
SECTION **017000** – CONTRACT CLOSEOUT

Last Update: 08.09.2020 See Underlined Text for Edits.

(A/E shall edit specifications and blue text in header to meet project requirements. This includes but is not limited to updating Equipment and/or Material Model Numbers indicated in the specifications and adding any additional specifications that may be required by the project. Also turn off all “Underlines”)

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. This Section includes administrative and procedural requirements for contract closeout including, but not limited to, the following:

1. Inspection procedures.
2. Project record document submittal, including the following:
3. Marked-up copies of Contract Drawings.
4. Marked-up copies of Shop Drawings.
5. Newly prepared drawings.
6. Marked-up copies of Specifications, addenda, and Change Orders.
7. Marked-up Product Data submittals.
8. Record Samples.
9. Field records for variable and concealed conditions.
10. Record information on Work that is recorded only schematically.
11. Operation and maintenance manual submittal.
12. Preparing and submitting operation and maintenance manuals for building operating systems and equipment.
13. Preparing and submitting instruction manuals covering the care, preservation, and maintenance of University products and finishes.
14. Instruction of the University's operating personnel in the operation and maintenance of building systems and equipment.
15. Submittal of warranties.
16. Final cleaning.

- B. Closeout requirements for specific construction activities are included in the appropriate Sections the specifications.

- C. Environmental Requirements: Conduct cleaning and waste-disposal operations in compliance with local laws and ordinances. Comply fully with federal and local environmental and antipollution regulations. **<EDIT FOR PARTICULAR PROJECT>**

1. Do not dispose of volatile wastes, such as mineral spirits, oil, or paint thinner, in storm or sanitary drains.

2. Burning or burying of debris, rubbish, or other waste material on the premises is not permitted.

D. Maintenance of Documents and Samples: Store record documents and Samples in the field office apart from the Contract Documents used for construction. Do not use Project Record Documents for construction purposes. Maintain record documents in good order and in a clean, dry, legible condition. Make documents and Samples available at all times for the University's inspections.

E. Disclaimers and Limitations: Manufacturer's disclaimers and limitations on product warranties do not relieve the Contractor of the warranty on the Work that incorporates the products. Manufacturer's disclaimers and limitations on product warranties do not relieve suppliers, manufacturers, and subcontractors required to countersign special warranties with the Contractor.

1.3 DEFINITIONS

A. Standard product warranties are preprinted written warranties published by individual manufacturers for particular products and are specifically endorsed by the manufacturer to the University.

B. Special warranties are written warranties required by or incorporated in the Contract Documents, either to extend time limits provided by standard warranties or to provide greater rights for the University.

1.4 WARRANTY REQUIREMENTS

A. Related Damages and Losses: When correcting failed or damaged warranted construction, remove and replace construction that has been damaged as a result of such failure or must be removed and replaced to provide access for correction of warranted construction.

B. Reinstatement of Warranty: When Work covered by a warranty has failed and been corrected by replacement or rebuilding, reinstate the warranty by written endorsement. The reinstated warranty shall be equal to the original warranty with an equitable adjustment for depreciation.

C. Replacement Cost: Upon determination that Work covered by a warranty has failed, replace or rebuild the Work to an acceptable condition complying with requirements of the Contract Documents. The Contractor is responsible for the cost of replacing or rebuilding defective Work regardless of whether the University has benefited from use of the Work through a portion of its anticipated useful service life.

D. University's Recourse: Expressed warranties made to the University are in addition to implied warranties and shall not limit the duties, obligations, rights, and remedies otherwise available under the law. Expressed warranty periods shall not be interpreted as limitations on the time in which the University can enforce such other duties, obligations, rights, or remedies.

1. Rejection of Warranties: The University reserves the right to reject warranties and to limit selection to products with warranties not in conflict with requirements of the Contract Documents.

E. Where the Contract Documents require a special warranty, or similar commitment on the Work or part of the Work, the University reserves the right to refuse to accept the Work, until the Contractor presents evidence that entities required to countersign such commitments are willing to do so.

1.5 SUBSTANTIAL COMPLETION

A. Preliminary Procedures: Before requesting inspection for certification of Substantial Completion, complete the following. List exceptions in the request.

