

SECTION 01 7700

CLOSEOUT PROCEDURES

PART 1 - GENERAL

1.1 RELATED DOCUMENTS

- A. Drawings and general provisions of the Contract, including General and Supplementary Conditions and other Division 01 Specification Sections, apply to this Section.

1.2 SUMMARY

- A. Section includes administrative and procedural requirements for Contract closeout, including, but not limited to, the following:
  - 1. Substantial Completion procedures.
  - 2. Final completion procedures.
  - 3. Warranties.
  - 4. Final cleaning.
- B. Related Requirements:
  - 1. Section 012900 "Payment Procedures" for requirements for Applications for Payment for Substantial Completion and Final Completion.
  - 2. Section 013233 "Photographic Documentation" for submitting Final Completion construction photographic documentation.
  - 3. Section 017823 "Operation and Maintenance Data" for additional operation and maintenance manual requirements.
  - 4. Section 017839 "Project Record Documents" for submitting Record Drawings, Record Specifications, and Record Product Data.
  - 5. Section 017900 "Demonstration and Training" for requirements to train the Owner's maintenance personnel to adjust, operate, and maintain products, equipment, and systems.

1.3 DEFINITIONS

- A. List of Incomplete Items: Contractor-prepared list of items to be completed or corrected, prepared for the Architect's use prior to Architect's inspection, to determine if the Work is substantially complete.

1.4 ACTION SUBMITTALS

- A. Product Data: For each type of cleaning agent.
- B. Contractor's List of Incomplete Items: Initial submittal at Substantial Completion.

1.5 CLOSEOUT SUBMITTALS

- A. Field Report: For pest-control inspection.

1.6 MAINTENANCE MATERIAL SUBMITTALS

- A. Schedule of Maintenance Material Items: For maintenance material submittal items required by other Sections.

1.7 SUBSTANTIAL COMPLETION PROCEDURES

- A. 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.

- B. 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 below 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 closeout submittals specified in other Division 01 Sections, 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 maintenance material submittals 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.
    - a. Schedule of Maintenance Material Items: Prepare and submit schedule of maintenance material submittal items, including name and quantity of each item and name and number of related Specification Section. Obtain Owner's signature for receipt of submittals.
  5. Submit testing, adjusting, and balancing records.
  6. Submit sustainable design submittals not previously submitted.
  7. Submit changeover information related to Owner's occupancy, use, operation, and maintenance.
- C. Procedures Prior to Substantial Completion: Complete the following a minimum of 10 days prior to requesting inspection for determining date of Substantial Completion. List items below 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 in Section 017900 "Demonstration and Training."
  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 Project site, along with mockups, construction tools, and similar elements.
  9. Complete final cleaning requirements.
  10. Touch up paint and otherwise repair and restore marred exposed finishes to eliminate visual defects.
- D. Inspection: Submit a written request for inspection to determine Substantial Completion 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 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 the Work identified in previous inspections as incomplete is completed or corrected.
  2. Results of completed inspection will form the basis of requirements for Final Completion.

## 1.8 FINAL COMPLETION PROCEDURES

- A. Submittals Prior to Final Completion: Before requesting final inspection for determining Final Completion, complete the following:
  - 1. Submit a final Application for Payment in accordance with Section 012900 "Payment Procedures."
  - 2. Certified List of Incomplete Items: Submit certified copy of Architect's Substantial Completion inspection list of items to be completed or corrected (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.

## 1.9 SUBMITTAL OF PROJECT WARRANTIES

- A. Time of Submittal: Submit written warranties on request of Architect for designated portions of the Work where warranties are indicated to commence on dates other than date of Substantial Completion, or when delay in submittal of warranties might limit Owner's rights under warranty.
- B. Partial Occupancy: Submit properly executed warranties within 15 days of completion of designated portions of the Work that are completed and occupied or used by Owner during construction period by separate agreement with Contractor.
- C. Organize warranty documents into an orderly sequence based on the table of contents of Project Manual.
- D. Warranty Electronic File: Provide warranties and bonds in PDF format. Assemble complete warranty and bond submittal package into a single electronic PDF file with bookmarks enabling navigation to each item. Provide bookmarked table of contents at beginning of document.
  - 1. Submit on digital media acceptable to the Owner and by uploading to web-based project software site.
- E. Warranties in Paper Form:
  - 1. Bind warranties and bonds in heavy-duty, three-ring, vinyl-covered, loose-leaf binders, thickness as necessary to accommodate contents, and sized to receive 8-1/2-by-11-inch paper.
  - 2. Provide heavy paper dividers with plastic-covered tabs for each separate warranty. Mark tab to identify the product or installation. Provide a typed description of the product or installation, including the name of the product and the name, address, and telephone number of Installer.
  - 3. Identify each binder on the front and spine with the typed or printed title "WARRANTIES," Project name, and name of Contractor.
- F. Provide additional copies of each warranty to include in operation and maintenance manuals.

## 1.10 ARCHITECT INSPECTION REQUIREMENTS

- A. Definitions:

1. Contractor's Punch List: Complete list of incomplete and incorrect Work prepared by the Contractor prior to request of Architect's inspection for Certification of Substantial Completion. As a minimum the List shall include the following information for each work item:

- a. Location identification organized by Building, Area, Room Number, or combination thereof as appropriate to project.
- b. Clear identification of each incomplete work item and non-conforming work items, including all subcontractor's work.
- c. Estimated value of each incomplete and non-conforming work item. Retainage value will be set at 200 percent estimated value.
  - 1) Include photograph of each item.
  - 2) Include back-up financial information for each item.
- d. A short statement of why work is not complete.
- e. Identify subcontract responsibility, as appropriate to each item.

