIR) and any Inspections and Testing Agency utilized. The Final Report of Inspection is submitted after the inspection specified has been completed for the project.
5. Submits a TPIP Certification Form to the COAIS, Owner, and others as designated by the Owner upon acceptance of the Final Report of Inspection. Refer to Attachment #3. The report must provide a professional opinion stating that, to the best of their knowledge, information, and belief, the work observed was constructed in accordance with the City-Approved Plans and all applicable City, State, and National Codes.
6. Submits any discipline specific, standard certification forms (NFPA, UL, FM, ASCE, etc.) with the TPIP Certification Form.
7. Completes Contractor’s inspection log upon completing inspection Testing Laboratory Engineer of Record if different from TPIR:
8. Performs construction materials testing services to meet Third-Party Inspections or all applicable City, State, and National Codes.
9. Completes Contractor’s inspection log upon the completion of testing Field Specific Responsibilities

## FIELD SPECIFIC RESPONSIBILITIES

### Soils and Foundations

The purpose of this section is to describe the TPIP responsibilities associated with soil- related conditions and/or foundation systems.

**NOTE TO ALL PROFESSIONALS:** SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

#### Geotechnical Engineer of Record (GER):

1. Prepares and issues a geotechnical report offering professional opinions of the subsurface conditions likely to affect the design and the proposed construction.
2. Prepares and issues, for review and approval by the City, foundations and/or foundation systems work that will be performed.
3. Prepares design criteria for foundations and/or foundations systems.
4. Reviews and approves architectural and/or structural components whose design is based on recommendations prepared by the GER.
5. Revises geotechnical recommendations if site soil or groundwater conditions differ materially from conditions indicated on the approved geotechnical report and coordinates changes with the design professionals of record responsible for the structural design of foundations, deep foundations, or other types of foundation systems.
6. Reviews all geotechnical reports prepared in conjunction with the site work or building construction and provides additional recommendations.
7. Takes appropriate action if subsurface conditions differ materially from those anticipated in the geotechnical report and notifies the COAIS, TPI’s and Owner.
8. Determines any special monitoring required for the property or adjacent neighborhood prior to the start of a phase of construction that may affect adjacent properties.

#### Geotechnical Inspector of Record (GIR):

1. Performs specified inspections to determine materials' quality and in-place density tests for compliance with the City-approved construction documents.
2. Gives notice to proceed to the COAIS, contractor and Owner that the foundation system is suitable for the erection of the superstructure. This written approval must be received prior to any superstructure construction.
3. Notifies COAIS immediately if the Contractor is proceeding against direction.
4. Performs specified inspections of foundations to determine their in-place load-bearing capacity:

**Piling:** Inspections shall include inspection of piles before, during, and after driving. Inspection reports shall contain an evaluation of the pile capacity based on driving resistance, and dynamic or static pile testing. Pile driving records shall be submitted to the City prior to placement of pile caps.

**Piers:** Inspections shall include concrete, steel reinforcement, orientation and shape of caissons, and bearing capacity at the base of the caisson. Inspection reports shall be submitted to the City prior to the placement of grade beams.

1. Verifies and inspects any special monitoring required by Geotechnical Engineer of Record (GER) for the property or adjacent neighborhood before and during construction that may affect adjacent properties.
2. Performs inspections of shallow footings and foundations systems, including shallow foundations, foundation walls, mats, slabs, etc. Inspections of cast-in-place concrete shall include formwork, monitoring the placement of concrete, concrete reinforcement, and the dimensions, shapes and locations of footings, slabs, post tensioned slabs and foundation walls
3. Performs inspections of subgrade prior to the construction of footings and slabs for compatibility of bearing materials and groundwater conditions with the geotechnical report.
4. Performs specified inspections of structural fill material prior to, during, and following its placement for compliance with approved structural fill specifications.
5. Perform inspections to determine those materials' quality and in-place density tests for compliance with the City-approved construction documents.
6. Submits a field compaction report for all classes of fill on the site to assure structural fills are constructed in accordance with the City-Approved Plans or documents.
7. Inspects and certifies that the soil bearing capacity meets or exceeds the capacity specified in the construction documents.
8. Submits foundation and foundation system inspection reports, laboratory reports, test data and foundation records to the Architect of Record for review, among others designated by the City and/or Owner.
9. Notifies the COAIS, and Owner of geotechnical modifications and changes made to help assure the structure meets the requirements of the City-approved construction documents and all applicable City, State, and National Codes

