

<b>SUBJECT:</b> Substantial and Final Completion	<b>Effective Date:</b> 10/31/16	<b>Procedure Number:</b> FS 2016 FS0021	
	<b>Supersedes:</b>	<b>Page</b> 1	<b>Of</b> 4
	<b>Responsible Authority:</b> Associate Vice President, Administration and Finance (Facilities & Safety)		

**APPLICABILITY/ACCOUNTABILITY:**

This procedure applies to all projects requiring a Certificate of Occupancy (CO), as determined by the UCF Building Code Official. This procedure does NOT apply to projects requiring a Certificate of Completion (CC).

**PROCEDURE STATEMENT:**

UCF Project Managers (PMs) will use checklists and approval forms to confirm that all appropriate actions have been completed and documents have been provided to UCF prior to a project receiving Substantial or Final Completion status.

**DEFINITIONS:**

Certificate of Completion (CC): A Certificate issued by the Building Code Official stating that the project is complete. This is generally used for small projects without a change in occupancy. The Building Code Official will determine if a CO or CC is required for each project at the time that a building permit is issued for the project. This procedure does NOT apply to projects requiring a Certificate of Completion.

Certificate of Occupancy (CO): a Certificate issued by the Building Code Official stating that the Owner can occupy a project. Once a CO is issued, the Owner can move into the building, and all utility costs will be transferred to the Owner. This is generally used for large projects with a change in occupancy. The Building Code Official will determine if a CO or CC is required for each project at the time that a building permit is issued for the project.

Final Completion: “Final Completion” of the Work shall be achieved once (a) the Work passes a Final Completion inspection, and (b) the Construction Manager has produced all required Final Completion close-out documentation and items.

Substantial Completion: Substantial Completion of the Work shall be achieved when the Work has been completed to the point where the Owner can lawfully occupy or utilize the Work for its

intended purpose under a Certificate of Occupancy or Temporary Certificate of Occupancy (with conditions acceptable to the Owner in its sole discretion) or their equivalent. The Professional shall certify the date Substantial Completion of the Work is achieved.

Temporary Certificate of Occupancy (TCO): a temporary certificate issued by the Building Code Official stating that the Owner can occupy a project, based on specific conditions. These conditions cannot include any outstanding life safety items. The issuance of TCOs requires substantial justification and must be approved by the Associate Vice President of Administration and Finance (Facilities & Safety). TCOs will only be granted under extreme circumstances.

## **PROCEDURES:**

### Substantial Completion:

1. The UCF PM will use the Substantial Completion Checklist to ensure that all actions related to this project milestone have been documented and completed.
2. The UCF PM will collect the required information in a packet throughout the project and check off items as they are completed.
3. The UCF PM will hold a meeting with the Contractor prior to Substantial Completion (occupancy) to review and discuss the required documentation. The UCF PM will remind the Contractor that all documentation must be provided in the format and quantities cited in the contract, as well as in electronic format (Word, Excel, pdf, rvt, etc.)
4. The UCF PM will invite representatives from Facilities Planning and Construction, Utilities and Energy Services, Facilities Operations, Environmental Health and Safety, Landscape and Natural Resources, Quality Management and Improvement, Computer Services and Technology, Office of Instructional Resources, the Architect of Record, and the UCF end user to develop the building's punch list. These groups do not all have to be at the same walk-through, but do have to have the opportunity to contribute to the punch list in the time frame provided by the UCF PM. The UCF PM maintains the punch list and status.
5. When all requirements on the checklist have been completed, the UCF PM will obtain approvals listed on the Substantial Completion Approval Form. These approvals can be obtained by holding a meeting to review the documents, or by hand-walking the approval form and documents to each authority for signature.
6. The Facilities and Safety (F&S) directors will check "Approved" or "Disapproved." If disapproved, the director must explain the additional information needed from the UCF PM to grant approval.
7. Upon obtaining all approvals, the UCF PM will inform the Contractor that he or she may apply for a Certificate of Occupancy from the UCF Building Code Office.

8. If all items on the Substantial Completion Checklist are not complete, the Contractor may apply for a Temporary Certificate of Occupancy. The UCF PM will obtain all appropriate Substantial Completion approvals and the approval of the Associate Vice President for Administration and Finance (Facilities and Safety). A TCO will only be granted under extreme circumstances, with substantial justification.
9. The UCF PM will retain the Substantial Completion Checklist Form, the Substantial Completion Approval Form, and all supporting documentation in the project files.

