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SECTION 01 77 00 – CLOSEOUT PROCEDURES

[AUGUST 2025]

[Note: the “Architect” is REQUIRED TO review and incorporate to the maximum extent possible the requirements in this section. any deviations from owner’s division 1 requirements should be identified AND NOTED to yale, as required by the signed A-10, “professional services agreement between owner and architect”, at exhibit a, “project conditions”, paragraph 2.2.4.6(b). The architect is further required to validate any code, standard OR REFERENCE herein and to update to THE LATEST issuance of such. any portions of this section included within brackets “[]” SHOULD be reviewed for verification of choices contained therein. further, in the preparation and editing of this section, the architect is required TO COORDINATE and cross reference the architect’s project specific design deliverables, including but not limited to: drawings, specifications, calculations and basis of design.]


PART 1 - GENERAL

1.1 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. List of incomplete items.
 4. Submittal of Project warranties.
 5. Final cleaning.

1.2 DEFINITIONS

- A. Punchlist: A comprehensive list prepared initially by the Contractor [Construction Manager] (“Initial Punch List”) and then supplemented by the Architect prior to Substantial Completion and indicating all minor items to be furnished and Work to be performed, which do not prevent Owner occupancy but are required in order to fully complete the Work. [The Architect shall review and edit for conformance with Exhibit A, “Project Conditions”, of the Yale CM-10 “Professional Services Agreement between Owner and Construction Manager” § 4.15, “Closeout Phase”].
- B. Substantial Completion: [Reference should be made by the Architect to the Yale definition of substantial completion from the Yale CM-10, “Professional Services agreement between Owner and Construction Manger”, at § 4.15.2 of “Exhibit A, “Project Conditions”. For example, and provided for editing by the Architect: “Along with the term “substantially complete”, the point at which the entire Work, or a portion thereof designated by the Owner, is sufficiently complete in accordance with the Contract Documents, including requirements from § 4.15.2 of the Yale CM-10, “Exhibit A, Project Conditions”, and for the Owner to occupy or utilize for its intended purpose without material inconvenience to the occupants.”]

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- C. Final Completion. The point at which the entire Work is fully complete in accordance with the Contract Documents. Within 60 days of Substantial Completion, the Contractor [Construction Manager] will satisfy the Final Completion requirements set forth in this section. The Construction Manager will notify the Project Team in writing at least ten (10) Days before the Work is anticipated to be fully complete in accordance with the Contract Documents, setting forth the proposed date of Final Completion. [The Architect shall review and incorporate as required Yale CM-10, “Professional Services agreement between Owner and Construction Manger”, “Exhibit A, “Project Conditions”, § 4.15.3 “Final Completion”].

1.3 ACTION SUBMITTALS

- A. Product Data: For each type of cleaning agent.
- B. Contractor's [Construction Manager's] Initial Punchlist: Initial submittal provided [at least 30 days prior to anticipated Substantial Completion.]
- C. Final Punchlist: Final submittal at Final Completion.

1.4 CLOSEOUT SUBMITTALS

- A. Certificates of Release: From authorities having jurisdiction.
- B. Certificate of Insurance: For continuing coverage.
- C. Field Report: For pest-control inspection.


1.5 MAINTENANCE MATERIAL SUBMITTALS

- A. Schedule of Maintenance Material Items: [The Architect is required to complete the schedule of Maintenance Material Items based on requirements from its design. Such schedule should be inclusive and should be consistent with the Architect's Section 01 78 23].


- 1.6 Maintenance Materials: [Format and requirements are to be coordinated by the Architect with Yale Facilities Operations based on the latest issuance of Yale Guide Specification Section 01 78 23, “Operation and Maintenance Data”.]

- 1.7 SUBSTANTIAL COMPLETION PROCEDURES [The Architect is required to develop this paragraph based on “Exhibit A, Project Conditions” of the CM-10, “Professional Services Agreement between Owner and Construction Manager”, Paragraph 4.15.2 “Substantial Completion”. The following is provided for use by the Architect as the basis for editing such requirements.]

- A. [Substantial Completion. The Construction Manager will notify the Project Team in writing at least thirty (30) Days before the Work, or designated portion thereof, is anticipated to be Substantially Complete, and will include (a) an initial Punchlist organized by area and room, with scheduled dates for completing all Punchlist items, (b) a work list of items remaining to be completed, (c) the current commissioning plan with scheduled dates for completing all commissioning activities, and (d) a list of any actions by the Owner or Architect that are necessary to obtain approvals from Governmental Authorities to occupy the Project.

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1. On or before the proposed date of Substantial Completion and as a condition precedent to the issuance of a Certificate of Substantial Completion, the Construction Manager and Subcontractors will:
 - a. proceed expeditiously to complete the items on the initial Punchlist and work list;
 - b. complete and test telecommunications connections and terminations;
 - c. complete commissioning of systems as required by the Contract Documents and in accordance with the commissioning plan, including start-up testing of systems and achieving all acceptance and performance criteria established in the commissioning plan and Project documents.
 - d. perform final clean-up, including touch-up of marred surfaces;
 - e. coordinate final changing of cores by the Owner, and notify the Owner’s personnel as to change in security;
 - f. discontinue (or change-over) and remove temporary site facilities, services, equipment, tools, mock-ups and similar elements;
 - g. complete instruction and training of the Owner’s operations and maintenance personnel, whether or not a condition of warranty; and
 - h. submit the following documents to the Project Team as required by contract and following the administrative, procedural, and formatting requirements outlined in the “Yale Project Documentation Turnover Guide”:
 - 1) test logs, certificates and Minutes of system start-ups or other final tests required to be witnessed by the Architect, its Consultants or Governmental Authorities;
 - 2) operation and maintenance manuals workmanship and maintenance bonds, and maintenance agreements;
 - 3) Project Record Documents, in accordance with the Contract Documents and BIM Requirements, with a transmittal letter containing the date, the Project title, the Construction Manager’s name and address, and a list of included documents;
 - 4) specific warranties, final certifications, the list of obligations set forth in the Contract, and any other items included as part of the warranty requirements;
 - 5) itemization of the tools, materials and equipment, if any, that the Construction Manager wishes to retain in accordance with § 7.11, along with a proposed sum equal to the depreciated value of each item;
 - 6) summary of compliance with § 14.6, by the Construction Manager and Subcontractors for the duration of the Work;
 - 7) final certificate(s) of occupancy to the extent commercially practicable, and temporary certificate(s) of occupancy if not, together with any other documentation provided by Governmental Authorities; and
 - 8) list of attic stock