### Earth and Retension systems

The purpose of this section is to describe the TPIP responsibilities associated with earth retention systems.

**NOTE TO ALL PROFESSIONALS:** SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

#### Structural Engineer of Record (SER):

1. Reviews and approves concrete and mortar mix designs.
2. Reviews all concrete and mortar strength test reports and delivers only the 7, 14 and 28-day test results to the TPI’s , unless construction will proceed on less cured concrete. In which case the report showing adequate strength, covered by the engineers seal and criteria, shall be delivered to Inspection Services immediately.
3. Reviews and approves construction bracing designs, mortar and grout mix designs, and other building element designs that affect the approved structural construction documents for conformance with those documents.
4. Establishes criteria for removal and reshoring of formwork.
5. Reviews construction observation and testing reports provided by geotechnical professionals.
6. Reviews and approves earth retention system designs and recommendations prepared by other design professionals.
7. In addition to structural design, the construction documents shall include the following:
	1. Adjoining Properties - recommendations for protecting adjoining properties, including existing public and private streets.
	2. Slope Protection - specification of responsibility for protecting all slopes in accordance with general practice, throughout the course of the project.
	3. Dewatering - any requirements for dewatering of the excavation that are specified or assumed in the earth retention system design.
	4. Installation - system installation criteria, including allowable inward movement, pile installation and tieback criteria, and requirements for inspection and monitoring of the earth retention system construction and adjacent properties.

#### Structural Inspector of Record (SIR):

1. Performs subgrade condition inspections of earth retention systems including, but not limited to:
	1. Compaction - determines that materials' quality and in-place density tests comply with the City-approved construction documents and geotechnical report.
	2. Backfill, Drainage and Waterproofing – inspects backfill, foundation drainage systems and waterproofing during and following their placement for compliance with City-approved backfill, foundation drainage systems and waterproofing specifications.
	3. Obtains approval from the appropriate design professionals of record and City if inspection and testing results do not meet the requirements of the approved construction documents prior to continuing work in the affected area. When the earth retention system is to become a permanent part of the final structure, deviations shall also be subject to approval by the SER.

### Concrete (Pre-cast and Cast-in-place)

The purpose of this section is to describe the TPIP responsibilities associated with pre- cast and cast-in-place concrete.

