**XX Project Close-Out (2.5.2013 NMilstein )**

**a) Operations & Maintenance manuals**

**What Is It?**

* Documents provided by the contractor for all equipment purchased/installed during construction

**Who Is Involved?**

* Contractor
* Sub-contractors
* WSU Project Manager

**How/Process**

* Contractor collects all information from sub-contractors and organizes into Project closeout binders (3 copies). Binders are submitted to A/E for review. Completed Binders are a requirement of release of final retainage payment.

**Checklist**

**Timeline Considerations**

* O & M Manuals are typically submitted at the end of the project when installation and training is complete.

**Forms**

* None

**Filing**

* Completed closeout binders are given to the Archivist who transmits copies to Operations for their use and files a copy for our files.

**b) Certificate of Substantial Completion**

**What Is It?**

* Complete by the A/E ( AIA form) or by WSU Project Manager if there is not A/E. This document begins the warranty period and signifies ownership of the project by WSU. This includes WSU responsibility for insurance of the project and the end of the contractor responsibility for the project/insurance with the exception of punchlist items to be completed.

**Who Is Involved?**

* A/E typically issues certificate of substantial complete, often accompanied by the punchlist which is used to quantify/identify the contractor’s remaining tasks.
* General Contractor
* Sub-contractors
* PM
* Architect & engineer
* Archivist

**How/Process**

* Form to be completed by A/E (AIA format) or WSU Project manager (WSU template)
* Project closeout is the process whereby the project manager confirms that all work has been completed by the contractor, all final payments are made, all documentation, warranties, waivers, training etc., have been received and the appropriate parties are notified that the financial accounts may be closed out

**Checklist**

* Indicate work that remains to be completed by listing or attaching the punchlist.
* Indicate date of Substantial Completion.

**Timeline Considerations**

* Substantial Completion is the date when the user may occupy the space and begins the warranty period. This date must be determined using some consideration and is often the date that the Fire Marshal determines the space may be occupied Absent a Fire Marshal inspection, the PM and A/E should determine an appropriate date.

**Forms**

* AIA form Certificate of Substantial complete (completed by the A/E)
* Contractor evaluation?
* WSU Certificate of Substantial Completion
* AIA Certificate of Substantial Completion

**Filing**

1. **Attic Stock**
2. **Video Training**
3. **Testing and Inspections**
4. **Warranties**
5. **Project Turn-over to Plant Operations**
6. **Contractor Evaluation / A/E Evaluation**
7. **PTS Closeout**
8. **Turning finish information over to Planning/Senior Director etc for future reference ( finish materials , changes to design standards)**
9. **“Post Mortem” evaluation of project**
10. **Update background drawings/space management information**

Checklist:

Contractor is Responsible to submit the following:

|  |  |  |  |
| --- | --- | --- | --- |
|  | **CONTRACTOR - CLOSEOUT BINDER TABS** | Electronic | Hard copy |
|  | ***Itemized*** transmittal from General Contractor |  | 3 |
| 1 | Record Drawings/ As-Builts |  | 3 |
| 2 | Record Specifications |  | 3 |
| 3 | Contract |  | 3 |
| 4 | Change Orders & backup docs |  | 3 |
| 5 | Certificate of Substantial Completion |  | 3 |
| 6 | Punchlist & Punchlist Completion sign-off from A/E |  | 3 |
| 7 | Emergency Contact List |  | 3 |
| 8 | List of all Sub-Contractors |  | 3 |
| 9 | Permits, Certificates of Inspection/Acceptance, Occupancy Permit |  | 3 |
| 10 | Warranties |  | 3 |
| 11 | Field Test Records, Commissioning Records |  | 3 |
| 12 | Final Submittal/Shop Drawing Log |  | 3 |
| 13 | Reviewed/Approved Shop Drawings |  | 3 |
| 14 | RFI Log and copy of all RFIs |  | 3 |
| 15 | Attic Stock/Spare Parts - log and sign & off from WSU staff |  | 3 |
| 16 | O & M Manuals |  | 3 |
| 17 | Training/Orientation - sign-in sheets, information meeting mins |  | 3 |
| 18 | Notification of Final Completion and Request for Final Inspection |  | 3 |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  | **AE Documents** |  |  |
|  | Record drawings | Live electronic format (.dwg) | 1 |
|  | Record Specifications | live electronic format | 1 |
|  | Copy of all Bulletins, ASI, etc | live electronic format | 1 |

**Project Close-Out Check list**This check list is meant to help you complete all the tasks required at the end of a project within the time frames set out by policy. It is separated into 3 categories, one that the PM completes, one that the supervisor and the PM complete and one that Business Services completes.

**Project Manager:**Fill out one per project with project information requested. Date and initial as the items below are accomplished.

SUBSTANTIALY COMPLETE  
Record the date that the project achieves substantial completion on the left side of the form. In order to determine when all your close out activities should be finished estimate the dates by recording the date 30 days from Substantial completion on the right side under the estimated date on the Final Completion row. Near the bottom of the form record the date 90 working days from substantial completion on the right side under the estimated date on the Plant Fund Closure row.

FINAL COMPLETION  
is achieved when the construction including the punch list is completed. You start receiving the documentation listed on the form from the contractor and the design consultant.

SUBMIT AS-BUILTS and O&M MANUALS  
A transmittal listing all the documents being turned over to Plant Operations and Maintenance must be ***signed*** by the Senior Director of Plant Operations. If the project was a deferred maintenance project be sure to discuss any outstanding items or items of concern from PO&M at a close out meeting. If there is contingency and the AVP agrees to the spending then complete issue raised by PO&M. If items were not completed due to budget inform PO&M and the deferred maintenance planners so the projects can be placed on the running list of projects.

SUBMIT ELECTRONIC DOCUMENTS TO:  
Archivist – Turn over to the Archivist the ACAD documents from the architect. This will include electronic documents and possibly a hardcopy As-Built from the contractor.

C&IT – If your project installed new fiber or relocated the existing fiber on campus submit with a transmittal which must be ***signed*** by Computer and Information Technology (C&IT).

SPACE MANAGER – Notify the space manager when the electronic documents have been submitted to the Archivist and turn over the customer contact name and information as well as the room uses (offices, storage, conference, lab etc.) for the space renovated or built by the project. The space manager will input the data into the Archibus space management system.

VERIFY ALL FINAL INVOICES PROCESSED  
Motivate the vendors to submit their invoices for payment. When working with a preferred design consultant be sure to evaluate the final construction cost and the fees and adjust accordingly. The student assistants can help track this paperwork down.

LIQUIDATE ALL ENCUMBERED BALANCES  
Once all invoices have been paid, if encumbered balances exist print a copy of the Plant Fund Status Sheet and mark the sum to be liquidated. Initial, date and turn in to Business Services. The student assistants can help with this paperwork.

RECONCILE FINANACIAL SUMMARY  
Be sure to reconcile the financial summary with the updated plant fund summary once all the invoices are paid and the liquidated balances have been adjusted. This will determine the amount of money to be returned to the funding source. The student assistants can help with this paperwork.

EMAIL BUSINESS SERVICES REGARDING BALANCE RETURNED  
If the balance being returned is greater than or equal to 20% of the total original budget send an email to Business Services explaining why. Talk to you supervisor if needed.

CLOSE FO FOR PM FEES  
PM fees are submitted monthly however due to the billing cycle in Business Services and Fiscal Operations they are not posted on the plant fund status sheet until two months after they are recorded. (ie. January PM fees will show up on the PFA status sheet in March.) Do not charge time for completing close out activities or the PFA closure will be delayed. On the line *Last day fees were charged* record on the line to the right the date that this occurred. This will help us calculate when the paperwork can be submitted to Business Services to be closed.

PLANT FUND CLOSURE  
Sign the petition to close and submit with the check list to your supervisor.

REVIEW PAPERWORK WITH SUPERVISOR  
Supervisor to submit paperwork to Business Services after final PM fees are billed. PM to change the Status of the PTS project to “Account to be Closed.”

BUSINESS SERVICES   
Business services will verify liquidations, PM fees, and once completed will submit Petition to AVP for signature. The AVP will sign and return to Business Services. The account will then be closed. The PTS status will be changed by Business Services to Plant fund closed and the project will be made inactive. Business Services will issue the Memo to Fiscal Operations to close the account and send a copy to D&CS.