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- 9) digital copies of progress and final photographs; and
 - 10) miscellaneous project records in their final form and any other documents specified in the Contract Documents to be provided to the Owner at Substantial Completion.
2. On or before the proposed date of Substantial Completion, the Architect and Owner will inspect the Work to determine whether it is Substantially Complete. Should the Architect and Owner determine that the Work, or designated portion thereof, is Substantially Complete and the required Substantial Completion deliverables have been provided by the Construction Manager in accordance with the Contract Documents, the Architect will prepare and the Owner will deliver to the Construction Manager an executed AIA Document G704 Certificate of Substantial Completion and any other documents required by the Owner’s funding entities, specifying the date of Substantial Completion if different from that proposed by the Construction Manager, and will supplement the Punchlist. The certificate of Substantial Completion will establish responsibilities of the Owner and Contractor for security, maintenance, heat, utilities, damage to the Work and insurance, and shall fix the time within which the Contractor shall finish all items on the Punchlist. The Construction Manager will countersign the certificate of Substantial Completion and return it to the Owner.
- a. Should the Architect or Owner determine that the Work or designated portion thereof is not Substantially Complete, the Architect will so notify the Construction Manager in writing, specifying which items of the Work must be performed prior to issuance of a certificate of Substantial Completion. The Construction Manager will take immediate steps to remedy the stated deficiencies and notify the Project Team when the Work is Substantially Complete. The Owner and Architect will repeat the inspection when notified by the Construction Manager that the Work is deemed by the Construction Manager to be Substantially Complete.
 - b. If the Architect is required to perform more than two (2) Substantial Completion inspections through no error or omission of the Architect, such services shall be performed as a Change in Services, and the cost thereof shall be borne by the party or parties responsible.]

1.8 FINAL COMPLETION PROCEDURES

- A. Within sixty (60) days of Substantial Completion, the Construction Manager is required to satisfy the Final Completion requirements set forth in this section and as defined in the Yale CM-10, “Professional Services Agreement between Owner and Construction Manger”, Exhibit A, “Project Conditions” at paragraph 4.15.3, “Final Completion”. The Construction Manager will notify the Project Team in writing at least ten (10) Days before the Work is anticipated to be fully complete in accordance with the Contract Documents, setting forth the proposed date of Final Completion. [The Architect is required to review this section in comparison with the CM-10 reference above and edit as required.]
- B. Submittals Prior to Final Completion. The following are provided in addition to those identified at paragraph 4.15.3, “Final Completion” from the Yale CM-10, “Professional Services Agreement between Owner and Construction Manger”, Exhibit A, “Project Conditions”. Before requesting final inspection for determining Final Completion, complete the following:

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1. Submit a final Application for Payment in accordance with [Section 012900 "Payment Procedures."]

C. 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 contractor's [construction manager's initial 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 first and proceeding from lowest floor to highest floor, listed by room or space number.

2. Organize items applying to each space by major element, including categories for ceilings, 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 the following format:

a. MS Excel Electronic File: Architect will return annotated file.


b. PDF Electronic File: Architect will return annotated file.

c. Web-Based Project Software Upload: Utilize software feature for creating and updating list of incomplete items (punch list).

1.10 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.

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- 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 Architect.

1.11 SPARE PARTS AND MAINTENANCE MATERIALS

- A. Label and deliver spare parts, maintenance items, and extra materials to the Site. Place in locations as directed.
 - 1. Include “NOT FOR WARRANTY REPAIRS” on the labels.
 - 2. Obtain receipt prior to final payment.
- B. Do not use the spare parts and maintenance materials required by the Contract Documents to remedy defects during the one-year period described in the General Conditions except when approved otherwise by authorized Facility Representative. In such cases, replace items used.
- C. Provide a full inventory (quantity, model number, part description) of all material agreed to be turnover over to the University and the location to be stored as a project documentation item.
- D. Applications for final payment will not be approved until these items are delivered to the Director’s Representative

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 complying with Green Seal's GS-37, or if GS-37 is not applicable, use products that comply with the [should this not have a CT reference?] California Code of Regulations maximum allowable VOC levels.
 - 2. Coordinate all cleaning projects with Yale’s cleaning/maintenance program inventory.


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 the Project:

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- 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 in accordance with manufacturer's instructions.
 - i. Vacuum and mop concrete.
 - j. Vacuum carpet and similar soft surfaces, removing debris and excess nap; clean in accordance with manufacturer's instructions 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. 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 01 50 00 "Temporary Facilities and Controls."] Prepare written report.

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- D. Construction Waste Disposal: Comply with waste-disposal requirements in [Section 01 74 19 "Construction Waste Management and Disposal."]

3.2 CORRECTION OF THE WORK

- A. Complete repair and restoration operations required by "Correction of the Work" Article in [Section 017300 "Execution"] before requesting inspection for determination of Substantial Completion.

END OF SECTION