**Final Completion:**

1. The UCF PM will use the Final Completion Checklist to ensure that all actions related to this project milestone have been completed.
2. The UCF PM will collect the required information in a packet throughout the project and check off items as they are completed.
3. The UCF PM will hold a meeting with the Contractor prior to Final Completion to review and discuss the required documentation. The UCF PM will remind the Contractor that all documentation must be provided in the format and quantities cited in the contract, as well as in electronic format (Word, Excel, pdf, rvt, etc.)
4. When all requirements on the checklist have been completed, the UCF PM will obtain approvals listed on the Final Completion Approval Form. These approvals can be obtained by holding a meeting to review the documents, or by hand-walking the approval form and documents to each authority for signature.
5. The F&S directors will check “Approved” or “Disapproved.” If disapproved, the director must explain the additional information needed from the UCF PM to grant approval.
6. The UCF PM will coordinate final paperwork with the F&S Business Office in order to close out the project. This includes collection of all copies of lien waivers/releases from all subcontractors, and any other contracted close-out requirements.
7. The Contractor will submit a deductive change order to the UCF PM to reconcile project accounting.
8. The UCF PM will inform the Contractor that Final Completion has been approved and the Contractor is permitted to invoice for final project retainage. The Final Payment Application must be submitted within 30 days of Final Completion Approval, or as defined in the construction contract.
9. The UCF PM will retain the Final Completion Checklist Form, the Final Completion Approval Form, and all supporting documentation in the project files.

**RELATED DOCUMENTS:**

Substantial Completion Checklist:

<http://fp.ucf.edu/sites/default/files/forms/Substantial%20Completion%20Checklist.pdf>

Substantial Completion Approval Form:

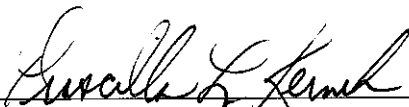
<http://fp.ucf.edu/sites/default/files/forms/Substantial%20Completion%20Approval%20Form.pdf>

Final Completion Checklist:

<http://fp.ucf.edu/sites/default/files/forms/Final%20Completion%20Checklist.pdf>

Final Completion Approval Form:

<http://fp.ucf.edu/sites/default/files/forms/Final%20Completion%20Approval%20Form.pdf>

Approved By:	Date Approved:
 Priscilla L. Kernek Associate Vice President Administration and Finance Facilities and Safety	12/31/14

## SUBSTANTIAL COMPLETION CHECKLIST (PAGE 1 OF 2)

Project Description: \_\_\_\_\_  
Date of Completion: \_\_\_\_\_  
Project Manager: \_\_\_\_\_

Project Number: \_\_\_\_\_  
Permit Number: \_\_\_\_\_  
Phone Number: \_\_\_\_\_

**The following checklist requirements must be completed prior to Substantial Completion:**

- | Incl                     | N/A                      |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. The entire facility can be occupied and used for the purposes intended. <i>Include a copy of the Architect of Record's Substantial Completion Certificate.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. All building inspections for code compliance have been completed and passed. State Fire Marshal Life Safety inspections (where applicable) have been completed and passed. The testing of all life safety systems (Fire Alarm, Sprinkler, Generator (if applicable), Fire Pump, and Indoor Emergency Notification System) is complete. <i>Include a letter from the Contractor indicating which inspections were passed and on what dates they were passed. These include MEP inspections, SFM inspections, the final building inspection, and any other inspections deemed necessary by the UCF Building Code Official.</i> |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Elevator inspections have passed and certificates have been issued. <i>Include a letter from the Contractor, indicating which inspections were passed and on what dates they were passed.</i>  |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. The HVAC system and the Building Automation Systems (BAS) are complete and have been approved by the Engineer of Record and Commissioning Agent. <i>Include a letter from the Engineer of Record and the Commissioning Agent, indicating that HVAC systems and BAS systems are complete.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. The Test and Balance report has been completed and submitted to the Engineer of Record for approval. <i>Include a letter or email from the Engineer, confirming that he or she has received the initial Test and Balance Report.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. The As-Built Set of documents has been provided by the Contractor to the Architect/Engineer (A/E) for production of the final Record Set of documents. <i>Include a letter or email from the A/E, indicating that he or she has received the Contractor's As-Built Set and has begun the creation of the Record Set.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. Draft Operations and Maintenance (O&M) Manuals have been provided to UCF. <i>The UCF PM will confirm receipt of O&amp;M Manuals and that they have been turned over to Facilities Operations for review.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. Draft warranties have been provided to the Owner for review and acceptance of terms. <i>Include a letter from the Contractor listing all draft warranties provided to UCF for review. The UCF PM will confirm receipt of draft warranties.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. All training required by the Contract has been completed. <i>Include a letter or email from the Contractor, indicating what training was performed. Include sign-in sheets for all training, indicating attendance by UCF personnel.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. All lock cores have been changed from the construction master to University cores. <i>Include a letter or email from the UCF Locksmith, confirming that the change-out of lock cores is complete.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. The final building cleaning has been completed by the Contractor. <i>The UCF PM will confirm that the final building cleaning has been completed to the UCF PM's and UCF end user's satisfaction.</i>   |

