	<b>Title:</b> YALE OFFICE OF FACILITIES PROCEDURE MANUAL Chapter: 01 - Yale Design Standard Division: General Requirements	<b>Section: 01 78 23 Attachment 1</b> Project Documentation Turnover Guideline
		Date: 01/2026
		Author: Facilities
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Date	Description of Change	Pages / Sections Modified	ID
9/4/25	New Document	-	DK / AK / CM / JP

## PART 1 - INTRODUCTION


### 1.1 Description

- A. This guideline describes the administrative, procedural, and formatting requirements for project documentation at turnover and closeout for Yale University use and archives. This guideline does not address the full requirements of the project's substantial completion, turnover, and close-out process, but rather is focused only on documentation turnover.
- B. While specific deliverables and timing are defined by the project contract and specifications, this guideline instructs the parties responsible on how to plan, format, assemble, and transfer project documentation.
- C. This guideline shall be used in conjunction with other posted formatting guidelines and tools, including but not limited to the Equipment Nameplate Data Matrix, Floor and Room Numbering Standards, CAD Standards, CAD Title Blocks.

### 1.2 Responsible Personnel

*Note: The following teams may be supplemented by project coordinators and administrative support as needed.*


- A. Yale University Team
  - 1. Yale Project Manager (PM)
  - 2. Yale Information Resources (IR)
  - 3. Yale Facilities Operations (FAC OPS)
- B. Design Team
  - 1. Architect of Record and/or Engineer of Record (AOR/EOR)
- C. Construction Team
  - 1. Construction Management Project Manager (CM-PM)

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### 1.3 Definitions

*Note: While this definition list is not comprehensive in covering all project documentation-related terminology, it is important that these terms be understood and used in specifications and project communication for clarity across projects and teams.*

- A. Archives: Online Plan Library that organizes Project Documentation for access and use by Yale parties, including but not limited to project drawings, specifications, equipment manuals, commissioning reports, warranties, studies, and photographs. Yale Information Resources administers the Archives.
- B. Asset Data Matrix: Also known as “Equipment Nameplate Data Workbook” and “Equipment Nameplate Data Matrix,” an Excel spreadsheet created and distributed by Yale and used by the project Construction Team to organize all building equipment nameplate data and details for transfer to Yale Facility Operations. The Excel spreadsheet is located on the [Contractors and Consultants | Office of Facilities](#) website. The spreadsheet is used to populate Assetworks, define what assets require dedicated Asset Documentation for reference within Assetworks, and to plan maintenance activities.
- C. Asset Documentation: A pdf file dedicated to equipment and products that are included in the Asset Data Matrix. There shall be one file per type of equipment and/or product. The pdf includes the approved as-built submittal, operating and maintenance procedures, and warranty and contact information.
- D. Assetworks: Commercially available, web-based software platform used by Yale University to manage facilities information, operations, and maintenance activities.
- E. Documentation Turnover Orientation: A meeting or series of meetings early in the design phase during which the Yale PM describes the documentation turnover needs with the project team so that naming, tagging, and formatting guidelines are understood and followed in the earliest project deliverables and consistently through all design and construction phases.
- F. Folder Structure: The number and labeling of folders to be used on a transfer site or shared drive used to organize and deliver Project Documentation.
- G. Operations & Maintenance Manual: Also known as “Equipment Manuals,” these


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documents will include approved as-built submittals, installation instructions, operating and maintenance procedures, as well as general manufacturer’s information about the equipment and/or products being supplied. The Manual is a comprehensive pdf file(s) that compiles all the individual asset documentation ordered by specification section and bookmarked for easy navigation. The file(s) is limited to 500 pages. The Operations & Maintenance Manual(s) is posted on Yale Archives by Yale Information Resources.