1. In the Application for Payment that coincides with, or first follows, the date Substantial Completion is claimed, show 100 percent completion for the portion of the Work claimed as substantially complete.
 - a. Include supporting documentation for completion as indicated in these Contract Documents and a statement showing an accounting of changes to the Contract Sum.
 - b. If 100% completion cannot be shown, include a list of incomplete items, the value of incomplete construction, and reasons the Work is not complete.
2. Advise the University of pending insurance changeover requirements.
3. Submit specific warranties, workmanship bonds, maintenance agreements, final certifications, and similar documents.
4. Obtain and submit releases enabling the University unrestricted use of the Work and access to services and utilities. Include occupancy permits, operating certificates, and similar releases.
5. Submit record drawings, maintenance manuals, final project photographs, damage or settlement surveys, property surveys, and similar final record information.
6. Deliver tools, spare parts, extra stock, and similar items, including inventory list.
7. Make final changeover of permanent locks and transmit keys to the University. Advise the University's personnel of changeover in security provisions.
8. Complete startup testing of systems and instruction of the University's operation and maintenance personnel. Discontinue and remove temporary facilities from the site, along with mockups, construction tools, and similar elements.
9. Complete final cleanup requirements, including touchup painting.
10. Touch up and otherwise repair and restore marred, exposed finishes.

B. Inspection Procedures: On receipt of a request for inspection, the University will either proceed with inspection or advise the Contractor of unfilled requirements. The University will prepare the Certificate of Substantial Completion following inspection or advise the Contractor of construction that must be completed or corrected before the certificate will be issued.

1. The University will repeat inspection when requested and assured that the Work is substantially complete.

2. Results of the completed inspection will form the basis of requirements for final acceptance.

1.6 FINAL ACCEPTANCE

- A. Preliminary Procedures: Before requesting final inspection for certification of final acceptance and final payment, complete the following. List exceptions in the request.

1. Submit the final payment request with releases and supporting documentation not previously submitted and accepted. Include insurance certificates for products and completed operations where required.
2. Submit an updated final statement, accounting for final additional changes to the Contract Sum.
3. Submit a certified copy of the University's final punch list of items to be completed or corrected, endorsed and dated by the University. The certified copy of the list shall state that each item has been completed or otherwise resolved for acceptance and will be endorsed and dated by the University.
4. Submit final meter readings for utilities, a measured record of stored fuel, and similar data as of the date of Substantial Completion or when the University took possession of and assumed responsibility for corresponding elements of the Work. **<DELETE IF NOT APPLICABLE TO PARTICULAR PROJECT>**
5. Submit consent of surety to final payment.
6. Submit a final liquidated damages settlement statement.
7. Submit evidence of final, continuing insurance coverage complying with insurance requirements.

- B. Reinspection Procedure: The University will reinspect the Work upon receipt of notice that the Work, including inspection list items from earlier inspections, has been completed, except for items whose completion is delayed under circumstances acceptable to the University.

1. Upon completion of reinspection, the University will prepare a certificate of final acceptance. If the Work is incomplete, the University will advise the Contractor of Work that is incomplete or of obligations that have not been fulfilled but are required for final acceptance.
2. If necessary, reinspection will be repeated.

1.7 QUALITY ASSURANCE

- A. Maintenance Manual Preparation: In preparation of maintenance manuals, use personnel thoroughly trained and experienced in operation and maintenance of equipment or system involved.

1. Where maintenance manuals require written instructions, use personnel skilled in technical writing where necessary for communication of essential data.

2. Where maintenance manuals require drawings or diagrams, use draftsmen capable of preparing drawings clearly in an understandable format.

B. Instructions for the University's Personnel: Use experienced instructors thoroughly trained and experienced in operation and maintenance of equipment or system involved to instruct the University's operation and maintenance personnel.

1.8 RECORD DOCUMENT SUBMITTALS

A. General: Do not use record documents for construction purposes. Protect record documents from deterioration and loss in a secure, fire-resistant location. Provide access to record documents for the University's reference during normal working hours.

B. Record Drawings (As-Built):

1. Markup Procedure: During construction, maintain a set of blue- or black-line white prints of Contract Drawings and Shop Drawings for Project Record Document (As-Built) purposes.

a. Mark these Drawings to show the actual installation where the installation varies from the installation shown originally. Give particular attention to information on concealed elements that would be difficult to identify or measure and record later. Items required to be marked include, but are not limited to, the following: **<EDIT FOR PARTICULAR PROJECT>**

- 1) Dimensional changes to the Drawings.
- 2) Revisions to details shown on the Drawings.
- 3) Depths of foundations below the first floor.
- 4) Locations and depths of underground utilities.
- 5) Revisions to routing of piping and conduits.
- 6) Revisions to electrical circuitry.
- 7) Actual equipment locations.
- 8) Duct size and routing.
- 9) Locations of concealed internal utilities.
- 10) Changes made by change order.
- 11) Changes made following the University's written orders.
- 12) Details not on original Contract Drawings.

b. Mark record prints of Contract Drawings or Shop Drawings, whichever is most capable of showing actual physical conditions, completely and accurately. Where Shop Drawings are marked, show cross-reference on Contract Drawings location.

c. Mark record sets with red erasable colored pencil. Use other colors to distinguish between changes for different categories of the Work at the same location.

d. Mark important additional information that was either shown schematically or omitted from original Drawings.

e. Note change-order numbers, and similar identification.

2. Responsibility for Markup: The individual or entity who obtained record data, whether the individual or entity is the Installer, subcontractor, or similar entity, shall prepare the markup on record drawings.
 - a. Accurately record information in an understandable drawing technique.
 - b. Record data as soon as possible after obtaining it. Record and check the markup prior to enclosing concealed installations.
 - c. At time of Substantial Completion, submit record drawings to the University for the University's records. Organize into sets and bind and label sets for the University's continued use.

C. Record Specifications

1. During the construction period, maintain one copy of the Project Specifications, including addenda and modifications issued, for Project Record Document purposes.
 - a. Mark the Specifications to indicate the actual installation where the installation varies from that indicated in Specifications and modifications issued. Note related project record drawing information, where applicable. Give particular attention to substitutions, selection of product options, and information on concealed installations that would be difficult to identify or measure and record later.
 - 1) In each Specification Section where products, materials, or units of equipment are specified or scheduled, mark the copy with the proprietary name and model number of the product furnished.
 - 2) Record the name of the manufacturer, supplier, installer, and other information necessary to provide a record of selections made and to document coordination with record Product Data submittals and maintenance manuals.
 - 3) Note related record Product Data, where applicable. For each principal product specified, indicate whether record Product Data has been submitted in maintenance manual instead of submitted as record Product Data.
 - b. Upon completion of markup, submit record Specifications to the University.

D. Record Product Data: Maintain one (1) copy of each Product Data submittal. Note related Change Orders and markup of record drawings and Specifications.

1. Mark these documents to show significant variations in actual Work performed in comparison with information submitted. Include variations in products delivered to the site and from the manufacturer's installation instructions and recommendations.
2. Give particular attention to concealed products and portions of the Work that cannot otherwise be readily discerned later by direct observation.
3. Upon completion of markup, submit three complete sets of record Product Data to the University for the University's records.

E. Record Sample Submitted: Immediately prior to Substantial Completion, the Contractor shall meet with the University and the University's personnel at the Project Site to determine

which Samples are to be transmitted to the University for record purposes. Comply with the University's instructions regarding delivery to the University's Sample storage area. Dispose of other samples in a manner specified for disposing surplus and waste materials.

F. Miscellaneous Record Submittals:

1. Refer to other Specification Sections for miscellaneous record-keeping requirements and submittals in connection with various construction activities. Immediately prior to Substantial Completion, complete miscellaneous records and place in good order, properly identified and bound or filed, ready for use and reference. Submit to the University for the University's records.
 - a. Categories of requirements resulting in miscellaneous records include, but are not limited to, the following: **<EDIT FOR PARTICULAR PROJECT>**
 - 1) Field records on excavations and foundations.
 - 2) Field records on underground construction and similar work.
 - 3) Survey showing locations and elevations of underground lines.
 - 4) Invert elevations of drainage piping.
 - 5) Surveys establishing building lines and levels.
 - 6) Authorized measurements utilizing unit prices or allowances.
 - 7) Records of plant treatment.
 - 8) Ambient and substrate condition tests.
 - 9) Certifications received in lieu of labels on bulk products.
 - 10) Batch mixing and bulk delivery records.
 - 11) Testing and qualification of tradesmen.
 - 12) Documented qualification of installation firms.
 - 13) Load and performance testing.
 - 14) Inspections and certifications by governing authorities.
 - 15) Leakage and water-penetration tests.
 - 16) Fire-resistance and flame-spread test results.
 - 17) Final inspection and correction procedures.
 - 18) Pipe leakage test reports.
 - 19) Duct leakage test reports.
 - 20) Air and water balance reports.

G. Operation and Maintenance Manuals:

1. General Submission Requirements: The University of Maryland, Baltimore (UMB) requires operation and maintenance manuals (O&MM) to be submitted in electronic "pdf" file format, by the CM/GC, before substantial completion to the A/E and the University for review.
2. The CM/GC shall use the UMB Master O&M Template pdf file to create the Project O&M Manual. The file can be accessed through the D&C Web Site @ <https://www.umaryland.edu/designandconstruction/>. See View Current UMB Master O&M Template File.

1.9 INSTRUCTIONS FOR THE UNIVERSITY'S PERSONNEL

- A. Prior to final inspection, instruct the University's personnel in operation, adjustment, and maintenance of products, equipment, and systems. Provide instruction at mutually agreed upon times.
 - 1. For equipment that requires seasonal operation, provide similar instruction during other seasons.
 - 2. Use operation and maintenance manuals for each piece of equipment or system as the basis of instruction. Review contents in detail to explain all aspects of operation and maintenance.

PART 2 – PRODUCTS

2.1 MATERIALS

- A. Cleaning Agents: Use cleaning materials and agents recommended by the 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 CLOSEOUT PROCEDURES

- A. Operation and Maintenance Instructions: Arrange for each Installer of equipment that requires regular maintenance to meet with the University's personnel to provide instruction in proper operation and maintenance. Provide instruction by manufacturer's representatives if installers are not experienced in operation and maintenance procedures. Include a detailed review of the following items: **<EDIT LIST AND ADD TO LIST FOR PARTICULAR PROJECT>**
 - 1. Maintenance manuals.
 - 2. Record documents.
 - 3. Spare parts and materials.
 - 4. Tools.
 - 5. Lubricants.
 - 6. Fuels.
 - 7. Identification systems.
 - 8. Control sequences.
 - 9. Hazards.
 - 10. Cleaning.
 - 11. Warranties and bonds.
 - 12. Maintenance agreements and similar continuing commitments.

- B. As part of instruction for operating equipment, demonstrate the following procedures: **<EDIT LIST AND ADD TO LIST FOR PARTICULAR PROJECT>**

1. Startup.
2. Shutdown.
3. Emergency operations.
4. Noise and vibration adjustments.
5. Safety procedures.
6. Economy and efficiency adjustments.
7. Effective energy utilization.

3.2 FINAL CLEANING

- A. General: The General Conditions require general cleaning during construction. Regular site cleaning is included in Division 01 Section "Construction Facilities and Temporary Controls."
- B. Cleaning: Employ experienced workers or professional cleaners for final cleaning. Clean each surface or unit to the condition expected in a normal, commercial building cleaning and maintenance program. Comply with manufacturer's instructions.
 1. Complete the following cleaning operations before requesting inspection for certification of Substantial Completion. **<EDIT LIST AND ADD TO LIST FOR PARTICULAR PROJECT>**
 - a. Clean the Project Site, yard and grounds, in areas disturbed by construction activities, including landscape development areas, of rubbish, waste material, litter, and foreign substances.
 - b. Sweep paved areas broom clean. Rake grounds that are neither planted nor paved to a smooth, even-textured surface.
 - c. Remove petrochemical spills, stains, and other foreign deposits.
 - d. Remove tools, construction equipment, machinery, and surplus material from the site.
 - e. Remove snow and ice to provide safe access to the 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. Broom clean concrete floors in unoccupied spaces.
 - i. Vacuum clean carpet and similar soft surfaces, removing debris and excess nap. Shampoo, if required.
 - j. Clean transparent materials, including mirrors and glass in doors and windows. Remove glazing compounds and other substances that are noticeable vision-obscuring materials. Replace chipped or broken glass and other damaged transparent materials. Polish mirrors and glass, taking care not to scratch surfaces.
 - k. Remove labels that are not permanent labels.

- l. Touch up and otherwise repair and restore marred, exposed finishes and surfaces. Replace finishes and surfaces that cannot be satisfactorily repaired or restored or that already show evidence of repair or restoration.
 - 1) Do not paint over "UL" and similar labels, including mechanical and electrical nameplates.
 - n. Wipe surfaces of mechanical and electrical equipment, elevator equipment, and similar equipment. Remove excess lubrication, paint and mortar droppings, and other foreign substances.
 - o. Clean plumbing fixtures to a sanitary condition, free of stains, including stains resulting from water exposure.
 - p. Replace disposable air filters and clean permanent air filters. Clean exposed surfaces of diffusers, registers, and grills.
 - q. Clean ducts, blowers, and coils if units were operated without filters during construction.
 - r. Clean food-service equipment to a sanitary condition, ready and acceptable for its intended use.
 - s. Clean light fixtures, lamps, globes, and reflectors to function with full efficiency. Replace burned-out bulbs and defective and noisy starters in fluorescent and mercury vapor fixtures.
 - t. Leave the Project clean and ready for occupancy.
- C. Pest Control: Engage an experienced, licensed exterminator to make a final inspection and rid the Project of rodents, insects, and other pests. **<DELETE IF NOT APPLICABLE TO PARTICULAR PROJECT>**
- D. Removal of Protection: Remove temporary protection and facilities installed for protection of the Work during construction. **<DELETE IF NOT APPLICABLE TO PARTICULAR PROJECT>**
- E. Compliance: Comply with regulations of authorities having jurisdiction and safety standards for cleaning. Do not burn waste materials. Do not bury debris or excess materials on the University's property. Do not discharge volatile, harmful, or dangerous materials into drainage systems. Remove waste materials from the site and dispose of lawfully.
1. Where extra materials of value remain after completion of associated Work, they become the University's property. Dispose of these materials as directed by the University.

END OF SECTION 017000