**NOTE TO ALL PROFESSIONALS:** SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

THIRD-PARTY INSPECTIONS OF CONCRETE CONSTRUCTION

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Verification and Inspection | Continuous1 | Periodic2 | Reference Standard | IBCReference |
| 1. Inspection of reinforcing steel, including prestressing tendons and placement.
 |  | X | ACI 318: 3.5, 7.1-7.7 | 1903.5,1907.1,1907.7, 1914.4 |
| 1. Inspection of reinforcing steel welding in accordance with approved plans and documents.
 | X |  | AWS D1.4 ACI 318: 3.5.2 | 1903.5.2 |
| 1. Inspect bolts to be installed in concrete prior to and during placement of concrete where allowable loads have been increased.
 | X |  |  | 1912.5 |
| 1. Verify use of required design mix.
 |  | X | ACI 318: Ch. 4, 5.2-5.4 | 1904, 1905.2-1905.4,1914.2, 1914.3 |
| 1. Sampling fresh concrete and performing slump, air content, and determining the temperature of fresh concrete at the time of making specimens for strength test.
 | X |  | ASTM C 172ASTM C 31ACI 318: 5.6, 5.8 | 1905.6,1914.10 |
| 1. Inspection of concrete and shotcrete placement for proper application technique.
 | X |  | ACI 318: 5.9, 5.10 | 1905.9,1905.10,1914.6,1914.7, 1914.8 |
| 1. Inspection for maintenance of specified curing temperature and technique.
 |  | X | ACI 318: 5.11-5.13 | 1905.11,1905.13,1914.9 |
| 1. Inspection of prestressed concrete:
	1. Application of prestressing forces.
	2. Grouting of bonded prestressing tendons in the seismic-force- resisting system.
 | XX |  | ACI 318: 18.18ACI 318: 18.16.4 |  |
| 1. Erection of pre-cast concrete members.
 |  | X | ACI 318 Ch. 16 |  |
| 1. Verification of in-situ concrete strength, prior to stressing of tendons in post-tensioned concrete and prior to removal of shores and forms from beams and structural slabs.
 |  | X | ACI 318: 6.2 | 1906.2 |

1Continuous means inspections accomplished during the placement of the work

2 Periodic means an inspection accomplished prior to the placement of concrete.

### Pre-Cast Concrete

#### Architect of Record (AR) / Structural Engineer of Record (SER):

1. Reviews and approves pre-cast concrete and mix designs.

#### Structural Inspector of Record (SIR):

1. Verifies that a precast concrete fabricator that is fabricating elements off-site has a quality control program that meets the requirements of the Precast/Pre-stressed Concrete Institute (PCI) Plant Certification Program. Alternatively, the SIR may inspect the precast plant at appropriate intervals to verify that materials, methods, products, and quality control comply with project specifications, approved fabrication and erection documents and PCI MNL-116, "Manual for Quality Control for Plants and Production of Precast and Pre-stressed Concrete Products," and/or PCI MNL-117, "Manual for Quality Control for Plants and Production of Architectural Precast Products."
2. Verifies that concrete meets the requirements of approved concrete mix designs.
3. Verifies that the compressive strength of field-cured cylinders satisfies the requirements of the City -approved construction documents.
4. Provides construction observation and testing services as necessary to establish that pre- cast, attachment, connections, and field construction are in compliance with the City- approved construction documents.
5. Verifies that welders and weld inspections were performed in accordance with AWS D1.1, Chapter 5, Part C.
6. Provides specified inspections of welded connections for conformance with the City - approved construction documents and applicable sections of the AWS D1.1, Welding Code, SJI Specifications, and AISC.

### Cast-In-Place Concrete

#### General Contractor (GC):

1. Coordinates construction so that the building is capable of carrying structural loads.
2. Posts the updated concrete pour schedule on the door of the field office.

#### Structural Engineer of Record (SER):

1. Reviews and approves concrete mix designs.
2. Establishes criteria for removal and reshoring of formwork.

#### Structural Inspectors of Record (SIR):

1. Provides inspections of concrete formwork (erection and removal), reinforcing steel, post-tensioned tendons, stressed tendons, and placement of concrete as indicated below.
2. Provides materials testing for concrete properties and submits test results to the Structural Engineer of Record and the COAIS.
3. Prepares test cylinders in accordance with ASTM C172. Cylinders for strength tests shall be cast, stored, transported, and laboratory-cured in accordance with ASTM C31. Field- cured cylinders shall be cured as closely as possible to the location of placement of the concrete pour they represent, and be exposed as nearly as possible to the same temperature and moisture environment, in accordance with ACI 318 and ASTM C31. Testing of cylinders shall be in accordance with ASTM C39.
4. Determines when concrete strengths have achieved levels specified in the approved plans and specifications that will permit the removal of formwork and/or reshoring. The SIR shall submit a written statement indicating that the concrete strength and conditions meet or exceed project design specifications and design stripping criteria. The letter should be sent to the SER and City.

### Masonry

The purpose of this section is to describe the TPIP responsibilities associated with masonry building elements.