- H. Project Documentation: the final, updated versions of drawings, specifications, and other project deliverables that accurately reflect what was constructed and/or implemented on a project. Project documentation is transferred in a specific folder structure and is selectively posted on Yale Archives by Yale Information Resources.
- I. Submittals: Unless otherwise defined in the contractor’s contract, submittal is defined as engineer/architect-stamped approved shop drawings and/or contractor submittals for equipment, material, or construction coordination drawings for supplied and installed components defined within project specifications (“submittal”). This documentation includes, without limitation: pertinent data inclusive of sizing, performance, model and serial numbers, wiring diagrams, and system descriptions. for the exact equipment supplied and installed by the project, and is included in both the Asset Documentation and the Operation & Maintenance Manual(s).
- J. Training Manual: Comprehensive pdf file(s) that compiles all the individual training agendas, presentations, and sign-in sheets for formal training, ordered by specification section and bookmarked for easy navigation. The Training Manual is posted on Yale Archives by Yale Information Resources.
- K. Warranty Manual: Comprehensive pdf file(s) that compiles all the individual signed warranty documentation ordered by specification section and bookmarked for easy navigation. The Warranty Manual is posted on Yale Archives by Yale Information Resources.
- L. Yale Post Certificate of Occupancy Form: A word document created and distributed by Yale, used by the Yale PM and the CM for the Yale Facilities Service Center to triage post occupancy warranty items after a building occupant submits work order requests.


#### 1.4 Process

*Note: The following is an overview of activities needed during design and construction to*

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*prepare for smooth and accurate documentation turnover, and the general order in which they shall occur. The responsibility of the AOR/EOR is to identify these activities alongside all Project Documentation requirements in appropriate specification sections (Yale Guide Specifications or otherwise) within contract documents so that the construction team is prepared to procure and execute deliverables and these activities in accordance with contract documents.*

1. Documentation Turnover Orientation: Before the end of SD, a meeting shall be held with the project team to review the documentation turnover needs so that naming, tagging, and formatting guidelines are understood and followed in the earliest project deliverables consistently through all design and construction phases. Preliminary schedules for documentation turnover activities may be defined relative to all project close-out requirements, which include but are not limited to commissioning, training, and final inspection.
2. Documentation Turnover Planning during Design Reviews: At each major deliverable, the project team may elect to review and verify that various Documentation Turnover requirements and tools are being utilized, including consistent naming, numbering, and equipment tagging in preparation for project close-out. The project team may further review that requirements are clear and consistent in the project specification sections. Schedules for documentation turnover activities may be updated.
3. Project Close-out Planning & Monitoring: Planning begins at the start of construction phase and includes many activities and milestones including requirements and timelines for documentation turnover. It is recommended that the CM-PM prepare a plan and review with the project team. Progress towards plan shall continue and be monitored throughout the Construction phase.
4. Project Close-out Documentation: The compilation of Project Documentation is the responsibility of both the design and construction teams. The CM PM prepares the necessary documents and photography. The AOR/EOR shall compile and verify all final project documentation for accuracy and completeness and ensure that all documentation is formatted and organized for electronic transfer.
5. Documentation Transfer & Review: The Yale PM receives the project documentation transfer, further reviews it for accuracy, completeness, and formatting prior to distributing internally to Yale Information Resources.

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6. Final Archive: Documentation is uploaded for use and access by Yale Information Resources.

## PART 2 - CONTENT AND ORGANIZATION

*Note: The following section describes how documents are organized to match the categorization of files on Yale's Archives.*

### 2.1 Turnover Documentation Organization and Content

#### A. Archive Drawings


1. Archive condition drawings are construction drawings that have been updated to include red-line and/or as-built drawings, as defined by contract final deliverables and approved by the Yale Project Manager responsible for the project.
2. Assignment Plans shall also be submitted, developed in accordance with Yale University CAD Standards.

#### B. Subsurface Utilities

1. Submittal shall indicate if subsurface utilities were impacted and/or added by the project.
2. Underground Drawing: The Yale administered master underground site drawing or project developed underground site drawing shall be updated and submitted as applicable. Contact Yale Information Resources to obtain the latest version prior to updating.
3. GIS Underground Mapping: Consult with Yale Information Resources regarding access to Yale's underground GIS map for underground utilities. This GIS database shall be updated for all projects that fall within the extents that are currently mapped. An updated GIS file shall be submitted.

#### C. Archive Specifications

1. Project specifications, which define criteria for equipment, acceptable manufacturer(s), and/or system performance utilized to procure materials and installation labor for the project, with any final updates since issued at CD phase.
2. Document to be use CSI (Construction Specification Institute) format and will be provided in a bookmarked PDF file.

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**D. Final Basis of Design**

1. The Basis of Design document shall be updated to reflect as-built conditions and incorporate any changes made during functional testing and final system configurations.

**E. Warranty Information**

1. Warranty information is the information associated with any service, equipment, products, and/or materials supplied with a project.
2. Information shall be organized in a matrix which identifies the following:
  - a. Names of vendors and/or contractors including contact name, phone number, email addresses, address, etc.
  - b. Specific products or services covered with identification of start and end dates of warranty coverage periods.
  - c. Identify all equipment with extended warranty timeframes acquired by the project or as necessary due to in-service dates relative to substantial completion.
3. Each contractor or vendor shall also submit a specific warranty statement identifying coverage dates and limitations of coverage as they apply.
4. All of this information should be included in the Warranty Manual(s) by CSI number and in a bookmarked PDF file. PDF files limited to 500 pages.

**F. Pre- and Final Testing and Balancing Reports**


1. The final approved certified TAB report that documents actual record conditions shall be submitted as a PDF, stamped and provided by a certified balancing contractor.
2. Any open items listed within the TAB report shall be identified and specific status provided for all items at the time deliverable is submitted to Yale.
3. Renovation Projects Only: A pre-condition TAB report of existing systems shall also be submitted to document existing conditions of systems that have been re-used and/or to verify areas outside of the project limits have not been impacted by the project.

**G. Final Commissioning Report**

1. A final Commissioning Report shall be submitted in accordance with contract commissioning requirements.

**H. Assetworks - Asset Data Matrix**

1. Shall be initially developed during design and populated concurrently with

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- equipment and product procurement.
2. The CM-PM shall review progress on the Asset Data Matrix with Yale FAC OPS through the construction phase and shall provide the Matrix to the Yale PM and Yale FAC OPS to be incorporated into Assetworks along with Asset Documentation.
3. Link to matrix provided in the Definitions Section above.
4. This file is used primarily to appropriately populate and update Assetworks.

**I. Assetworks – Asset Documentation**


1. All equipment identified on the Asset Data Matrix shall be packaged as a **dedicated pdf file (meaning one pdf file per asset)**, bookmarked, with the following corresponding information:
  - a. Engineer/architect-stamped approved as-built submittal (do not include rejected submittals)
  - b. Operating and maintenance procedures for the specific piece of equipment
  - c. Warranty and contact information for the specific piece of equipment
2. This documentation will be accessed by individuals using Assetworks through the Assetworks portal.

**J. Operation & Maintenance Manual**

1. At the start of construction, submittal sections shall be reviewed with representatives from Yale Engineering, Operations, and Project Management to define which sections shall be identified to be included within comprehensive final project turnover documentation.
2. Submittals not identified to be included as part of the project turnover documentation process should be archived in accordance with project contractual requirements.
3. The Operation & Maintenance Manual(s) shall be organized by discipline and CSI section, with individual sections clearly labeled and bookmarked within a PDF document. Each CSI section and discipline may be submitted as separate PDF documents with no individual PDF file longer than 500 pages. Files longer than 500 pages shall be separated into volumes with a table of contents provided for navigation.
4. The manual will be accessed by individuals using Yale Archives.

**K. BIM Model**

1. The archive condition BIM model needs to be converted into separate editable AutoCAD DWG files to be used as a deliverable. The DWG and paper drawings should show the same content by discipline as the construction documents. The DWG files shall contain Yale’s standard border sheet and have external reference

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files bound so each file can be viewed and printed independently. In addition, each sheet number should be its own CAD file. Files will be organized into separate folders by discipline. Please refer to the Yale University CAD standards for further clarification.

2. Requirements for submitting BIM files:
  - a. Format and Version: .RVT (REVIT), latest version
  - b. Method of delivery – USB drive or Internet-based file transfer

**L. Contractor Project Record Documents, BIM Model Redline Drawings**

1. Contractor shall submit the following for all applicable disciplines:
  - a. project record documents;
  - b. applicable BIM Model LOD 400; and/or
  - c. contractor red-line drawings
2. Scanned pdf files of redline drawings are acceptable, otherwise follow requirements set forth herein.
3. Each pdf file shall be organized and created by discipline.

**M. Controls Documentation**

1. A final updated as-built sequence of operations and shop drawings shall be submitted as per contract requirements.

**N. Spare Parts List**


1. Provide a full inventory (quantity, model number, part description) of all material agreed to be turned over to the University and the location to be stored.

**O. ARC Flash / Coordination Study**

1. Submit the final approved short circuit and coordination study report, as a PDF document.
2. Provide all backup electronic files with input and output data in their native file format.
3. Identify final electrical settings for circuit breakers and other micro-processor-based control devices both in their native and PDF electronic format.
4. ARC Flash labeling output and files

**P. Mechanical / Electrical Schedules and One Line Diagrams**

1. All project mechanical and electrical one-line drawings and schedules shall be updated and submitted as a separate pdf file, bookmarked by system.

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**Q. Yale Post Certificate of Occupancy Form**

1. Shall be populated by the Yale PM and/or the CM.
2. The Yale PM and/or the CM will fill in (yellow highlighted items).
3. The Yale PM will coordinate the turnover date(s) with Yale Facilities.

**R. Training Documentation**

1. Compile a Training Manual. Identify and list all training performed.
2. Provide a copy of sign-in sheets to document attendance at all sessions
3. Include training agenda and materials used during training sessions, organized by discipline and submitted as a bookmarked PDF, limited to 500 pages.
4. Submit any training videos(.mov files) recorded.

**S. Project Photos**


1. There are various types of project photography that are included in project documentation, and include but are not limited to:
  - a. In-progress construction and final condition photographs which are annotated and compiled into a pdf file, ordered by date, and bookmarked by month for easy navigation. The file(s) is limited to 500 pages and is posted on Yale Archives by Yale Information Resources.
  - b. Final equipment photographs with Yale-supplied QR codes/labels affixed which are annotated and compiled into a pdf file and bookmarked for easy navigation.
  - c. High-resolution photographs (typically 10-20) to document final conditions to be utilized by Yale Facilities for communication materials.
  - d. Digital access to in-progress construction and final condition 360-degree photographs via Holobuilder, as applicable to the project.

**T. Permits, Inspections, Sign Offs**

1. Include a final signed copy of all permits and inspections performed by all City and/or State requirements, as well as those required by special inspections within project specifications.
2. Note any code variances obtained and include documentation of all.

**U. Certificate of Completion**

1. a. Include Certificate of Occupancy obtained by the project.

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### 3.1 Document Transfer

*Note: While the transfer tool may be variable (and includes Yale Box, Sharepoint, external hard drives, and other file sharing platforms,) the following conventions are used consistently across all Yale projects.*

A. Contact information shall be included in a transmittal document:

- Date of Transfer:
- Building Name:
- Facility ID Number:
- Yale Project Name:
- Yale Project Number:
- Yale Project Manager: [Name, Contact Information]
- Design Team Lead: [Name, Company, Contact Information]
- Construction Team Lead: [Name, Company, Contact Information]

B. File naming shall follow Yale naming and number conventions. Document files should be transferred with clear, consistent, and descriptive naming.

C. Transfer Folder Structure


Main Folder labeled “Project Documentation Turnover” contains the following folders numbered 01-19

01 Archive Drawings, contains:

- Subfolder labeled “Table of Contents” contains excel file listing all drawings
- Subfolder labeled “AutoCAD Drawing Files” contains individual dwg files
- Subfolder labeled “Adobe Drawing Files” contains individual pdf files of drawings
- Subfolder labeled “Assignment Plan AutoCAD Files” contains individual dwg files

02 Subsurface Utilities Affected

- Single document (doc or pdf) indicating whether subsurface utilities were affected
- Updated underground drawing files containing individual dwg files
- Updated GIS database and/or supporting GIS files.

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03 Archive Specifications, contains:

- Subfolder labeled “Record Specifications” contains pdf files of specification volumes

04 Final Basis of Design, contains:

- Subfolder labeled “Basis of Design” contains single pdf of comprehensive basis of design including all relevant appendices

05 Warranty Information, contains:

- Subfolder labeled “Warranty Information” contains pdf files of compiled Warranty Manual(s)

06 Pre- & Final Testing and Balancing Reports, contains:

- Subfolder labeled “Testing and Balancing Reports” contains pdf files of all testing, adjusting, and balancing reports completed in support of the project, including pre-construction reports.

07 Final Commissioning Report, contains:

- Subfolder labeled “Commissioning Reports” contains pdf file of Final Commissioning Report including Certificate of Commissioning Completion and all relevant appendices as defined above

08 Operations & Maintenance Information, contains:

- Subfolder labeled “Asset Documentation for Assetworks” contains individual pdf files of equipment Asset Documentation. Each file should be labeled the same way as equipment/product is identified in the Asset Data Matrix. Subfolder shall also include a copy of the Asset Data Matrix excel file for reference.
- Subfolder labeled “O&M Manuals” contains compiled pdf file(s) of Operation & Maintenance Manuals.


09 BIM Model, contains:

- Subfolder labeled “BIM Model” contains non-federated RVT file of building information model(s)

10 Contractor As-Built Drawings, contains:

- Subfolder labeled “As-Built Drawings” contains compiled pdf file of Construction as-built drawings

11 Controls Documentation, contains:

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- Subfolder labeled “Controls Documentation” contains compiled pdf file of building automation system as-built controls package

*Please note that this package also resides on the building automation system as direct reference material for BAS users. In the instance of a change or revision to existing building automation system, the project specific package shall replace or be integrated with the existing package for posting on the building automation system. Project package is archived here.*

12 Spare Parts List, contains:

- Subfolder labeled “Spare Parts List” and contains a compiled pdf file of spare parts provided

13 ARC Flash / Coordination Study contains:

- Subfolder labeled “ARC Flash Study” contains individual pdf file(s) of ARC flash study including all relevant appendices

14 Mechanical / Electrical Schedules & One-Line Riser Diagrams contains:

- Subfolder labeled “Schedules and Diagrams” contains individual pdf files of mechanical and electrical schedules and one-line riser diagrams

15 Equipment Identification contains:

- Subfolder labeled “Equipment Identification” contains the excel file Equipment Nameplate Data Matrix

16 Yale Post Certificate of Occupancy Form

- Subfolder labeled “Post Certificate of Occupancy Form” contains the form filled out.

17 Training Documentation contains:


- Subfolder labeled “Training Docs” contains compiled pdf file(s) of Training Manual
- Subfolder labeled “Training Videos” contains mov files of training sessions

18 Project Photos contain:

- Subfolder labeled “Project Photos” contains compiled pdf file(s) of project photographs

19 Permits, Inspections, Signoffs contain:

- Subfolder labeled “Permits and Inspections” contains compiled pdf file of all permits, inspection records, and signoffs by Authority Having Jurisdiction

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20 Certificate of Completion contains

- Subfolder labeled “Completion Certificate” contains certificate attesting completion

### 3.2 Transfer Checklist

*Note: This checklist is provided as a quick reference to Yale PMs for evaluating the completion and conformance of project documentation at turnover. It is expected that the AOR compile and transfer this information.*

#	Document	Source	Included?
0	Transmittal	AOR	
1	Archive Drawings <ul style="list-style-type: none"> <li>• Autocad Drawing Files</li> <li>• Adobe PDF Files</li> <li>• Autocad Assignment Plan Files</li> <li>• Table of Contents Excel File</li> </ul>	AOR	
2	Subsurface Utilities Affected - Y / N / NA	AOR	
3	Archive Specifications	AOR	
4	Final Basis of Design	AOR	
5	Warranty Information	AOR	
6	Pre & Final Testing and Balancing Reports	AOR	
7	Final Commissioning Report	Cx Provider	
8	Operation & Maintenance Information <ul style="list-style-type: none"> <li>• Asset Documentation</li> <li>• Asset Data Matrix</li> <li>• Operation &amp; Maintenance Manuals</li> </ul>	CM	
9	BIM	CM	
10	Contractor As-Built Drawings	CM	
11	Controls Documentation	CM	
12	Spare Parts List	CM	
13	ARC Flash Coordination Study	CM	
14	Mechanical / Electrical Schedules & One Line Diagrams	CM/AOR	
15	Post-Certificate of Occupancy Form	CM	
16	Training Documentation	CM	
17	Project Photos	CM	

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18	Permits, Inspections, Signoffs	CM	
19	Certificate of Completion	CM	