

GENERAL REQUIREMENTS for CONSTRUCTION

SECTION 017700 – CONTRACT CLOSEOUT REQUIREMENTS

PART 1 - GENERAL

1.1 RELATED DOCUMENTS

- A. The Contract Documents, including but not limited to, the Drawings and Individual Specification Sections and Notice of Substantial Completion (NOSC) Form, apply to this section.

1.2 SUMMARY

- A. Section includes administrative requirements for preparation and submission of final Contract Closeout Documents, including, but not limited to, the following:

1. Contract Closeout Conference
2. Notice of Substantial Completion (NOSC) Requirements
 - a. List of Incomplete Work Items
 - b. Contract Turnover Documents
 - 1) As-built Drawings
 - 2) As-built Specifications
 - 3) As-built Schedule
 - 4) Sustainable Documents
 - 5) Permits, Licenses and Certificates
 - 6) Hazardous Wastes Documents
 - c. General Guarantee
 - d. Operation and Maintenance Manuals
3. Contract Closeout
4. Final Cleaning

- B. Related Sections:

1. General Conditions, Article 8 – Payment
2. General Conditions, Article 13 – Inspection and Acceptance
3. Section 014000 – Quality and Code Requirements
4. Section 017823 – Operation and Maintenance Manuals
5. Section 017839 – As-built Documents
6. Section 018113 – Sustainable Design Requirements

1.3 CONTRACT CLOSEOUT CONFERENCE

- A. Contract Closeout Conference: The Owner will schedule and conduct a Contract closeout conference, at a time convenient to the Owner and Design Professional, but no later than sixty (60) days prior to the scheduled inspection date for Substantial Completion.

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1. The Owner will conduct the conference to review requirements and responsibilities related to Contract closeout.
2. Attendees: Representatives of the Owner, testing agency, commissioning authority, Design Professional, and their consultants; Contractor and its superintendent; major subcontractors; suppliers; and other concerned parties shall attend the meeting. Participants at the meeting shall be familiar with Project and authorized to make binding decisions on matters relating to the Work.
3. Agenda: Discuss items of significance that could affect or delay Contract closeout, including the following:
 - a. Status of Contract Turnover Documents.
 - b. Procedures required prior to inspection for Substantial Completion and for final inspection for acceptance.
 - c. Requirements for preparing sustainable documentation.
 - d. Requirements for submitting final operation and maintenance manual.
 - e. Requirements for Permits, Licenses and Certificates.
 - f. Preparation of Contractor's list of incomplete Work items.
 - g. Procedures for processing Application for Payment at Substantial Completion and final payment.
 - h. Submittal procedure.
 - i. Installation of the Owner's furniture, fixtures, and equipment.
 - j. Responsibility for removing temporary facilities and controls.
4. Minutes: The Owner or Design Professional will record and distribute meeting minutes.

1.4 NOTICE OF SUBSTANTIAL COMPLETION (NOSC)

- A. Substantial Completion: After the Work of the Contract is determined by the Owner, to be at Substantial Completion, the Contractor shall submit a written request to the Owner for a date of inspection. The date of Substantial Completion establishes the start of the guarantee period.
- B. Documentation: The Notice of Substantial Completion (NOSC) form shall be executed at the end of inspection documenting incomplete Work items and submission of documents in accordance with this section that includes but is not limited to:
 - a. Preparation of a list of Work to be completed and corrected, the value of Work items on the list, and completion date of each Work item.
 - b. Submittal of contract turnover documents.
 - c. Submittal of operation and maintenance manuals, testing, adjustment and balance records.
 - d. Delivery of tools, spare parts, extra materials, and similar items to location designated by the Owner. Label with manufacturer's name and model number where applicable.
 - e. Make final changeover of permanent locks and deliver keys to the Owner. Advise the Owner of changeover.
 - f. Termination and removal of temporary facilities from Project site, along with mockups, construction tools, and similar elements.
 - g. Completion of final cleaning requirements.