**NOTE TO ALL PROFESSIONALS:** SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

#### Architect of Record (AR)

1. Coordinates with Structural Engineer of Record the review and approval of construction bracing design, mortar and grout mix design and other masonry building element designs and erection specifications for conformance with approved architectural construction documents.

#### Structural Engineer of Record:

1. Reviews and approves construction bracing design, mortar and grout mix design and other masonry building element designs and erection specifications for conformance with approved, structural construction documents.

#### Structural Inspector of Record (SER)

1. Performs inspections of masonry and in accordance with ACI, ASCE, and TMS criteria.
2. Performs inspections of bracing and its removal.
3. Provides testing of materials.

MASONRY-INSPECTION LEVEL I

|  |  |  |
| --- | --- | --- |
| Inspection Task (Level 1) | Frequency of Inspection | Reference For Criteria |
| Continuous 1 | Periodically 2 | IBC | ACI 530/ASCE 5/TMS 402 | ACI 530.1/ASCE 6/TMS 602 |
| 1. As masonry construction begins, the following shall be verified to ensure compliance:* 1. Proportions of site prepared mortar.
	2. Construction of mortar joints.
	3. Location of reinforcement and connectors.
 |  | XXX |  |  | Art 2.6AArt 3.3BArt 3.4 |
| 2. The inspection program shall verify:1. Size and location of structural elements.
2. Type, size and location of anchors, including other details of anchorage of masonry to structural members, frames or other construction.
3. Specified size, grade, and type of reinforcement.
4. Welding of reinforcing bars.
5. Protection of masonry during cold weather (temperature below 40oF) or hot weather (temperature above 90oF).
 | X | XXXX | Sec. 2108.9.2.11,Item 2Sec. 2104.3, 2104.4 | Sec. 1.15.4, 2.1.2Sec. 1.12Sec. 8.5.7 andSec. 8.5.7.2 | 3.3GArt 2.4, 3.4Art 1.8 |
| 3. Prior to grouting, the following shall be verified to ensure compliance:1. Grout space is clean.
2. Placement of reinforcement and connectors.
3. Proportions of site-prepared grout.
4. Construction of mortar joints.
 |  | XXXX |  | Sec. 1.12 | Art 3.2DArt 3.4Art 2.6BArt 3.3B |
| 4. Grout placement shall be verified to ensure compliance with code and construction document provisions. | X |  |  |  | Art 3.5 |
| 5. Preparation of any required grout specimens, mortar specimens, and/or prisms shall be observed. | X |  | Sec. 2105.3, 2105.4,2105.5 |  | Art 1.4 |
| 6. Compliance with required inspection provisions of the construction documents and the approved submittals shall be verified. |  | X |  |  | Art 1.5 |

1 Continuous means inspections accomplished during the placement of the work

2 Periodic means an inspection accomplished prior to the placement of concrete.

MASONRY - INSPECTION LEVEL 2

**Engineered masonry in essential facilities** - The minimum special inspection program for masonry designed by Section 2106, 2107, 2108 (IBC), or by chapters other than Chapters 5, 6, or 7 of ACI 530/ASCE5/TMS 402, in essential facilities (see Tables 1604.5 and 1617.6 of IBC) shall comply with the following table:

|  |  |  |
| --- | --- | --- |
| Inspection Task (Level 2) | Frequency of Inspection | Reference For Criteria |
| Continuous 1 | Periodically 2 | IBC | ACI 530/ ASCE 5/ TMS 402 | ACI 530.1/ ASCE 6/ TMS 602 |
| 1. From the beginning of masonry construction, the following shall be verified to ensure compliance:
2. Proportions of site-mixed mortar and grout.
3. Placement of masonry units and construction of mortar joints.
4. Placement of reinforcement and connectors.
5. Grout space prior to grouting.
6. Placement of grout.
 | XX | XXX |  | Ch. 8 | Art 2.6A Art 3.3BArt 3.4 Art 3.2DArt 3.5 |
| 2. The inspection program shall verify:1. Size and location of structural elements.
2. Type, size, and location of anchors, including other details of anchorage of masonry to structural members, frames, or other construction.
3. Specified size, grade, and type of reinforcement.
4. Welding of reinforcing bars.
5. Protection of masonry during cold weather (temperature below 40oF) or hot weather (temperature above 90oF).
 | XX | XXX | Sec. 2108.9.2.11,Item 2Sec. 2104.3,2104.4 | Sec. 1.15.4, 2.1.2Sec. 1.12Sec. 8.5.7 andSec. 8.5.7.2 | 3.3GArt 2.4, 3.4Art 1.8 |
| 3. Preparation of any required grout specimens, mortar specimens, and/or prisms shall be observed. | X |  | 2105.3, 2105.4,2105.5 |  | Art 1.4 |
| 4. Preparation of any required grout specimens, mortar specimens and/or prisms shall be observed. |  | X |  |  | Art 1.5 |

1Continuous means inspections accomplished during the placement of the work.

2Periodic means an inspection accomplished prior to the placement of concrete.

### Wood

The purpose of this section is to describe the TPIP responsibilities when construction includes wood building elements.

**NOTE TO ALL PROFESSIONALS:** SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

#### Structural Inspector of Record (SIR):

1. Performs inspections of wood elements for conformance with the requirements of the City approved construction documents.
2. Inspects prefabricated structural elements during erection.
3. Verifies the quality of all mechanical connections for conformance with the construction document and manufacturer’s specifications.
4. Upon completion of wood construction, including connections the SIR submits a completion report to the SER and the City Building Official.

### Structural Steel

The purpose of this section is to describe the TPIP responsibilities associated with the fabrication and erection of structural steel elements.

**NOTE TO ALL PROFESSIONALS:** SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

#### Structural Engineer of Record (SER):

1. Verifies and approves structural members and connections designed by the steel fabricator.

#### Structural Inspector of Record (SIR):

1. Provides inspections of structural members and assemblies performed at the fabricator's shop. Special inspections are not needed if the fabricator does not perform any welding, thermal cutting or heating operation as part of the fabrication.
2. Verifies that the fabricator complies with AISC Quality Certification Program or equivalent.
3. Provides inspections of structural elements, connections, welding materials, and high- strength bolts as indicated on the following table. High strength bolts and nuts shall be clearly marked with an identifiable manufacturer's mark on both the bolt head and nut. Shipments of high-strength bolts, nuts and washers, whether from manufacturer, distributor, or reseller, shall include manufacturer's current test reports for chemical composition (ASTM A751) and mechanical properties, including proof load testing (ASTM F606).
4. Verifies that fabricated components meet the SER’s approved designs.
5. Notifies the SER and City if inspection and testing indicate that construction does not meet the requirements of the City-approved construction documents.

