

GENERAL REQUIREMENTS for CONSTRUCTION

SECTION 014000 - QUALITY AND CODE REQUIREMENTS

PART 1 - GENERAL

1.1 RELATED DOCUMENTS

- A. The Contract Documents, including but not limited to, the Drawings and Individual Specification Sections and New York State (NYS) [or New York City (NYC)] Statement of Special Inspections and Tests, apply to this Section.

1.2 SUMMARY

- A. Section includes administrative and procedural requirements for quality assurance and quality control.
- B. Testing and inspecting services are required to verify compliance with requirements specified or indicated. These services do not relieve the Contractor of responsibility for compliance with the Contract Document requirements.
 - 1. Specific quality assurance and quality control requirements for individual construction activities are specified in the Sections that specify those activities. Requirements in those Sections may also cover production of standard products.
 - 2. Specified tests, inspections, and related actions do not limit the Contractor's other quality assurance and quality control procedures that facilitate compliance with the Contract Document requirements.
 - 3. Requirements for the Contractor to provide quality assurance and quality control services required by the Owner or authorities having jurisdiction are not limited by provisions of this Section.
- C. Related Sections:
 - 1. Section 012100 - Allowances, for testing and inspecting allowances.
 - 2. Section 013200 - Construction Progress Documentation, for developing a schedule of required tests and inspections.
 - 3. Individual Specification Sections, for specific inspections and tests requirements.

1.3 DEFINITIONS

- A. Quality Assurance Services: Activities, actions, and procedures performed during execution of the Work to guard against defects and deficiencies and substantiate that proposed construction will comply with requirements.
- B. Quality Control Services: Tests, inspections, procedures, and related actions during and after execution of the Work to evaluate that actual products incorporated into the Work and completed construction comply with requirements.

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- C. Mockups: Full size physical assemblies that are constructed on-site. Mockups are constructed to verify selections made under sample submittals; to demonstrate aesthetic effects and, where indicated, qualities of materials and execution; to review coordination, testing, or operation; to show interface between dissimilar materials; and to demonstrate compliance with specified installation tolerances. Mockups are not Samples. Approved mockups establish the standard by which the Work will be judged.
- D. Product Testing: Tests and inspections that are performed by a testing agency qualified to conduct product testing and acceptable to authorities having jurisdiction, to establish product performance and compliance with specified requirements.
- E. Field Quality Control Testing: Tests and inspections that are performed on-site for installation of the Work and for completed Work.
- F. Testing Agency: An entity engaged to perform specific tests, inspections, or both. Testing laboratory shall mean the same as testing agency.
- G. Installer/Applicator/Erector: The Contractor or another entity engaged by the Contractor as an employee, Subcontractor, or Sub-subcontractor, to perform a particular construction operation, including installation, erection, application, and similar operations.
- H. Experienced: When used with an entity or individual, "experienced" means having successfully completed a minimum of five previous projects similar in nature, size, and extent to this Project; being familiar with special requirements indicated; and having complied with requirements of authorities having jurisdiction.

1.4 ACTION SUBMITTALS

- A. Shop Drawings: For mockups, provide plans, sections, and elevations, indicating materials and size of mockup construction.
 - 1. Indicate manufacturer and model number of individual components.
 - 2. Provide axonometric drawings for conditions difficult to illustrate in two dimensions.

1.5 INFORMATIONAL SUBMITTALS

- A. Contractor's Quality Control Plan: For quality assurance and quality control activities and responsibilities.
- B. Contractor's Quality Control Manager Qualifications: For supervisory personnel.
- C. Testing Agency Qualifications: For testing agencies specified in "Quality Assurance" Article to demonstrate their capabilities and experience. Include proof of qualifications in the form of a recent report on the inspection of the testing agency by a recognized authority.
- D. Schedule of Tests and Inspections: Prepare in tabular form and include the following:
 - 1. Specification Section number and title.
 - 2. Entity responsible for performing tests and inspections.
 - 3. Description of test and inspection.

