

Environmental Documentation Checklist (EDC)

| | Project # | Facility Name Site Address | Project Description | Contact |
|---|--|---|--|--------------------------------|
| # | Required Documentation (as applicable to project) | Minimum Certification or Report + Codes To Be Referenced | Guidance on Use And Applicability | Applicable (Y/N) or explain |
| | Fire Safety | | | |
| 1 | Building Construction Type | Architect's certification of building construction type in accordance with NFPA 220 - Standard on Types of Building Construction. | Obtain architect's determination of building construction type when not already available (from previous projects/phases) | |
| 2 | Fire Alarm System | Certification that all fire alarm systems (e.g., pull stations, smoke & fire detection devices) have been fully installed, inspected, tested, and connected to the fire alarm system - in accordance with NFPA 72 - National Fire Alarm Code | Certification is required ONLY if new installation or modifications are made to existing systems. Also (if applicable), emergency forces notification shall be installed in accordance with NFPA 101 and smoke control systems shall be installed in accordance with NFPA 90A, NFPA 90B, NFPA 92A, and NFPA 92B. | |
| 3 | Fire Alarm System Record of Completion | The Record of Completion (usually prepared by the fire alarm system installation contractor) - in accordance with NFPA 72 - National Fire Alarm Code | A record of completion shall be provided for a new installation. For modifications, the initial installation shall have the original record of completion revised to show all changes from the original information and shall include a revision date. See NFPA 72-1998 Figure1-6.2.1 for a format to be used. | |
| 4 | Sprinkler System Installation | Contractor's certification letter that installation is in accordance with NFPA 13 - Standard for Installation of Sprinkler Systems , to be provided along with a completed and signed Contractor's Material and Test Certificate | Certification is required ONLY if new installation or modifications are made to existing systems. See NFPA 13-1999 Section 10.1 Figures (a), (b) for format to be used. Note: NFPA 13 - Standard for Installation of Sprinkler Systems is referenced at NFPA 101 Section 9.7.1.1 | |
| 5 | Sprinkler System Test Report | Sprinkler system periodic test report in a format consistent with requirements of NFPA 25 | Report is required when pre-existing systems are incorporated, e.g., the project entails occupancy into an existing building. | |
| 6 | Stand-pipe System | Contractor's Certification plus Test Certificate as per NFPA 14 - Standard for Installation of Standpipes and Hose Systems | Certification is required ONLY if new installation or modifications are made to existing systems. Note: NFPA 14 - Standard for Installation of Standpipes and Hose Systems is referenced at NFPA 101 Section 9.7.4.2 | |
| 7 | Fire Pumps | Contractor's Certification as per the requirements of NFPA 20 - Standard for Installation of Stationary Pumps for Fire Protection | Certification is required ONLY if new installation or modifications are made to existing systems. Note: NFPA 20 is not referenced in NFPA 101, but is referenced in FGI 2010. | |
| 8 | Ventilation Control and fire protection for commercial cooking equipment | Certification that ventilation control and fire protection equipment for commercial cooking equipment has been installed and tested in accordance with NFPA 96 - | Certification is required ONLY if new installation or modifications are made to existing systems. | |

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| | | Standard for Ventilation Control and Fire Protection of Commercial Cooking Operations | | |
| 9 | Fire Response Procedures | Policy & Procedure manual | Plans must be site specific, and available at site. Fire Plans should be reviewed ONLY when part of full programmatic review, i.e., generally for new facilities, or for a new wing, floor, service and/or department. As a minimum, facilities shall conduct fire drills in a manner consistent with the provisions listed in NFPA 101, 2000, for the type of facility being inspected. | |
| 10 | Disaster Plans | Policy & Procedure manual | Plans must be site specific, and available at site. Disaster plans should be reviewed ONLY when part of full programmatic review, i.e., generally for new facilities, or for a new wing, floor, service and/or department. | |
| 11 | Fire Safety and Evacuation Training | Facility's documentation regarding staff training for fire response procedures, and documentation indicating staff attendance at fire drills. | Note: This may be germane even if overall fire plans are not reviewed for the specific project. | |
| 12 | Smoking Signs | Signs consistent with facility's fire safety policy | Signs indicating where smoking is - and is not – permitted shall be available at facility and properly posted. | |
| 13 | Flame Spread Documentation | Manufacturer's specifications for furnishings, draperies, and curtains that show fire retardant features and ratings | Facility shall have documentation available onsite upon request. Specifications should indicate testing laboratory and the test used. | |
| 14 | Classification of Interior floor finishes and ceiling tiles | Manufacturer's specifications for floor finishes and ceiling tiles that show fire retardant features and ratings (critical radiant flux, flame spread, smoke development, etc.) | Facility shall have documentation available onsite upon request. Specifications should indicate testing laboratory and the test used. | |
| 15 | Fire Stopping | The facility shall ensure (and provide written certification) that all fire/smoke barrier walls were inspected and that any penetrations were sealed with a listed Through Penetration Firestop System. The facility shall also provide copies of the listed systems that were used. | Certification of fire resistive sealing is ONLY required for new construction, or when modifications are made to existing walls, ceilings and floors which are required fire resistive barriers and/or smoke separations. Facility is responsible for ensuring the firestopping has been completed prior to DOH inspection, and maintained thereafter. | |

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| | Electrical | | | |
| 16 | Electrical Inspection Certification | Contractor's certification that all electrical systems have been installed in conformance with applicable codes (including NFPA 70 - National Electrical Code) and approved plans. | Uninterrupted power supply (UPS) systems, when required, should be included in the contractor's certification. In municipal subdivisions, the local codes department may certify the installation of electrical components in addition to or in lieu of the contractor. Third party inspections requiring certification may also be required for electrical installations in certain instances (NY Board of Fire Underwriters, Commonwealth, etc.). | |
| 17 | Battery Operated Lighting and emergency lighting | Facility's documentation showing evidence of testing | Requirements are found in NFPA 101 Section 7.9. | |
| 18 | Emergency Generator Test Report | Certification per NFPA 99 - Health Care Facilities Code and NFPA 110 - Standard for Emergency and Standby Power Systems | Full load testing should be documented for new generators. | |
| 19 | Emergency Electrical Systems | Certification that the Essential Electrical System (EES) complies with all of the applicable sections NFPA 101, NFPA 110 - Standard for Emergency and Standby Power Systems, NFPA 70 - National Electrical Code, and NFPA 99 - Health Care Facilities Code. A listing of functions served by specific EES branches should also be submitted when EES certification is applicable. | When listing functions, see NFPA 99 Appendix C 3.3 for format to be used for listing functions. | |
| | Plumbing | | | |
| 20 | Plumbing Certification | Contractor's certification that the plumbing systems have been installed in accordance with the applicable plumbing code (e.g. national standard or informational plumbing code) | Specifics that the water system was flushed, pressure checked, etc. are considered covered by this item, and need to be specified only when applicable. In some municipal subdivisions, the local codes department may certify the installation of electrical components in addition to or in lieu of the contractor. | |
| 21 | Backflow Prevention Certification | Certification that installation is in accordance with the approved plans, along with test and maintenance information, for each backflow prevention device. Results should be shown on the NYS DOH-1013 (Bureau of Public Water Supply Protection) form most recently submitted by facility. | Certification is required ONLY if new installation or modifications are made to existing systems affecting the connection to the (external) public water supply. If a backflow prevention device is not present, facility needs to demonstrate compliance with the public water supply protection program. | |
| 22 | Public Water Supply Certification | Provide documentation that: 1) the connection to the water supply system was approved by the local authority having jurisdiction (generally the water purveyor or codes enforcement office) and 2) a recent total coliform test was | Certification is required ONLY if a new installation or for modifications made to an existing water supply system. Additional testing may be required on a case-by-case basis. Testing of systems that are too small to be classified as a public | |

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| | | obtained having test results within the parameters of Part 5 of the NYS Sanitary Code where the system piping was changed. | water system defined in Part 5 of the NYS Sanitary Code will be established in conjunction with the Department of Health's Bureau of Water Supply Protection and the Regional Office. | |
| 23 | Septic System Certification | For those facilities on a septic system, certification that both an existing and new system has been inspected and approved by the authority having jurisdiction. | Certification is required in all cases where the facility is on a septic system. Guidance on septic system requirements may be found at local &/or state level. | |
| 24 | Water Analysis and bacteriological cultures for renal dialysis equipment | Pre- and post- water treatment (both bacteriological and chemical) tests results must be provided in accordance with 10NYCRR Section 757 (and also CMS guidelines) re: AAMI standards . | Applicable only to renal dialysis units and/or equipment, as applicable to project. | |
| | General Regarding Environmental Health | | | |
| 25 | Certificate of Occupancy or Certificate of Completion | The Certificate of Occupancy / Certificate of Completion for building construction is issued from the local authority having jurisdiction. | A Temporary Certificate of Occupancy may be acceptable in some circumstances. A new/revised CO may not be needed, depending on the project. | |
| 26 | Certification of Completion Letter | The Certification of Completion document (which has 3 signatures - a licensed design professional (architect and/or engineer), the applicant plus a notary - which shall certify compliance with applicable 10 NYCRR requirements This documentation must attest to the project "as built" - in contrast to the type of architect's letter that may have been submitted as part of the project application and/or plan approval stage. | A separate certification may be required for each phase of a project. The certification should be dated near the day of the pre-opening inspection/review and after the architect/engineer has reviewed all required certifications. The required letter format may be found at https://www.health.ny.gov/facilities/cons/more_information/docs/3-alc_for_completed_projects.pdf . | |
| 27 | Nurse Call System Certification | Contractor's letter certifying compliance re installation - tested and operates correctly | Certification required ONLY if new or modifications are made to existing equipment. | |
| 28 | Ventilation System Certification | Contractor's letter certifying compliance re installation - tested, balanced and operates correctly | Certification required ONLY if new or modifications are made to existing equipment. | |
| 29 | HVAC Air Balance Report | The report showing actual ventilation flow results, demonstrating compliance with FGI 2.1-8.2.2 Part 6 Table 7.1 (2010) [or AIA 7.31.D1 Table 2 (1997) , when applicable]. The report shall include a cover certification by a licensed design professional who reviewed the air balancing results, indicating compliance/noncompliance with referenced codes. | ANSI/ASHRAE/ASHE ventilation requirements are specified in FGI 2010 Chapter 6. | |
| 30 | Elevator Certification | Certification that all elevators have been inspected, tested, and meets applicable requirements. | Certification required ONLY if new or modifications are made to existing equipment | |

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| 31 | Fume Hood Certification | Certification by a competent third party is expected for each hood, as applicable, to be affixed (i.e., a sticker) or otherwise available at the facility. | Various hood types may be encountered - applicable to laboratories, pharmacies, chemotherapy/IV prep rooms, radiology processing rooms, central sterilization rooms, nuclear medicine, and perhaps morgues. | |
| 32 | Regulated Waste Removal | Policy and Procedures + contract for removal | Policy & Procedure Manual + signed contract usually needs to be available on-site. Additional guidance is provided by 10 NYCRR Part 70 titled Regulated Medical Waste. | |
| 33 | Sterilizing Equipment | Certification from the contractor that all sterilization equipment has been installed and tested in accordance with the manufacturer's instructions | The facility must meet applicable sections of Regulations from Appendix A 482.42 or L 416.51, and generally accepted standards such as CDC Guideline for Disinfection and Sterilization in Healthcare Facilities, AORN Perioperative Standards and Recommended Practices, or AAMI Sterilization in Health Care Facilities. | |
| 34 | Sterilizing Equipment Results | Documentation via test runs and bacteriological samples that all sterilization equipment is functioning properly. | Generally, review the Bowie-Dick test results as well as printouts for cycle verification as required by the manufacturer and recommended by AMMI, AORN, APIC, and/or the CDC. | |
| 35 | Boiler Inspection | Boiler Inspection Certificate | Certification is required ONLY if new installation or modifications are made to existing systems. Certification form usually needs to be available on-site. A certification is needed for each boiler. | |
| 36 | Medical Gas and Vacuum Systems Installation | Medical Gas and Vacuum Systems Installation Certification that medical gas vacuum systems have been installed, tested, and inspected in accordance with NFPA 99 - Health Care Facilities Code and/or NFPA 50 . Certification shall include documentation that all brazing was performed by qualified individuals as per NFPA 99 - Health Care Facilities Code | Certification is required ONLY if new installation or modifications are made to existing systems. Zone valve boxes must be also installed in accordance with NFPA 99. | |
| 37 | Medical Gas and Vacuum Systems Test Report | The results report shall include all values for static pressure, flow and dynamic pressure for all outlets. | The report shall be compiled via a "third party" review, as per NFPA 99. | |
| 38 | Imaging Equipment Installation | Certification that imaging equipment (e.g., x-ray, MRI) or nuclear medicine equipment has been installed and tested in accordance with manufacturers' instructions and 10 NYCRR Section 711.2 | Documentation should include evidence that the facility's radiation equipment has been registered with Bureau of Environmental Radiation Protection and complies with Title 10 Part 16 (Ionizing Radiation). [For MRI devices, manufacturer's/installer's certification for the imager and associated equipment is required, and generally sufficient.] | |

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| 39 | Physicist's Report/Certification | Within the certification report, 1) Radiation exposures should be recorded for locations surrounding the equipment room (all areas adjacent to the room including the roof if applicable) and; 2) Acceptance testing as required for commissioning the radiation producing equipment. | Documentation is applicable to X-ray, CT, LINAC, fluoroscopy, mammography, and C-arm devices. Acceptability testing reports need to be commensurate with the type of device. [Note: MRI devices do not emit ionized radiation.] | |
| 40 | Swimming or therapeutic use pools | Written approval from DOH Center for Environmental Health, which would be based on plan review by the Bureau of Community Environmental Health and Food Protection, in accordance with Part 6-1 | Certification is required ONLY if new installation or modifications are made to existing pool, as applicable. [Note: Application of pool approval requirements has several exceptions, as per Section 6-1.3.] | |
| | Forms filled with or obtained from DOH Bureaus or other agencies | | | |
| 41 | DOH Registration for Ionizing Equipment | NYS DoH Certificate of Registration - DOH-3376 form - as per Part 16 Section 16.50 | To operate emission radiation devices a current DOH-3376 for the site specific facility must be available, except for NYC where a NYC Department of Health and Hygiene certificate serves this purpose (on behalf of NYS). [Note: This does not apply to MRI devices.] | |
| 42 | FDA Report of Assembly Form | FDA Report of Assembly - FDA 2579 form | The installer of a radiation emitting device must file an FDA-2579; a copy must be available at the facility. | |
| 43 | Laboratory Permit | NYS DoH permit obtained through the Wadsworth Center Clinical Laboratory Evaluation Program (CLEP) - in accordance with NYS Public Health Law Article 5, Title V: Clinical Laboratory and Blood Banking Services | A laboratory permit is required where laboratory services or point of care testing is provided. A new permit must be obtained for new facilities, and when there are changes in services, location, owner or director. | |
| | Other/Miscellaneous | | | |
| 44 | Floor Plan | A Life Safety Code Floor Plan (showing wall ratings, exits, smoke zones, etc.) is generally needed. A floor plan of 11" x 17" in maximum size must be available. | Additional schematics or floor plans may be needed, based on renovations and construction, as applicable to the project. | |

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| Footnotes | | | | |
| | Despite documentation and attestations received, surveyors reserve the right to inspect any building feature for code compliance. | For certifications listed above which reference a specific code, the document must also include the edition of that code. Acceptable editions of referenced codes can be found in the Department's regulations in Part 711, Section 711.2 - Pertinent technical standards. Alternate editions are acceptable in certain, usually in conjunction with a waiver. | Some projects may entail programmatic, clinical and/or other manual reviews, plus an inspection - in addition to review of the environmental documentation indicated in this checklist. | |