### Inspections for Steel Materials

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Verification and Inspection | Continuous1 | Periodic2 | Reference Standard | IBCReference |
| 1. Material verification of high-strength bolts, nuts, and washers:
	1. Identification markings to conform to ASTM standards specified in the approved construction documents.
	2. Manufacturer’s certificate of compliance required.
 |  | X | Applicable ASTM material specifications; AISC ASD, Section A3.4, AISC LRFD,Section A 3.3 |  |
| 1. Inspection of high-strength bolting:
	1. Bearing-type connections.
	2. Slip-critical connections.
 | X | XX | AISC LRFD Section M2.5 | 1704.3.3 |
| 1. Material verification of structural steel:
	1. Identification markings to conform to ASTM standards specified in the approved construction documents.
	2. Manufacturers’ certified mill test reports required.
 | XX |  | ASTM A6 or ASTM A568ASTM A6 or ASTM A568 | 1708.4 |
| 1. Material verification of weld filler materials:
	1. Identification markings to conform to AWS specification in the approved construction documents.
	2. Manufacturer’s certificate of compliance required.
 | XXX |  | AISC, ASD, Section A3.6;AISC LRFD Section A3.5 |  |
| 1. Inspection of welding:
	1. Structural steel:
		1. Complete and partial penetration groove welds
		2. Multi-pass fillet welds
		3. Single-pass fillet welds>5/16” (7.9mm)
		4. Single-pass fillet welds<5/16” (7.9mm)
		5. Floor and deck welds
	2. Reinforcing steel:
		1. Verification of weldability of reinforcing steel other than ASTM A706.
		2. Reinforcing steel-resisting flexural and axial forces in intermediate and special moment frames, and boundary elements of special reinforced concrete shear walls, and shear reinforcement.
		3. Shear reinforcement.
		4. Other reinforcing steel.
 | XXXXX | XXXX | AWS D1.1AWS D1.3AWS D1.4ACI 318.3.5.2 | 1704.3.11903.5.2 |
| 1. Inspection of steel frame joint details for compliance with approved construction documents:
	1. Details such as bracing and stiffening.
	2. Member locations.
	3. Application of joint details at each connection.
 |  | X |  | 1404.3.2 |

1Continuous means inspections accomplished during the placement of the work.

2Periodic means an inspection accomplished prior to the placement of concrete.

### Fire Protection

The purpose of this section is to describe the TPIP responsibilities associated with fire protection.

**NOTE TO ALL PROFESSIONALS:** SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

#### Fire Protection Inspector of Record (FPIR):

1. Performs inspections and meets qualifications as specified on next page.
2. Provides inspection of spray-on fireproofing.
3. Assures compliance with the City-approved construction documents, all applicable City, State, and National Codes.
4. Submits reports of Fire Protection inspections to the Architect of Record, Owner, and Fire Code Official of COAIS.
5. Submits a certification to the COAIS, Architect of Record and Owner, stating that the structure is ready for close-in based on the inspections performed and construction observed.
6. Routinely monitors construction project for fire safety hazards during construction.
7. Assures compliance with type of construction, fire ratings of components (doors, walls, floors, roofs, etc.), height and area, egress, special occupancy provisions of plans.

#### Fire Protection Systems Inspector of Record (FPSI):

1. Meets the qualification requirements as specified on the next page.
2. Performs inspections and testing of fire protection systems such as fire pumps, fire hydrants, fire standpipes, smoke control systems, emergency power systems, alarm systems, sprinkler systems, and smoke evacuation systems. Submits test results and inspection reports to the COAIS for approval.

MINIMUM QUALIFICATIONS

**FOR FIRE INSPECTIONS & CERTIFICATION**

|  |  |  |  |
| --- | --- | --- | --- |
| Inspection Tasks | Registered Professional Engineer | NICET Level III | Other Specialized Qualifications under Professional Supervision (SEE NOTE #1) |
| General Fire Inspections |  |  |  |
| Construction type | X |  | X,3 |
| Egress | X |  | X, 3 |
| Interior finish | X |  | X, 3 |
| Emergency lighting | X |  | X, 3 |
| Fireproofing | X |  | X, 3 |
| Firestopping | X |  | X, 3 |
| Firewalls | X |  | X, 3 |
| Patrons | X |  | X, 3 |
| Rated floors/ceilings | X |  | X, 3 |
| Miscellaneous, other | X |  | X, 3 |
|  |  |  |  |
| *Fire Protection Systems & Performance Testing* |  |  |  |
| Fire Pumps | X | X | X,5 |
| Automatic Supp. Systems  | X | X | X,3 |
| Standpipe Systems | X | X | X,2 |
| Fire Alarm Systems  | X | X |  |
| Smoke Control | X |  | X,2 |
| Systems Underground Piping | X | X | X,5 |
| Detection Systems | X | X |  |
| Emergency Responder Radio System |  |  |  |

X = Inspections and Certifications (I &C) are permitted by individuals having these qualifications.

