

CONSTRUCTOR'S GUIDE

IV. Close Out Procedures

(Revised February 26, 2010)



**Yale University
Facilities Planning & Construction**

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IV. CLOSEOUT PROCEDURES

SUBSTANTIAL COMPLETION

(change #6, 2/26/10)

The date of Substantial Completion is important in the life of any project. This date comes into play for many internal procedures relating to a Capital or Non-Capital project. As a result, each project needs a Certificate of Substantial Completion to document the date at which the project was ready for beneficial occupancy by Yale. The prime Design Professional, usually the Architect, is responsible for preparing this Certificate of Substantial Completion and for attaching to it a Punchlist which represents those outstanding items which are contractually owed and have not been completed. Three copies of the Certificate of Substantial Completion and the associated Punchlist are required. These are to be signed by the Architect, the Constructor, and lastly Yale University School of Medicine. (Note: The Director or Associate Director of Project Management at Yale University School of Medicine will be signing these documents for School of Medicine.) When signed, a copy will be returned to both the Constructor and to the Design Professional for their files. Constructor should refer to agreement with Yale University for contractual requirements for substantial completion.

Since on the date of Substantial Completion the Owner is responsible for the maintenance and upkeep of the completed project area, *it is important that Operating and Maintenance Manuals (O&M Manuals) are turned over to the Yale Facilities Planning & Construction Project Manager one week prior to the date of Substantial Completion. These manuals must have already been reviewed and approved by the Design Team.* Without the O&M Manuals, our ability as a facilities organization to respond to problems and our reputation performance with our customers is compromised.

Note: Constructor will submit one hard copy in 3 ring binder of O&M manuals.

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CLOSEOUT MANUAL

First page of manual should include the following information:

- Yale Project Name
- Yale Project Number
- Location: Building, floor, rooms
- Yale Facilities Planning & Construction (FACPC) Project Manager
- Date of Substantial Completion
- Date manual submitted

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- Project Summary (A one paragraph description of project scope, including date construction began and GSF.)
- Project Directory
- Final Invoice (copy)
- Copy of Final Releases: Trade Contractors and Constructor
- Copy of Warranties and guarantees: Trade Contractors and Constructor
- Copy of Building Permit
- Copy of Certificate of Occupancy (or equivalent) if applicable
- Copy of other pertinent documents or transmittals

Note that Operating & Maintenance (O & M) Manuals should not be included in the Closeout Manual, but rather submitted as a separate package one week prior to Substantial Completion.

All manuals, Closeout Manual and O&M Manuals, should be submitted in a three ring binder, white hard cover.

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AS BUILT DRAWINGS

As-built drawings must be submitted to the Architect on the date of Substantial Completion. The submission of As-builts are on the critical path for project closeout. Final payments will be held until As-builts are transmitted to Architect.

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WARRANTEE ISSUES

After project closeout, if a problem is reported to Facilities Operations during the warranty period, Facilities Operations coordinates the investigation of the problem and notification to the contractor. If the item is architectural (Divisions 2-14) Project Manager is to investigate and report to Facilities Operations the apparent problem. Facilities Operations will then send out notification to the contractor with PM's assessment of the situation.

Constructor is expected to respond in a timely fashion to warrantee notification. Identified item shall be repaired promptly and constructor must report back to Facilities Operations representative of completion of work. (See Exhibit A, Appendix IV for sample warrantee notification.)

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APPENDIX IV

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Exhibit IV-A: Warranty Item Notification

Yale School of Medicine
Facilities Operations

WARRANTY ITEM NOTIFICATION

No. X – in a series for each project

Date:

To: *contact*
 constructor
 Phone : ()
 Fax: ()

From: Name of Facilities Operations Representative
 Phone: (203)xxx-xxxx
 Fax: (203)xxx-xxxx

Subject: ***project in bold***

Yale Project No.:

Date of Substantial Completion:

Copied: *project manager, Director, Yale Facilities Planning & Construction (Fax: 7-2848)*

Facilities Operations has been notified of the following item(s), has reviewed the issue and believes that it is a warranty item.

Description:

For Additional Information, if required, please contact: Facilities Operations Representative
Please respond promptly to this item as it impacts the operation of our facility.

Return Confirmation

Date:
From:

Summary of Work Undertaken and Date of Completion:

Copied: *project manager*
 Director of Yale Facilities Planning & Construction
 plant trade manager (if appropriate)

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