2. Architect's Punch List: A list of incomplete and non-conforming Work prepared by the Architect, which modifies the Contractor's Punch List, following review and acceptance of the Contractor's Punch List.

B. Pre-Closeout requirements: Prior to requesting initial Architect's inspection for Certification of Substantial Completion, submit to the Architect a full and complete list of all non-conforming and incomplete work items (Contractor's Punch List).

C. Punch list procedures at Substantial Completion:

1. Architect will review submitted Contractor's Punch List and determine whether it is suitable to proceed with the Substantial Completion Process.

- a. If the Architect determines that the amount of completed work is insufficient to be considered for Substantial Completion, the Architect will not proceed with the Punch lists process until sufficient completion of the Project is achieved.
- b. The Architect will review the Contractor's Punch List and if the Architect determines that it does not reflect proper identification of the incomplete, and nonconforming work, he/she will request revision and resubmission of the Contractor's Punch List.
- c. If the Architect determines that the amount of work indicated on the Contractor's Punch List is excessive, the Architect will suspend its review until the scope of Work identified in the Contractor's Punch is reduced to a level satisfactory to the Architect.
- d. When the Architect reviews and accepts the Contractor's Punch List as being an accurate reflection of incomplete and incorrect work; the Architect will prepare and issue to the Contractor the "Architect's Punch List".
  - 1) The Architect's Punch List will be based on the Contractor's Punch List with modifications and additions as may be required.
  - 2) The Architect's Punch List includes Work which must be completed and corrected prior to Final Completion.

2. Upon receipt of the Architect's Punch List, the Contractor shall immediately distribute the list to all subcontractors.

D. Completion of Punch List Work: Make reasonable efforts to ensure that all "Architect's Punch List" items are completed or corrected within 14 calendar days from the date of the Architect's Punch List" or within the Contract Time, whichever is earlier.

E. Architect's Final Inspection and review of Punch List Work:

1. After Contractor certification that all punch list Work has been properly completed the Architect will then perform the Final Inspection.

- a. Incomplete Items: If the Architect discovers any incomplete or incorrect "Architect's Punch List" items or any other deficiency in the work, the Architect will prepare a "Revised Punch List" which may also include other incomplete Contract requirements

such as record documents, owner's operation and maintenance manuals, warranties, and other Contract requirements. Architect's site reviews of the Work for this "Revised Punch List" and any subsequent revised Punch Lists shall be performed as additional service to Owner, back-charged to the Contractor.

b. The Architect may assign a dollar value for each item of incomplete or incorrect work remaining.

F. Additional Inspections and related additional services fee: The Architect and the Architect's consultants will provide two site inspections, one at Substantial Completion, and one to confirm that the "Architect's Punch List" has been completed.

1. "Revised Punch List: If the Architect prepares and issues a "Revised Punch List" because of the Contractor's failure to complete the Work, then the Owner shall compensate the Architect and the Architect's consultants for their additional services and additional inspections. The payment for additional services and inspections will be backcharged to Contractor. The Owner will deduct the amount of the Architect's additional services fee from final payment to the Contractor by Change Order.

## 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.
  - 1. Use cleaning products that comply with Green Seal's GS-37, or if GS-37 is not applicable, use products that comply with the California Code of Regulations maximum allowable VOC levels.

## PART 3 - EXECUTION

### 3.1 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 before requesting inspection for certification of Substantial Completion for entire Project or for a designated portion of Project:
    - a. Clean Project site 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 not planted, mulched, or 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. Clean flooring, removing debris, dirt, and staining; clean according to manufacturer's recommendations.
  - i. Vacuum and mop concrete.
  - j. Vacuum carpet and similar soft surfaces, removing debris and excess nap; clean according to manufacturer's recommendations if visible soil or stains remain.
  - k. Clean transparent materials, including mirrors and glass in doors and windows. Remove glazing compounds and other noticeable, vision-obscuring materials. Polish mirrors and glass, taking care not to scratch surfaces.
  - l. Remove labels that are not permanent.
  - m. Wipe surfaces of mechanical and electrical equipment, elevator equipment, and similar equipment. Remove excess lubrication, paint and mortar droppings, and other foreign substances.
  - n. Clean plumbing fixtures to a sanitary condition, free of stains, including stains resulting from water exposure.
  - o. Replace disposable air filters and clean permanent air filters. Clean exposed surfaces of diffusers, registers, and grills.
  - p. Clean ducts, blowers, and coils if units were operated without filters during construction or that display contamination with particulate matter on inspection.
    - 1) Clean HVAC system in compliance with NADCA ACR. Section 230130.52 "Existing HVAC Air-Distribution System Cleaning." Provide written report on completion of cleaning.
  - q. Clean luminaires, lamps, globes, and reflectors to function with full efficiency.
  - r. Clean strainers.
  - s. Leave Project clean and ready for occupancy.
- C. Pest Control: Comply with pest control requirements in Section 015000 "Temporary Facilities and Controls." Prepare written report.
- D. Construction Waste Disposal: Comply with waste-disposal requirements in Section 017419 "Construction Waste Management and Disposal."
- 3.2 REPAIR OF THE WORK
- A. Complete repair and restoration operations required by Section 017300 "Execution" before requesting inspection for determination of Substantial Completion.

END OF SECTION