X, N = I&C Permitted if individual has N years related verifiable experience in inspection and installation. Registered Professional Engineer = Alabama Registered Professional Engineer, having Fire Protection knowledge and experience.

Note 1: Final approval and acceptance of all qualifications shall be subject to the Fire Code Official approval.

Note 2: Individual resumes of experience and education may be submitted to the Fire Code Official for possible consideration in lieu of the above minimum qualifications. Verifiable experience and specialized training in fire protection inspection, design, and installation practices is required.

Note 3: The State of Alabama requires that all Fire Sprinkler Contractors be licensed by the State Fire Marshal.

### Electrical Systems

The purpose of this section is to describe the TPIP responsibilities associated with electrical systems.

**NOTE TO ALL PROFESSIONALS:** SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

#### Participating Providers

Third-Party Electrical Inspector of Record (EIR) Approved Third-Party Inspection Agency (ATPIA)

#### Participating Provider Requirements:

1. Obtains an active or inactive State of Alabama Master Electricians license.
2. The EIR or ATPIA is required to present an established inspection procedure or program reviewed and approved by the COAIS.
3. EIR or ATPIA is required to maintain an adequate amount of liability insurance approved by the City.
4. EIR or ATPIA shall have inspection stickers and correction orders in a standard format approved by the COAIS.
5. EER and ATPIA of Record cannot act in the function of design engineer or professional engineer and perform as an inspection agency. It is assumed that the EER will field verify the installation of their designed or specified documents. However, this verification is not part of the TPIP process.

#### Electrical Inspector/Inspection Agency of Record (EIR/ATPIA) Responsibilities:

1. Specify and perform inspections necessary during the installation of electrical systems to ensure that the systems are installed in accordance with the City-approved electrical construction documents and electrical permits issued by City of Auburn
2. Submit electrical inspection reports to COAIS and the Owner within five (5) working days. Each report shall include the building permit number, building address and the electrical permit number. Correction orders and deficiencies shall be included with each report. All reports shall bear the signature of the EIR or ATPIA providing the report.
3. Verify that individuals installing and erecting or repairing electrical work, including low voltage and communication systems, are in compliance with the license requirements of the City of Auburn and the Code of Alabama.
4. Refer all code-related issues and interpretations to the Electrical Inspector.
5. Verify that the service is installed in accordance with the approved plans and is Code compliant for the electric utility to make a connection. The EIR shall submit a report to the COAIS, which will initiate a request for an inspection by the COAIS commercial electrical inspector. Once the City has approved the installation, the City Inspector will generate a notification to the electrical utility recorded on the City electrical permit.
6. Verify that all portable and temporary sources of electrical energy are permitted and are being operated in a safe and Code compliant manner.
7. Verifies that an electrical permit has been obtained for all electrical work on the premise.
8. Provides an electrical system certification to the COAIS, AR, and the Owner, to close in that the electrical systems have been inspected and are ready for the structure or part of the structure to be closed-in.
9. Provides an electrical system certification to the COAIS, AR, and the Owner that specified electrical inspections have been performed and the structure is ready for the Power Company to make the service hot.

### Mechanical Systems

The purpose of this section is to describe the TPIP responsibilities associated with mechanical systems.

**NOTE TO ALL PROFESSIONALS**: SEE GENERAL RESPONSIBILITIES SECTION IN THIS ATTACHMENT.

#### Mechanical Inspector of Record (MIR):

1. Performs inspections necessary during the installation of mechanical systems to assure that the systems are installed in accordance with the City-approved mechanical construction documents, the City Mechanical, Plumbing and Fuel Gas Code, other applicable City, State, and National Codes
2. Submits inspection reports, as well as certification indicating that the mechanical systems are ready for the closing-in of the structure, to the COAIS.
3. Performs a final inspection of the system to assure that all components operate individually and as a system to meet the intent of the Code.