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4. Identification of applicable standards.
5. Identification of test and inspection methods.
6. Number of tests and inspections required.
7. Time schedule or time span for tests and inspections.
8. Requirements for obtaining samples.
9. Unique characteristics of each quality control service.

1.6 CONTRACTOR'S QUALITY CONTROL PLAN

- A. Quality Control Plan, General: Submit quality control plan within 10 days of Notice to Proceed, and not less than five days prior to preconstruction conference. Submit in format acceptable to the Owner. Identify personnel, procedures, controls, instructions, tests, records, and forms to be used to carry out Contractor's quality assurance and quality control responsibilities. Coordinate with Contractor's construction schedule.
- B. Quality Control Personnel Qualifications: Engage qualified full-time personnel trained and experienced in managing and executing quality assurance and quality control procedures similar in nature and extent to those required for Project.
 1. Project quality control manager may also serve as Project superintendent.
- C. Submittal Procedure: Describe procedures for ensuring compliance with requirements through review and management of submittal process. Indicate qualifications of personnel responsible for submittal review.
- D. Testing and Inspection: Include in quality control plan a comprehensive schedule of the Work requiring tests or inspections, including the following:
 1. The Contractor-performed tests and inspections including subcontractor-performed tests and inspections. Include required tests and inspections and the Contractor-elected tests and inspections.
 2. Special inspections required by authorities having jurisdiction and indicated on the "NYS or NYC Statement of Special Inspections and Tests."
- E. Continuous Inspection of Workmanship: Describe process for continuous inspection during construction to identify and correct deficiencies in workmanship in addition to testing and inspection specified. Indicate types of corrective actions to be required to bring work into compliance with standards of workmanship established by Contract requirements and approved mockups.
- F. Monitoring and Documentation: Maintain testing and inspection reports including log of approved and rejected results. Include work the Owner has indicated as nonconforming or defective. Indicate corrective actions taken to bring nonconforming work into compliance with requirements. Comply with requirements of authorities having jurisdiction.

1.7 REPORTS AND DOCUMENTS

- A. Test and Inspection Reports: Prepare and submit certified written reports specified in other Sections. Include the following:

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1. Date of issue.
2. Project title and number.
3. Name, address, and telephone number of testing agency.
4. Dates and locations of samples and tests or inspections.
5. Names of individuals making tests and inspections.
6. Description of the Work and test and inspection method.
7. Identification of product and Specification Section.
8. Complete test or inspection data.
9. Test and inspection results and an interpretation of test results.
10. Record of temperature and weather conditions at time of sample taking and testing and inspecting.
11. Comments or professional opinion on whether tested or inspected Work complies with the Contract Document requirements.
12. Name and signature of laboratory inspector.
13. Recommendations on retesting and reinspecting.

B. **Manufacturer's Technical Representative's Field Reports:** Prepare written information documenting manufacturer's technical representative's tests and inspections specified in other Sections. Include the following:

1. Name, address, and telephone number of technical representative making report.
2. Statement on condition of substrates and their acceptability for installation of product.
3. Statement that products at Project site comply with requirements.
4. Summary of installation procedures being followed, whether they comply with requirements and, if not, what corrective action was taken.
5. Results of operational and other tests and a statement of whether observed performance complies with requirements.
6. Statement whether conditions, products, and installation will affect warranty.
7. Other required items indicated in individual Specification Sections.

C. **Factory-Authorized Service Representative's Reports:** Prepare written information documenting manufacturer's factory-authorized service representative's tests and inspections specified in other Sections. Include the following:

1. Name, address, and telephone number of factory-authorized service representative making report.
2. Statement that equipment complies with requirements.
3. Results of operational and other tests and a statement of whether observed performance complies with requirements.
4. Statement whether conditions, products, and installation will affect warranty.
5. Other required items indicated in individual Specification Sections.

1.8 PERMITS, LICENSES, AND CERTIFICATES:

A. The Contractor shall obtain, maintain and pay for all applications, permits, filings, and licenses necessary for the execution of the Work and for the use of such Work when completed as required by any and all authorities having jurisdiction. The Contractor shall comply with and give notices required by laws, ordinances, rules, regulations and lawful orders of authorities having jurisdiction bearing on performance of the Work.

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- B. The Contractor shall promptly assist the Owner in securing all approvals from authorities having jurisdiction. Without limitation, the Contractor shall assist the Owner in making application for Project approval, variances or other approvals, Letters of Completion, Temporary Certificates of Occupancy, and Certificates of Occupancy, including completion of all necessary applications and supporting documentation.
- C. The Contractor shall comply with all regulations governing conduct, access to the premises, operation of equipment and systems and conduct while in or near the premises and shall perform the Work in such a manner as not to unreasonably interrupt or interfere with the conduct of business of the Institution.
- D. For the Owner's records, submit copies of permits, licenses, certifications, inspection reports, material certificates/affidavits, approvals, releases, jurisdictional settlements, notices, receipts for fee payments, judgments, correspondence, records, and similar documents, established for compliance with standards and regulations bearing on performance of the Work.
- E. Dormitory Authority Permits: Prior to commencement of the Work, the Dormitory Authority shall provide the Contractor, at no costs, a Construction Permit for performance of the Work and post a copy at the Project site.
 - 1. The Contractor shall secure and pay for all other work permits, applications, filings, and approvals that are associated with the Work of the Contract and pay all other permits, fees, licenses and inspections necessary for the proper execution and completion of the Contract as required by all other applicable authorities having jurisdiction.
 - 2. Each Electrical Contractor shall, at no additional costs to the Owner, provide for inspection of all electrical Work of the Contract and provide a certificate of compliance from an independent electrical inspection agency acceptable to the Owner.
- F. New York City Permits: The Contractor shall secure and pay for all work permits, applications, filings, and approvals that are associated with the Work of the Contract and pay all other permits, fees, licenses and inspections necessary for the proper execution and completion of the Contract as required by applicable New York City agencies and departments (i.e. Department of Buildings, Bureau of Electrical Control, Fire Department, Department of Environmental Protection, etc.).
 - 1. The Contractor shall secure required work permits and approvals prior to commencement of the Work, provide a copy to the Owner and post a copy of the permit at the Project site.
 - 2. The Contractor shall be responsible to maintain updated work permits and approvals.
 - 3. Upon Substantial Completion of the Work of the Contract, the Contractor shall secure all required approvals from applicable New York City agencies and departments. The Contractor shall provide a copy to the Owner.
- G. Municipal Permits: The Contractor shall secure and pay for a building permit and all work permits, applications, filings, and approvals that are associated with the Work of the Contract and pay all other permits, fees, licenses and inspections necessary for the proper execution and completion of the Contract as required by applicable authorities having jurisdiction.
 - 1. The Contractor shall secure required building permit or work permits and approvals prior to commencement of the Work, provide a copy to the Owner and post a copy of the permit at the Project site.

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2. The Contractor shall be responsible to maintain updated permits and approvals.
3. Upon Substantial Completion of the Work of the Contract, the Contractor shall secure all required approvals from applicable authorities having jurisdiction. The Contractor shall provide a copy to the Owner. |

1.9 QUALITY ASSURANCE

- A. General: Qualifications paragraphs in this article establish the minimum qualification levels required; individual Specification Sections specify additional requirements.
- B. Manufacturer Qualifications: A firm experienced in manufacturing products or systems similar to those indicated for this Project and with a record of successful in-service performance, as well as sufficient production capacity to produce required units.
- C. Fabricator Qualifications: A firm experienced in producing products similar to those indicated for this Project and with a record of successful in-service performance, as well as sufficient production capacity to produce required units.
- D. Installer Qualifications: A firm or individual experienced in installing, erecting, or assembling work similar in material, design, and extent to that indicated for this Project, whose work has resulted in construction with a record of successful in-service performance.
- E. Specialists: Certain Specification Sections require that specific construction activities shall be performed by entities who are recognized experts in those operations. Specialists shall satisfy qualification requirements indicated and shall be engaged for the activities indicated.
- F. Testing Agency Qualifications: An independent agency with the experience and capability to conduct testing and inspecting indicated, as documented according to ASTM E 329, and with additional qualifications specified in individual Sections; and where required by authorities having jurisdiction, that is acceptable to authorities.
- G. Manufacturer's Technical Representative Qualifications: An authorized representative of manufacturer who is trained and approved by manufacturer to observe and inspect installation of manufacturer's products that are similar in material, design, and extent to those indicated for this Project.
- H. Factory-Authorized Service Representative Qualifications: An authorized representative of manufacturer who is trained and approved by manufacturer to inspect installation of manufacturer's products that are similar in material, design, and extent to those indicated for this Project.
- I. Mockups: Before installing portions of the Work requiring mockups, build mockups for each form of construction and finish required to comply with the following requirements, using materials indicated for the completed Work:
 1. Build mockups in location and of size indicated or, if not indicated, as directed by the Owner.
 2. Notify the Owner seven days in advance of dates and times when mockups will be constructed.

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3. Employ supervisory personnel who will oversee mockup construction. Employ workers that will be employed during the construction at the Project.
4. Demonstrate the proposed range of aesthetic effects and workmanship.
5. Obtain the Owner's approval of mockups before starting work, fabrication, or construction.
 - a. Allow seven days for initial review and each re-review of each mockup.
6. Maintain mockups during construction in an undisturbed condition as a standard for judging the completed Work.
7. Demolish and remove mockups when directed by the Owner.

1.10 QUALITY CONTROL

- A. Owner Responsibilities: Where quality control services are indicated as the Owner's responsibility, the Owner will engage a qualified testing agency to perform these services.
 1. The Owner will furnish the Contractor with names, addresses, and telephone numbers of testing agencies engaged and a description of types of testing and inspecting they are engaged to perform.
- B. Contractor Responsibilities: Tests and inspections not explicitly assigned to the Owner are the Contractor's responsibility. Perform additional quality control activities required to verify that the Work complies with requirements, whether specified or not.
 1. Unless otherwise indicated, provide quality control services specified and those required by authorities having jurisdiction. Perform quality control services required of the Contractor by authorities having jurisdiction, whether specified or not.
 2. Where services are indicated as the Contractor's responsibility, engage a qualified testing agency to perform these quality control services.
 - a. Contractor shall not employ same entity engaged by the Owner, unless agreed to in writing by the Owner.
 3. Notify testing agencies at least 24 hours in advance of time (excluding weekends and holidays) when Work that requires testing or inspecting will be performed.
 4. Where quality control services are indicated as the Contractor's responsibility, submit a written report, in duplicate, of each quality control service.
 5. Testing and inspecting requested by the Contractor and not required by the Contract Documents are the Contractor's responsibility.
 6. Submit additional copies of each written report directly to authorities having jurisdiction, when they so direct.
- C. Manufacturer's Field Services: Where indicated, engage a factory-authorized service representative to inspect field-assembled components and equipment installation, including service connections. Report results in writing as specified in Section 013300 - Submittal Procedures.
- D. Manufacturer's Technical Services: Where indicated, engage a manufacturer's technical representative to observe and inspect the Work. Manufacturer's technical representative's

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services include participation in preinstallation conferences, examination of substrates and conditions, verification of materials, observation of Installer activities, inspection of completed portions of the Work, and submittal of written reports.

E. Retesting/Reinspecting:

1. Regardless of whether original tests or inspections were the Contractor's responsibility, provide quality control services, including retesting and reinspecting, for construction that replaced Work that failed to comply with the Contract Documents.
2. Costs for retesting and reinspecting construction that replaces or is necessitated by work that failed to comply with the Contract Documents, or costs attributable to the Contractor's lack of coordination in properly scheduling the Work requiring testing and inspection will be charged to Contractor and the Contract Sum will be adjusted by Change Order.

F. Testing Agency Responsibilities: Cooperate with the Owner and Contractor in performance of duties. Provide qualified personnel to perform required tests and inspections.

1. Notify the Owner and Contractor promptly of irregularities or deficiencies observed in the Work during performance of its services.
2. Determine the location from which test samples will be taken and in which in-situ tests are conducted.
3. Conduct and interpret tests and inspections and state in each report whether tested and inspected work complies with or deviates from requirements.
4. Submit a written report, in duplicate, of each test, inspection, and similar quality control service through Contractor.
5. Does not release, revoke, alter, or increase the Contract Document requirements or approve or accept any portion of the Work.
6. Do not perform any duties of the Contractor.

G. Associated Services: The Contractor shall cooperate with agencies performing required tests, inspections, and similar quality control services, and provide reasonable auxiliary services as requested. Notify agency sufficiently in advance of operations to permit assignment of personnel. The Contractor shall provide the following:

1. Access to the Work, including equipment required to access the Work.
2. Incidental labor and facilities necessary to facilitate tests and inspections.
3. Adequate quantities of representative samples of materials that require testing and inspecting. Assist agency in obtaining samples.
4. Facilities for storage and field curing of test samples.
5. Delivery of samples to testing agencies.
6. Preliminary design mix proposed for use for material mixes that require control by testing agency.
7. Security and protection for samples and for testing and inspecting equipment at Project site.

H. Coordination: Coordinate sequence of activities to accommodate required quality assurance and quality control services with a minimum of delay and to avoid necessity of removing and replacing construction to accommodate testing and inspecting.

1. Schedule times for tests, inspections, obtaining samples, and similar activities.

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- I. Schedule of Tests and Inspections: Prepare a schedule of tests, inspections, and similar quality control services required by the Contract Documents. Coordinate and submit concurrently with Contractor's construction schedule. Update as the Work progresses.
 1. Distribution: Distribute schedule to the Owner, testing agencies, and each party involved in performance of portions of the Work where tests and inspections are required.

1.11 NYS [or NYC] SPECIAL INSPECTIONS AND TESTS

- A. Special Inspections and Tests: The Owner will engage a qualified testing agency to conduct special inspections and tests required by authorities having jurisdiction as the responsibility of the Owner, as indicated in the NYS [or NYC] Statement of Special Inspections and Tests, attached to this Section, and as follows:
 1. Notifying Contractor promptly of irregularities and deficiencies observed in the Work during performance of its services.
 2. Submitting a written report of each test, inspection, and similar quality control service to the Owner with copy to the Contractor and to authorities having jurisdiction. Frequency of reporting shall be determined in consultation with the Owner.
 3. Submitting a final report of special tests and inspections at Substantial Completion, this includes a list of unresolved deficiencies.
 4. Interpreting tests and inspections and stating in each report whether tested and inspected work complies with or deviates from the Contract Documents or code requirements.
 5. Retesting and reinspecting corrected work.
- B. Testing and inspecting services are required to verify compliance with requirements specified or indicated. These services do not relieve a Contractor of responsibility for compliance with the Contract Document requirements.
 1. Specified tests, inspections, and related actions do not limit Contractor's quality control procedures that facilitate compliance with the Contract Document requirements.
 2. Inspections and tests performed by the testing agency shall in no way relieve the Contractor of the responsibility to construct in accordance with the Contract Documents.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION

3.1 TEST AND INSPECTION LOG

- A. Prepare a record of tests and inspections. Include the following:
 1. Date test or inspection was conducted.
 2. Description of the Work tested or inspected.
 3. Date test or inspection results were transmitted to the Design Professional.
 4. Identification of testing agency or special inspector conducting test or inspection.

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- B. Maintain log at Project site. Post changes and modifications as they occur. Provide access to test and inspection log for the Owner's reference during normal working hours.

3.2 REPAIR AND PROTECTION

- A. General: On completion of testing, inspecting, sample taking, and similar services, repair damaged construction and restore substrates and finishes.
- B. Protect construction exposed by or for quality control service activities.
- C. Repair and protection are the Contractor's responsibility, regardless of the assignment of responsibility for quality control services.

END OF SECTION 014000