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C. SAMPLE FORM - NOTICE OF SUBSTANTIAL COMPLETION

DORMITORY AUTHORITY – STATE OF NEW YORK

NOTICE OF SUBSTANTIAL COMPLETION

INSTITUTION: _____ CONTRACTOR: _____

PROJECT TITLE: _____ CONTRACT NO: _____

PROJECT NO: 9999 CONTRACT VALUE: _____

With exception of the list of incomplete Work and status of Contract Turnover Documents, the Dormitory Authority accepts the Work of the Contract Documents as Substantial Completion on (date) _____, in accordance with the General Conditions. This date also constitutes start of the guarantee period.

ITEM	LIST OF INCOMPLETE WORK	SCHEDULED COMPLETION DATE
1.		
2.		
3.		
4.		
5.		
6.		

NOTE: Attach additional pages if necessary.

STATUS of CONTRACT TURNOVER DOCUMENTS:

	PROVIDED YES	DUE DATE	Not Applicable
• As-built drawings & specifications transmitted to Design Professional	<input type="checkbox"/>		<input type="checkbox"/>
• Certified As-built schedule transmitted to Owner	<input type="checkbox"/>		<input type="checkbox"/>
• Sustainable documentation submitted to Owner	<input type="checkbox"/>		<input type="checkbox"/>
• Permits, licenses and certificates submitted to Authority having jurisdiction	<input type="checkbox"/>		<input type="checkbox"/>
• Hazard waste documentation approved by Owner	<input type="checkbox"/>		<input type="checkbox"/>
• Operation and maintenance manual submitted to Owner in final form	<input type="checkbox"/>		<input type="checkbox"/>
• Spare products stock stored on site per Owner's direction	<input type="checkbox"/>		<input type="checkbox"/>
• Identify any other Contract specific turnover document	<input type="checkbox"/>		<input type="checkbox"/>
• Identify any other Contract specific turnover document	<input type="checkbox"/>		<input type="checkbox"/>
• Final cleaning	<input type="checkbox"/>		<input type="checkbox"/>

Acknowledged by the Contractor (signature & title)	Email Address	Date
Recommended by the Design Professional (signature & title)	Email Address	Date
Recommended by the Project Manager (signature)		Date
Approved by the Director/Chief (signature)		Date

Distribution by PM:
Contractor
Design Professional
Facility Representative

Distribution by PA:
Code Compliance Unit
Risk Management
Procurement Contract File (original)

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1.5 LIST OF INCOMPLETE ITEMS

- A. Organization of List: Submit list of incomplete items in *EXCEL* spreadsheet electronic format. Include name and identification of each space and area affected by construction operations for incomplete items and items needing correction including, if necessary, areas disturbed by Contractor that are outside the limits of construction.
1. Organize items applying to each space by major element, including categories for ceiling, individual walls, floors, equipment, and building systems.
 2. Include the following information at the top of each page:
 - a. Project name & number.
 - b. Date.
 - c. Name of Contractor & Contract number.
 - d. Page number.
- B. Reinspection: Submit a written request for reinspection. On receipt of request, the Owner will either proceed with inspection or notify the Contractor of unfulfilled requirements. After inspection, the Owner will notify the Contractor of items, either on the Contractor's list or additional items identified, that must be completed or corrected.
1. Reinspection: Request reinspection when the Work identified in previous inspections as incomplete is completed or corrected.
 2. Results of completed inspection will form the basis to proceed with commencement of Contract Closeout Documents.

1.6 CONTRACT TURNOVER DOCUMENTS

- A. Procedure: Contract turnover documents shall be transmitted to the Owner or if stated to the Design Professional, fifteen (15) days prior to requesting inspection date for Substantial Completion.
- B. As-built Drawings: Transmit one paper copy set of marked-up As-built Drawings to the Design Professional, with copy of transmittal to Owner. Print each Drawing, whether or not changes and additional information were recorded.
- C. As-built Specifications: Transmit one paper copy set of marked-up as-built specifications, including addenda and contract modifications to the Design Professional, with copy of transmittal to Owner.
- D. As-built Schedule: Submit one electronic (PDF) copy, certified by the Contractor, of the schedule that reflects the exact manner in which the project was actually constructed, to the Owner.
- E. Sustainable Documentation: Submit one electronic (PDF) copy of product data, costs, invoices, material lists, manifest, certifications, etc to obtain project LEED certification. Refer to Individual Specification Section 018113 – Sustainable Design Requirements for record-keeping and submittals required for USGBC LEED prerequisites. |

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- F. Permits, Licenses and Certificates Documents: Submit one copy of original permits, licenses, certifications, inspection reports, material certificates/affidavits, approvals, and related documents required by authorities having jurisdiction to obtain Letter of Completion, Certificate of Occupancy, or Code Compliance Certificate. Coordinate and respond to requirements from the Owner, [NYC Department of Buildings, or Municipality] and all other authorities having jurisdiction for issuance of approval/documents required for the Owner use and occupancy.
1. Cooperate and help coordinate with agency testing materials as specified in Section 014000 – Quality and Code Requirements. Testing Agency is required to submit final report of special inspections.
 2. [The Contractor to provide one copy of original certification from agency or firm certifying the following and as required by Individual Specification Sections:
 - a. Sprinkler System – NFPA Forms for;
 - 1) Contractor’s Material and Test Certificate for Underground Piping
 - 2) Contractor’s Material and Test Certificate for Aboveground Piping
 - b. Fire Alarm System – NFPA 72 Form for;
 - 1) Record of Completion
 - c. Elevator – Certification Form from;
 - 1) Qualified Elevator Inspector (QEI)
 - d. Electrical – Certification Form from;
 - 1) Authority having jurisdiction
 - 2) Independent electrical inspection agency acceptable to the Owner
- G. Hazardous Waste Documents: Submit four (4) paper copies of documents to the Owner thirty (30) days prior to requesting inspection date for Substantial Completion. Refer to Individual Specification Sections for all requirements.]
- H. Miscellaneous Record Submittals: Refer to Individual Specification Sections for miscellaneous record-keeping requirements and submittals in connection with various construction activities. Submit one electronic (PDF) copy of each submittal.
- I. Reports: Submit written report indicating items incorporated in Contract Documents concurrent with progress of the Work, including modifications, concealed conditions, field changes, product selections, and other notations incorporated.

1.7 GUARANTEE

- A. General Guarantee: Comply with General Conditions, Article 13 – Inspection and Acceptance. The date established on the Notice of Substantial Completion form constitutes commencement of the Guarantee period.

1.8 OPERATION AND MAINTENANCE MANUALS

- A. Final Manuals Submittal: Submit Operation and Maintenance Manuals in final form as indicated in Section 017823 – Operation and Maintenance Manuals, to the Owner fifteen (15) days prior to requesting date of inspection for Substantial Completion.

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- 1.9 CONTRACT CLOSEOUT (same as final application for payment)
- A. Contract Compliance: The Contractor shall comply with the requirements of General Conditions, Section 10.08 – Limitations on Actions.
 - B. Preliminary Procedure: All Work and Extra Work of the Contract and requirements of this section must be complete and approved prior to commencement of Contract closeout.
 - 1. The Contractor shall request and submit to the Owner a final Contractor's Pencil Copy billing request that will formulate the final Application for Payment.
 - 2. The Contractor shall provide outstanding documentation to the Owner in accordance with General Conditions, Article 20 – Opportunity Programs.
 - C. Procedures: Upon the Owner's approval of the Contractor's Pencil Copy billing request, Contract closeout documents will be provided to the Contractor. The Contractor shall complete each document and submit all documents with original signature & notary as indicated on forms, the following:
 - 1. Final Application for Payment that includes remaining Retainage.
 - 2. Final Compliance Report.
 - 3. Contractor and Subcontractor Certifications Form.
 - 4. Contractor's Certified Payroll Form.
 - 5. Release Form -- Final Payment to Contractor.
 - 6. Consent of Surety -- Final Payment to Contractor, with power of attorney.
 - D. Payroll Forms: The Contractor and all Sub-contractors to the Contractor shall submit original copies of the Contractor and Subcontractor Certifications Form and Contractor's Certified Payroll Form.

PART 2 - PRODUCTS

2.1 CLEANING MATERIALS

- A. Cleaning Agents: Use cleaning materials and agents recommended by manufacturer or fabricator of the surface to be cleaned. Do not use cleaning agents that are potentially hazardous to health or property or that might damage finished surfaces.
 - 1. Use cleaning products that meet Green Seal GS-37, or if GS-37 is not applicable, use products that comply with allowable VOC levels.

PART 3 - EXECUTION

3.1 DEMOBILIZATION

- A. Deliver tools, spare parts, extra materials, and similar items to location designated by the Owner. Label with manufacturer's name and model number where applicable.

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- B. Make final changeover of permanent locks and deliver keys to the Owner. Advise the Owner's personnel of changeover.
- C. Terminate and remove temporary facilities from the Project site, along with mockups, construction tools, and similar elements.

3.2 RECORDING AND MAINTENANCE

- A. Recording: Maintain one copy of each submittal during the construction period for contract turnover document purposes. Post changes and modifications to contract turnover documents as they occur; do not wait until the end of the Project.
- B. Maintenance of Turnover Documents and Samples: Store turnover documents and Samples in the field office apart from the Contract Documents used for construction. Contract turnover documents shall not be used for construction purposes. Maintain turnover documents in good order and in a clean, dry, legible condition, protected from deterioration and loss. Provide access to contract turnover documents for the Owner's reference during normal working hours during performance of Contract.

3.3 FINAL CLEANING

- A. General: Perform final cleaning. Conduct cleaning and waste-removal operations to comply with local laws and ordinances and Federal and local environmental and antipollution regulations.
- B. Cleaning: Employ experienced workers or professional cleaners for final cleaning. Clean each surface or unit to condition expected in an average commercial building cleaning and maintenance program. Comply with manufacturer's written instructions.
 - 1. Complete the following cleaning operations as applies to Work of the contract.
 - a. Clean Project site, yard, and grounds, in areas disturbed by construction activities, including landscape development areas, of rubbish, waste material, litter, and other foreign substances.
 - b. Sweep paved areas broom clean. Remove petrochemical spills, stains, and other foreign deposits.
 - c. Rake grounds that are neither planted nor paved to a smooth, even-textured surface.
 - d. Remove tools, construction equipment, machinery, and surplus material from Project site.
 - e. Remove snow and ice to provide safe access to building.
 - f. Clean exposed exterior and interior hard-surfaced finishes to a dirt-free condition, free of stains, films, and similar foreign substances. Avoid disturbing natural weathering of exterior surfaces. Restore reflective surfaces to their original condition.
 - g. Remove debris and surface dust from limited access spaces, including roofs, plenums, shafts, trenches, equipment vaults, manholes, attics, and similar spaces.
 - h. Sweep concrete floors broom clean in unoccupied spaces.

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- i. Vacuum carpet and similar soft surfaces, removing debris and excess nap; shampoo if visible soil or stains remain. Replace if soil or stains remain after shampooing.
- j. Clean transparent materials, including mirrors and glass in doors and windows. Remove glazing compounds and other noticeable, vision-obscuring materials. Replace chipped or broken glass and other damaged transparent materials. Polish mirrors and glass, taking care not to scratch surfaces.
- k. Remove labels that are not permanent.
- l. Touch up and otherwise repair and restore marred, exposed finishes and surfaces. Replace finishes and surfaces that cannot be satisfactorily repaired or restored or that already show evidence of repair or restoration.
 - 1) Do not paint over "UL" and other required labels and identification, including mechanical and electrical nameplates.
- m. Wipe surfaces of mechanical and electrical equipment and similar equipment. Remove excess lubrication, paint and mortar droppings, and other foreign substances.
- n. Replace parts subject to operating conditions during construction that may impede operation or reduce longevity.
- o. Clean plumbing fixtures to a sanitary condition, free of stains, including stains resulting from water exposure.
- p. Clean light fixtures, lamps, globes, and reflectors to function with full efficiency. Replace burned-out bulbs, and those noticeably dimmed by hours of use, and defective and noisy starters in fluorescent and mercury vapor fixtures to comply with requirements for new fixtures.
- q. Leave Project clean and ready for occupancy. |

- C. Construction Waste Disposal: Comply with waste disposal requirements in all other applicable sections.

END OF SECTION 017800