ATTACHMENT 3

CITY OF AUBURN THIRD-PARTY INSPECTION PROGRAM CERTIFICATION FORM

####

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To: Building Official

Fire Code Official

From:

Address:

Building Case Number:

This transmittal is to advise and certify that the following actions are in accordance with the provisions contained within the City of Auburn Inspections Services Department, Third-Party Inspection Program (TPIP) and associated Third-Party Inspection Agreement for the above referenced project, as follows:

**By the Structural Inspector of Record and/or Architect of Record**

* Structural/Architectural Certification that the construction project is built according to approved plans and documents as required by the all applicable City, State, and National Codes.
* All structural shop drawings were reviewed and found compliant with the design intent and approved by the City
* Building and Site Accessibility Certification that the construction project is in compliance with the Accessibility Code and accessibility requirements of the all applicable City, State, and National Codes.

**By the Geotechnical Inspector of Record**

The following were found to be adequate, in compliance with the City-approved plans, and accepted engineering practice:

* Compaction of soils
* Soil bearing capacity
* Foundation construction
* Field modifications as approved by the City

**By the Mechanical System(s) Inspector of Record**

* Installation of the mechanical system(s) in accordance with the approved plan(s) and documents and all applicable City, State, and National Codes.
* Certification as to the mechanical system(s) readiness for closing of the structure before closing begins
* Completion of the mechanical system(s) and all testing done in accordance with the approved plan(s) and document(s) and requirements of the all applicable City, State, and National Codes.

**By the Superstructure Inspection and Testing Service**

* Construction of the superstructure has been completed in accordance with the approved plans, documents, and requirements of all applicable City, State, and National Codes.
* Completion of the superstructure allows for trade work

**By the Fire Protection Inspector of Record, or other party responsible for Fire Protection System(s) Inspection, Testing, and General Fire Protection Inspection(s)**

* Construction project is completed according to the fire safety aspects of the construction plan(s) and document(s), the fire safety aspects of all applicable City, State, and National Codes. (including, but not limited to, the inspectional tasks shown on Attachment #2, Fire Protection)
* Structural members receiving fire protection have been completed in accordance with their listing and that successful testing of those members has been completed in accordance with the listing of all applicable City, State, and National Codes.
* Construction project is ready to be closed-in
* Certification as to the fire protection system(s) readiness for the closing of the structure before the closing begins, specifically including the following items as indicated:
	+ automatic fire suppression system(s) Case #
	+ fire pump(s) ­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
	+ fire alarm system(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
	+ smoke control system(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
	+ detection system(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
	+ underground piping \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
	+ standpipe system(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
	+ emergency responder radio \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
	+ other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Test** **reporting** **required** **for** **valid** **certification**

* Completion and successful performance testing of the fire protection system(s) in accordance with approved plan(s) and document(s) and requirements of all applicable City, State, and National Codes, specifically including the following items indicated below:
	+ automatic fire suppression system(s) Case #
	+ fire pump(s)
	+ fire alarm system(s)
	+ smoke control system(s)
	+ detection system(s)
	+ underground piping
	+ standpipe system(s)
	+ other

**By the Electrical System(s) Inspector of Record**

* Construction project is built according to the construction document(s) and electrical permit(s) issued by City of Auburn and all applicable City, State, and National Codes.
* Certification as to the electrical systems readiness for the closing of the structure before the closing begins
* Completion of the electrical system(s) in accordance with the approved plan(s) and document(s) and requirements of the City of Auburn Building Code, that the electrical system(s) is ready for the power company to make the service “hot,” and all work has been performed under an electrical permit
* Electrical system(s)/installation(s) has valid permit(s)

The above-indicated certification(s) is/are made to the best of my knowledge and opinion that all construction has been completed in accordance with the requirements of applicable approved plan(s) and requirements of all applicable City, State, and National Codes.

Certified By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *affix signature & seal*

Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

AL Reg. No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Company Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of agents/technicians acting on behalf of above: