

SECTION 01700 - RECORD DOCUMENTS & CLOSEOUT PROCEDURES

PART 1 - GENERAL

1.1 DESCRIPTION OF REQUIREMENTS

Definition. Closeout is defined to include general requirements near end of Contract Time, in preparation for final acceptance, final payment, normal termination of contract, occupancy by OWNER and similar actions evidencing completion of the work. Specific requirements for individual units of work are specified in sections of Divisions 2 through 16. Time of closeout is directly related to "Substantial Completion", and therefore may be either a single time period for entire work or a series of time periods for individual parts of the work that have been certified as substantially complete at different dates. That time variation (if any) shall be applicable to other provisions of this section.

1.2 CLOSEOUT SUBMITTALS

When the ENGINEER finds that the work is acceptable under the Contract Documents, they shall request the CONTRACTOR to make closeout submittals.

The Contractor's closeout submittals shall include:

1. Evidence of compliance with requirements of governing authorities.
2. Project Record Documents. The documents shall be submitted as described in section 1.3.
3. Tests and Balance Reports
4. Operating and Maintenance Data, Instructions to Owner's Personnel.
5. Warranties and Bonds.
6. Keys and Keying Schedule.
7. Spare Parts and Maintenance Materials.
8. Evidence of Payment and Release of Liens.
9. Certificate of Insurance for Products and Completed Operations.

1.3 RECORD DOCUMENTS

General: The general submittal requirements are indicated in Section 01300. Do not use record documents for construction purposes; protect from deterioration and loss in a secure fire-resistive location; provide access to record documents for the City's inspection during normal working hours.

Record Drawings: Final record drawings are to be prepared by contractor. The contractor is to maintain a record of new information which is recognized to be of importance to the Owner, but was for some reason not shown on either the contract drawings or shop drawings. Give particular attention to concealed work, which would be difficult to measure and record at a later date. Note related change order numbers where applicable. This information is to be provided by contractor for incorporation into the final set of as-built drawings. As-Built or changed information can be indicated by red-line /clouding of bid set drawings. Record drawings shall be provided in their final form and certified by contractor statement as to correctness. One (1) paper plan set and one (1) electronic copy of final record in a format version deemed acceptable by The City are to be submitted

The Contractor will be held responsible for the accuracy of such data and shall bear any costs incurred in finding utilities as a result of incorrect data furnished by the Contractor.

Documents and samples shall be stored in the Contractor's field office apart from documents used for construction. The CONTRACTOR shall provide files and racks for storage of documents, and a locked cabinet or secure storage space for storage of samples.

Documents shall be maintained in a clean, dry, legible condition and in good order. Record documents shall not be used for construction purposes.

Each document shall be labeled "PROJECT RECORD" in neat, large printed letters.

Information shall be recorded concurrently with construction progress.

No work shall be concealed until required information is recorded.

Specifications and Addenda shall have each section legibly marked to record: manufacturer, trade name, catalog number, and supplier of each product and item of equipment actually installed; and changes made by Field Order or by Change Order.

At contract closeout Record Documents shall be delivered to the ENGINEER for the OWNER. The submittal shall be accompanied with a transmittal letter in duplicate, containing:

1. Date
2. Project title and number
3. Contractor's name and address
4. Title and number of each Record Document
5. Signature of CONTRACTOR or his authorized representative

1.4 OPERATION AND MAINTENANCE

Operating and Maintenance Data. The CONTRACTOR shall compile product data and related information appropriate for Owner's maintenance and operation of items furnished under the Contract. He shall instruct Owner's personnel in the maintenance and operation of equipment and systems.

Prior to the installation of any item of equipment, operation and maintenance data shall be submitted. Submittal shall be in seven copies in addition to any copies the CONTRACTOR desires returned to him and shall be in addition to the shop drawing submittals.

The submittals shall include but not necessarily be limited to:

1. Manufacturer's specifications.
2. Directions and instructions relating to assembly, installation, operation and maintenance.
3. Control and instrumentation system schematic drawings.
4. Parts list with catalog numbers and other data necessary for ordering replacements.

Operation and maintenance data shall be submitted for each item of equipment, instrumentation and controls for which shop drawing submittals are required.

Spare Parts and Maintenance Materials. The CONTRACTOR shall submit as specified in the individual sections all spare parts and maintenance materials. Such items shall be neatly and safely packaged and conspicuously labeled, in neat, large printed letters as to each packages' content.

In specification sections where various equipment components require different or multiple spare parts, these spare parts shall be packaged separately and labeled accordingly.

1.5 WARRANTIES AND BONDS

The CONTRACTOR shall compile and submit to the ENGINEER in duplicate, for review and transmittal to the OWNER, warranties, bonds, service and maintenance contracts as specified in the respective sections of Specifications. Submittal shall be made within ten days after Substantial Completion and prior to final request for payment.

1.6 FINAL STATEMENT OF ACCOUNTING

The CONTRACTOR shall submit a final statement of accounting to the ENGINEER. The statement shall reflect all adjustments to the Contract Sum:

1. The original Contract Sum
2. Additions and deductions resulting from:
 - Previous Change Orders
 - Allowances
 - Unit Prices
 - Deductions for uncorrected work
 - Penalties and Bonuses
 - Deductions for liquidated damages
 - Deductions for reinspection payments
 - Other adjustments
3. Total Contract Sum, as adjusted
4. Previous payments
5. Sum remaining due

1.7 FINAL CHANGE ORDER

The ENGINEER will prepare a final Change Order, reflecting approved adjustments to the Contract Sum which were not previously made by Change Orders.

1.8 FINAL APPLICATION FOR PAYMENT

The CONTRACTOR shall submit the final Application for Payment in accordance with procedures and requirements stated in the Conditions of the Contract.

1.9 FINAL CLEANING:

General: Provide final cleaning of the work, at the time indicated, consisting of cleaning each surface or unit of work to the normal "clean" condition expected for a first-class building cleaning and maintenance program. Comply with manufacturers' instructions for cleaning operations. The following are examples, but not by way of limitation, of the cleaning levels required.

Remove labels which are not required as permanent labels.

Wipe surfaces of mechanical and electrical equipment clean, remove excess lubrication and other substances.

Clean concrete floors in non-occupied spaces broom clean.

Clean project site (yard and grounds), including landscape, development areas, of litter and foreign substances. Sweep paved areas to a broom-clean condition; remove stains, petrochemical spills and other foreign deposits. Rake grounds that are neither planted nor paved, to a smooth even-textured surface.

1.10 REMOVAL OF PROTECTION:

Except as otherwise indicated or requested by the OWNER, remove temporary protection devices and facilities which were installed during the course of the work to protect previously completed work during the remainder of the construction period.

1.11 COMPLIANCY:

Comply with safety standards and governing regulations for cleaning operations. Do not burn waste materials at the site, or bury debris or excess materials on the OWNER's property, or discharge volatile or other harmful or dangerous materials into drainage systems; remove waste materials from the site and dispose of in a lawful manner.

Where extra materials of value remaining after completion of the associated work have become the OWNER's property, dispose or store at the site as directed by the OWNER.

END OF SECTION