

SECTION 01 77 00
CLOSEOUT PROCEDURES

PART 1 - GENERAL

1.1 SUMMARY

- A. Section Includes: Administrative and procedural requirements for project closeout, including but not limited to:
 - 1. Substantial Completion procedures.
 - 2. Final completion procedures.
 - 3. Closeout submittals and warranties.
 - 4. Payment and release of liens.
 - 5. Final cleaning.
 - 6. Repair of the work.
 - 7. Post construction examinations.

1.2 ACTION SUBMITTALS

- A. Contractor's List of Incomplete Items (Punchlist): Initial submittal at Substantial Completion.
- B. Certified List of Incomplete Items: Final submittal at final completion.

1.3 SUBSTANTIAL COMPLETION PROCEDURES

- A. Upon determination that the work is substantially complete, notify Architect and submit written certification that the work is complete.
- B. Contractor's List of Incomplete Items: Prepare and submit a list of items to be completed and corrected (Contractor's punch list), indicating the value of each item on the list and reasons why the Work is incomplete.
- C. Submittals Prior to Substantial Completion: Complete the following a minimum of 10 days prior to requesting inspection for determining date of Substantial Completion. List items that are incomplete at time of request.
 - 1. Certificates of Release: Obtain and submit releases from authorities having jurisdiction permitting Owner unrestricted use of the work and access to services and utilities. Include occupancy permits, operating certificates, and similar releases.
 - 2. Submit specified closeout submittals, including project record documents, operation and maintenance manuals, damage or settlement surveys, property surveys, and similar final record information.

3. Submit closeout submittals specified in individual Sections, including specific warranties, workmanship bonds, maintenance service agreements, final certifications, and similar documents.
 4. Submit extra materials specified in individual Sections, including tools, spare parts, extra materials, and similar items, and deliver to location designated by Architect. Label with manufacturer's name and model number.
 5. Submit testing, adjusting, and balancing records.
 6. Submit changeover information related to Owner's occupancy, use, operation, and maintenance.
- D. Procedures Prior to Substantial Completion: Complete the following a minimum of 7 days prior to requesting inspection for determining date of Substantial Completion. List items that are incomplete at time of request.
1. Advise Owner of pending insurance changeover requirements.
 2. Make final changeover of permanent locks and deliver keys to Owner. Advise Owner's personnel of changeover in security provisions.
 3. Complete startup and testing of systems and equipment.
 4. Perform preventive maintenance on equipment used prior to Substantial Completion.
 5. Instruct Owner's personnel in operation, adjustment, and maintenance of products, equipment, and systems. Submit demonstration and training video recordings specified.
 6. Advise Owner of changeover in utility services.
 7. Participate with Owner in conducting inspection and walkthrough with local emergency responders.
 8. Terminate and remove temporary facilities from site, along with mockups, construction tools, and similar elements.
 9. Complete final cleaning requirements.
 10. Touch up paint and repair and restore marred exposed finishes to eliminate visual defects.
- E. Substantial Completion Inspection: Submit a written request for inspection to determine Substantial Completion a minimum of 7 days prior to date the work will be completed and ready for final inspection and tests. On receipt of request, Architect will either proceed with inspection or notify Contractor of unfulfilled requirements. Architect will prepare the Certificate of Substantial Completion after inspection or will notify Contractor of items, either on Contractor's list or additional items identified by Architect, that must be completed or corrected before certificate will be issued.
1. Request reinspection when work identified in previous inspections as incomplete is completed or corrected.
 2. Architect will reinspect the work.
 3. Results of completed inspection will form the basis of requirements for final completion.
- F. Determination of Substantial Completion: When Architect concurs the work is Substantially Complete, it will:

1. Prepare a Certificate of Substantial Completion on AIA Form G704 accompanied by the Constructor's List of Incomplete Items that has been verified and amended by Architect.
 2. Submit the Certificate of Substantial Completion to the Owner and Contractor for written acceptance of the responsibilities assigned in the Certificate.
- G. Contractor Activities: Upon Substantial Completion, perform the following activities:
1. Allow Owner occupancy of the project as stated in the Certification of Substantial Completion provisions.
 2. Obtain and submit the Certificate of Occupancy, operating certificates, and similar releases enabling the Owner unrestricted use of the work.
 3. Complete work listed for completion or correction within designated form.
 4. Advise Owner of pending insurance change-over requirements.
 5. Perform final cleaning.
 6. Make final change over of permanent locks and transmit keys to Owner.
 7. Advise Owner of change over in security provisions.

