

## 01 70 00 | Execution and Closeout Requirements

This design guideline is written to the designer of record (DOR). This guideline is written to document UA standards of work, assist the designers in ensuring UA standards are incorporated into the contract documents and provide a resource to facilitate the design process. It is the designer of record's responsibility to coordinate the criteria set forth in design guideline and in conjunction with the manufacturer requirements and use the most stringent standard.

### A. General Requirements

1. When project construction reaches 75% complete, a 75% Closeout Meeting with the UA Project Manager and the Contractor is required to review in detail all requirements for completing and closing out the project. When project construction reaches 95% complete, a Closeout Meeting with UA Contract Administration, the Contractor, Project Architect, and others as appropriate is required to further review requirements for project close out.
2. Except as noted, delivery of items listed hereunder are prerequisites for release of final retainage as indicated on the contractor's application for payment.
3. All required warranties and guarantees will commence upon date of Certificate of Substantial Completion.
4. Closeout Submittal Requirements:
  - a. One (1) copy of Operation and Maintenance manuals (properly tabbed and indexed). See General Conditions of the Contract and specification sections regarding Shop Drawings and Submittals. Operation and Maintenance manuals are to be submitted during construction but no later than thirty (30) days prior to contract completion date.
  - b. One (1) Closeout Binder labeled "Closeouts" including UA project name and job number with all applicable items in order as listed under "Project Closeout Items"
  - c. Electronic closeout submittals using the PDF master templates on the project site:
    - i. One (1) copy of the Operation and Maintenance manuals
    - ii. One (1) copy of all applicable "Project Closeout Items"
5. Projects must be closed within sixty (60) days of Certificate of Substantial Completion. This means all closeout documents have been reviewed and accepted by The Awarding Authority.

### B. Project Closeout Items

1. Furnish the following items in order to successfully close out a projects:
  - a. As-Built Drawings and specification mark-ups must be reviewed by project team for completeness
  - b. Operation and Maintenance Manuals



- i. GC to upload into “Active Projects” Closeout Documents folder on the project site (PDF format)
  - ii. GC to submit one (1) hard copy with closeout binder
  - iii. A/E to provide confirmation on letterhead that all O&M’s have been uploaded to the project site
- c. Training sessions for Owner’s personnel, as required per project specification (Attendee sign-in sheets required)
- d. Certificate of Occupancy from City (original required)
- e. Approved HVAC Test and Balance Report and Documented Functional Performance Testing (by the Commissioning Agent, if applicable)
- f. Control Drawings are to be complete and available for review
- g. Fire Alarm Certification (copy is acceptable)
- h. Carpet Certification (ASTM Standards for Flame Spread and Smoke Development)
- i. State Elevator Inspection Report
- j. Boiler Inspection Report
- k. UA Project Manager to complete the following:
  - i. Fill out and submit State Insurance Fund Form to Risk Management at least five (5) UA business days prior to substantial completion
  - ii. Confirm Design Team submitted AutoCAD 3d (.dwg) files of the site plan, site utility plans and site power plans to UA Surveying. Plans to be referenced to the Alabama West Zone Grid NAD 1983.
  - iii. If required, complete and submit the Capital Project Report (Attachment I to Board Rule 415) to the UA Systems Office.
- l. Construction Record Documents:
  - i. “As-Built Drawings” – on Mylar reproducibles and labeled disk (CAD format)
    - 1. All field red-lines incorporated, external references bound and “As-Built” indicated in title block.
    - 2. Submit electronic copy to both A/E & UA plan room for approval prior to printing mylars.
  - ii. Control Drawings (Bond Copy) – on Mylar reproducibles and labeled disk (PDF format)
  - iii. Final Conformance Specifications – on labeled disk (PDF Format)
  - iv. PM to provide transmittal from UA plan room confirming all of the above as received prior to closeout with Contract Administration
- m. Advertisement of Completion - Certified by Tuscaloosa News (4 consecutive weeks and must provide original signature and notary seal)



- n. UA Affidavit of Release of Liens - from GC only, on UA form (form is available on Estus and in project specifications). Release of Liens - from GC and all subs
  - o. GC and Subcontractor Warranties - Standard (1) year (per Section 47 of General Conditions) & any extended that may be required
  - p. Extended Manufacturer's Warranties
  - q. Roof Warranties - Standard Five-Year (ABC Form C-9) plus additional as specified
  - r. Delivery of Maintenance Stock Items as required per project specifications - Furnish signed receipts
  - s. Receipt for return of all keys - Transmit to UA Project Manager or Field Coordinator
  - t. Elevator Requirements (if applicable, in addition to Item 9 above)
    - i. Executed elevator maintenance agreement (copy, if applicable)
    - ii. Reminder: PM to confirm all elevator submittals to UA Elevator Systems Coordinator are complete
  - u. Termite Contract (copy is acceptable)
  - v. Fully Executed CERTIFICATE OF SUBSTANTIAL COMPLETION
  - w. GC to provide copy of executed Final Change Order Form as part of close-out binder
    - i. Cover sheet only with all signatures, must include all reconciliations (previous errors, allowances and /or unit prices)
  - x. CONSENT OF SURETY FOR FINAL PAYMENT (date of Power of Attorney must be same or later than date indicated on Consent of Surety)
  - y. Certification that final punch lists items have been completed
  - z. Utilities - Confirmation that all have been transferred into "UA" name
  - aa. Construction Debris Report - Submit estimated tons of construction debris hauled off from project site on GC letterhead
  - bb. Equipment List for Maintenance and Replacement Parts - Provide a list of all equipment (i.e. water heaters, air handlers, etc.) with model numbers, serial numbers and warranty periods. Include filter and belt list for each air handler unit.
2. Items B.1.a-B.1.j above must be complete and reviewed by A/E prior to scheduling a final inspection with UA and are a condition precedent to issuing Certificate of Substantial Completion.
  3. When applicable all Davis Bacon and DBE (Disadvantaged Business Enterprise) requirements must be reported and final submission on file with the UA before closeouts are considered complete.



4. Submission of other documentation may be required in the Specifications and Construction Drawings.
5. All closeout Documents are to be submitted within 45 days of substantial completion. If not submitted within 45 days the Awarding Authority, with no further notice required, may elect, at its sole discretion, acquire all outstanding required documents, and the actual cost thereof will be deducted from the contract.

### C. Inspections

1. **Final Inspection:** For a Certificate of Substantial Completion (COSC) to be issued the Final Inspection must be conducted by the Architect, Engineers & UA and appropriate Public Officials upon notification by Contractor and concurrence by Architect, Engineer & UA that project is complete. Punch lists prepared at inspections shall be corrected within thirty days of the date of the COSC.
2. **Year-End Inspection:** To be conducted jointly by Architect, Engineer, UA and appropriate Public Officials approximately 1 year after completion and upon notice by Architect, Engineer, UA, and Public Officials. Any and all defects will be expected to be remedied as soon as possible.

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