1.4 FINAL COMPLETION PROCEDURES

- A. Submittals Prior to Final Completion: Before requesting final inspection for determining final completion, complete the following:
1. Submit final Application for Payment in accordance with Section 01 29 00 and the Agreement.
 2. Certified List of Incomplete Items: Submit certified copy of Architect's Substantial Completion inspection list of items for completion or correction (punch list), endorsed and dated by Architect. Certified copy of the list shall state that each item has been completed or otherwise resolved for acceptance.
 3. Certificate of Insurance: Submit evidence of final, continuing insurance coverage complying with insurance requirements.
 4. Submit pest control final inspection report.
 5. Submit final completion photographic documentation.
- B. Inspection: Submit a written request for final inspection to determine acceptance a minimum of 10 days prior to date the work will be completed and ready for final inspection and tests. On receipt of request, Architect will either proceed with inspection or notify Contractor of unfulfilled requirements. Architect will prepare a final Certificate for Payment after inspection or will notify Contractor of construction that must be completed or corrected before certificate will be issued.
1. Request reinspection when the work identified in previous inspections as incomplete is completed or corrected with written certification that:
 - a. The Contract Documents have been reviewed.
 - b. The work has been examined for compliance and completed in accordance with Contract Documents.
 - c. The equipment and systems have been tested in presence of Owner's representative and are operational.

- d. The work is completed and ready for final examination.
- C. Determination of Final Completion: Architect will inspect the work to verify status of completion within seven days after receipt of certification.
1. Should Architect deem the work is incomplete or defective, the Architect will notify Contractor in writing, itemizing the work that is incomplete or defective.
 2. Take immediate action to finish incomplete work and remedy deficiencies before requesting a second inspection accompanied by a second written certification that work is complete.
 3. Architect will reinspect the work and make a determination.
 - a. If the work is found complete, Architect will request submission of closeout submittals.
 - b. If the work is again found incomplete, complete the work and request a reinspection accompanied by a third written certification that work is complete.
- D. Reinspection Fees: In the event the Architect is required to perform reinspections due to the failure of the work to comply with claims of completion certified by Contractor:
1. The Owner will compensate Architect for additional services.
 2. The Owner will deduct amount of compensation from final payment to Contractor.

1.5 LIST OF INCOMPLETE ITEMS (PUNCH LIST)

- A. Organization of List: 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 list of spaces in sequential order, starting with exterior areas then interior areas.
 2. Organize items applying to each space by major element, including categories for ceiling, individual walls, floors, equipment, and building systems.
 3. Include the following information at the top of each page:
 - a. Project name.
 - b. Date.
 - c. Name of Architect.
 - d. Name of Contractor.
 - e. Page number.
 4. Submit list of incomplete items in PDF electronic file. Architect will return annotated file.

1.6 CLOSEOUT SUBMITTALS

- A. Upon request of Architect after a successful Final Completion Inspection, submit the following documents for closeout:
1. Evidence of compliance with requirements of governing authorities:
 - a. Certificate of Occupancy.
 - b. Certificate of Inspection: Mechanical and electrical systems.

2. Project Record Documents: Refer to Section 01 78 39.
3. Operating and Maintenance Data: Refer to Section 01 78 23.
4. Warranties and bonds.
5. Spare Parts and Maintenance Materials: Provide products, spare parts, and maintenance materials in quantities specified in each specification section in addition to that required for completion of work.
 - a. Coordinate delivery with Owner; deliver to site, store properly, and obtain receipt prior to final payment.
6. Certificates of Insurance:
 - a. Certificates for products and completed operations.
 - b. Certificate for continuing coverage.
7. Field Report: Submit report for pest control inspection.

1.7 EVIDENCE OF PAYMENTS AND RELEASE OF LIENS

A. Evidence of Payment:

1. Contractor's Affidavit of Payment of Debts and Claims: AIA G706.
2. Contractor's Affidavit of Release of Liens: AIA G706A.
3. Attachment to Contractor's Affidavit of Release of Liens:
 - a. Consent of Surety to Final Payment: AIA G707.
 - b. Contractor's Release or Waiver of Liens.
 - c. Separate releases of waivers of liens from subcontractors, suppliers and others with lien rights against property of Owner, together with list of those parties.
4. Submittals shall be duly executed before delivery to Owner.

1.8 FINAL ADJUSTMENT OF ACCOUNTS

A. Adjustments of Accounts: Submit final statement of accounting to Architect.

1. Statement shall reflect adjustments to Contract Sum: Include the following data:
 - a. Original Contract Sum.
 - b. Additions and deductions resulting from:
 - 1) Previous Change Orders.
 - 2) Unit Prices.
 - 3) Deductions for uncorrected work.
 - 4) Penalties and bonuses.
 - 5) Deductions for reinspection payments.
 - 6) Other adjustments.
 - c. Total Contract Sum, as adjusted.
 - d. Previous payments.
 - e. Sum remaining due.

B. Upon receipt and review, Architect will prepare final Change Order, reflecting approved adjustments to Contract Sum that were not previously made by Change Orders.

- C. Final Application for Payment: Submit final Application for Payment in accordance with procedures and requirements stated in the Agreement.
- D. Adjustment: No adjustments to Contract requested by Contractor will be allowed if asserted after execution of Final Payment of Contract.

1.9 POST CONSTRUCTION EXAMINATION

- A. Prior to expiration of one year from Date of Substantial Completion, Owner will make visual examination of Project in company of Contractor to determine whether further correction of Work is required in accordance with provisions of Contract.
- B. Owner will promptly notify Contractor, in writing, of observed deficiencies.
- C. Contractor will contact Owner to arrange time and establish schedule for correction of deficiencies.

PART 2 - PRODUCTS

2.1 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.

PART 3 - EXECUTION

3.1 FINAL CLEANING AT SUBSTANTIAL COMPLETION

- A. 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 before requesting inspection for certification of Substantial Completion for entire Project or for a designated portion of Project:
 - a. Clean site 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 disturbed by construction activities that are not planted, mulched, or paved to a smooth, even textured surface.

- d. Remove tools, construction equipment, machinery, and surplus material from 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.
 - i. Vacuum carpet and similar soft surfaces, removing debris and excess nap; clean according to manufacturer's recommendations if visible soil or stains remain.
 - j. Clean transparent materials, including mirrors and glass in doors and windows. Remove glazing compounds and noticeable, vision obscuring materials. Replace chipped or broken glass and damaged transparent materials. Polish mirrors and glass, taking care not to scratch surfaces.
 - k. Remove labels that are not permanent.
 - l. Wipe surfaces of mechanical and electrical equipment and similar equipment. Remove excess lubrication, paint and mortar droppings, and other foreign substances.
 - m. Clean plumbing fixtures to a sanitary condition, free of stains, including stains resulting from water exposure.
 - n. Replace disposable air filters and clean permanent air filters. Clean exposed surfaces of diffusers, registers, and grills.
 - o. Clean ducts, blowers, and coils if units were operated without filters during construction or that display contamination with particulate matter on inspection.
 - p. Clean exposed ductwork after other cleaning has been completed.
 - q. Clean luminaires, lamps, globes, and reflectors to function with full efficiency.
 - r. Leave Project clean and ready for occupancy.
2. Provide a final roof system cleaning to ensure the roof areas of the Project are free of any and all deleterious materials that may damage or penetrate the roof system resulting in leaks or other anomalies that may irreparably damage the roof system. Complete the following cleaning operations before requesting inspection for certification of Substantial Completion of the roof system:
- a. Remove tools, construction equipment, machinery, and surplus material from the roof areas.
 - b. Remove all roof protection boards from the roof area and return to grade level.
 - c. Sweep roof areas broom clean. Remove all fasteners, lose and waste materials, adhesive and other containers, stains, and other foreign items.
 - d. Remove any remaining debris and surface dust from all roof areas.
 - e. Remove labels that are not permanent.
 - f. Final clean all roof areas with mechanical blower. Work from highest point to lowest and remove all debris gathered from blowing operations.

- C. Pest Control: Comply with pest control requirements in Section 01 50 00. Prepare written report.
- D. Construction Waste Disposal: Comply with waste disposal requirements in Section 01 50 00.

3.2 REPAIR OF THE WORK

- A. Complete repair and restoration operations before requesting inspection for determination of Substantial Completion.
- B. Repair, or remove and replace, defective construction. Repairing includes replacing defective parts, refinishing damaged surfaces, touching up with matching materials, and properly adjusting operating equipment. Where damaged or worn items cannot be repaired or restored, provide replacements. Remove and replace operating components that cannot be repaired. Restore damaged construction and permanent facilities used during construction to specified condition.
 - 1. Remove and replace chipped, scratched, and broken glass, reflective surfaces, and other damaged transparent materials.
 - 2. Touch up and otherwise repair and restore marred or exposed finishes and surfaces. Replace finishes and surfaces that already show evidence of repair or restoration.
 - a. Do not paint over "UL" and other required labels and identification, including mechanical and electrical nameplates. Remove paint applied to required labels and identification.
 - 3. Replace parts subject to operating conditions during construction that may impede operation or reduce longevity.
 - 4. Replace burned out bulbs, bulbs noticeably dimmed by hours of use, and defective and noisy starters in fluorescent and mercury vapor fixtures to comply with requirements for new fixtures.

3.3 FINAL CLEANING AFTER START UP AND ADJUSTMENT

- A. Repeat the following final clean activities after building systems start up and adjustment activities are completed.
 - 1. Remove debris and surface dust from limited access spaces, including all roofs, plenums, shafts, trenches, equipment vaults, manholes, attics and similar spaces.
 - 2. Broom clean concrete floors in unoccupied spaces.
 - 3. Final Clean all roof areas similarly to that required for Substantial Completion. Remove all foreign matter dirt and dust from roof areas.
 - 4. Repair, patch and touch up marred surfaces to match adjacent surfaces.
 - 5. Heating, Ventilating, and Air Conditioning Systems:
 - a. Clean permanent filters and replace disposable filters.
 - b. Clean exposed surfaces of diffusers, registers and grills.
 - c. Clean ducts, blowers, and coils if units were operated without filters during construction.

- d. Clean exposed ductwork after other cleaning has been completed.
6. Clean light fixtures, lamps, gloves, reflectors and replace burned out bulbs and defective starters.
7. Leave Project clean and ready for next phase of Work.

END OF SECTION

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