## SUBSTANTIAL COMPLETION CHECKLIST (PAGE 2 OF 2)

Incl N/A

- 12. Arc Flash calculations have been completed and labels have been installed. *Include a letter from the Engineer of Record or Commissioning Agent, verifying that Arc Flash calculations have been completed and labels have been installed.*
  
- 13. The Building Insurance Information Form has been provided to Environmental Health and Safety (EH&S). *The UCF PM will confirm that the Building Insurance Information Form has been submitted to the EH&S Insurance Coordinator. Include a copy of the form for reference.*
  
- 14. Building commissioning is complete for laboratory-type buildings with 100% outside air. Commissioning is 90% complete for buildings without laboratories, as agreed to by the Owner. *Include a letter from the Commissioning Agent, confirming this requirement has been met.*
  
- 15. Threshold Inspection and Materials Testing is complete. *Include a letter from the Threshold Engineer stating that the Threshold Inspection is complete to his or her satisfaction. Include a letter from the Contractor, listing all Materials Testing Reports that have been completed and provided to UCF.*
  
- 16. A letter has been received from the Building Envelope Consultant accepting that the roof and building envelope is complete as installed. *Include a letter from the Building Envelope Consultant, stating that the roof and building envelope is complete as installed and in compliance with the contract documents.*
  
- 17. Utility cost responsibility is ready to be transferred to the Owner. *Include a letter or email from the Contractor, stating that the utility costs are ready to be transferred to UCF. Once the Certificate of Occupancy is issued, the UCF PM must coordinate with the Department of Utilities & Energy Services and the F&S Business Office to coordinate the final meter reading request and utility transfers.*
  
- 18. A punch list has been generated and can be completed within the time stipulated in the Contract. *Include a copy of the punch list.*
  
- 19. First floor elevation heights have been certified. *Include a letter from the Survey Company, confirming the elevation of all first floor entry/exit doors, and a letter from the Contractor, confirming that the elevations are installed in accordance with the contract documents.*
  
- 20. Lightning protection has been installed per the contract documents. *Include a letter or email from the Testing Agency, confirming that it has been contracted by the Contractor to certify the lightning protection system.*
  
- 21. All changes to construction documents throughout the project (RFIs, ASIs, etc.) must be approved by the Architects and Engineers of Record and submitted to the Building Code Office. *Include a signed and sealed letter(s) by the Architect and all Engineers.*
  
- 22. The draft asset information has been provided to Facilities Operations for implementation into the CMMS database. *Include correspondence from Facilities Operations confirming receipt of the draft asset information.*

UCF Project Manager: \_\_\_\_\_

Date: \_\_\_\_\_

**SUBSTANTIAL COMPLETION APPROVAL FORM**

Project Description: \_\_\_\_\_  
 Date of Completion: \_\_\_\_\_  
 Project Manager: \_\_\_\_\_

Project Number: \_\_\_\_\_  
 Permit Number: \_\_\_\_\_  
 Phone Number: \_\_\_\_\_

Department	Date	Approval Status		Printed/Signature
		Approved	Disapproved	
UCF Project Manager				
Architect of Record				
Utilities & Energy Services (UES) Director				
Environmental Health & Safety (EH&S) Director				
Facilities Planning & Construction (FP&C) Director				

## FINAL COMPLETION CHECKLIST

Project Description: \_\_\_\_\_  
Date of Completion: \_\_\_\_\_  
Project Manager: \_\_\_\_\_

Project Number: \_\_\_\_\_  
Permit Number: \_\_\_\_\_  
Phone Number: \_\_\_\_\_

### The following checklist requirements must be completed prior to Final Completion:

- | Incl                     | N/A                      |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. The Final Test and Balance has been completed and approved by the Engineer of Record and the Commissioning Agent. <i>Include a letter or email from the Engineer and Commissioning Agent, confirming that the final Test and Balance is complete.</i>  |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. UCF has received the final As-Built Set Form from the Contractor and the final Record Set from the Architect. <i>The UCF PM will confirm receipt of the As-Built and Record Sets, and that they have been provided to the Facilities Planning and Construction Document Control Specialist for archiving.</i>  |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Final O&M Manuals have been provided to UCF. <i>The Contractor will provide final O&amp;M Manuals to the UCF PM. The Contractor will provide a letter listing all O&amp;M Manuals to the UCF PM. The UCF PM will confirm receipt of the Owner's O&amp;M Manuals, and that they have been provided to Facilities Operations.</i>  |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Building Commissioning is 100% complete. <i>Include a letter from the Commissioning Agent, confirming this requirement has been met.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. All punch list items have been completed. <i>The UCF PM will confirm that all Substantial Completion punch list items have been completed.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. Warranties must reflect the Substantial Completion date and have original notarized signatures by an authorized representative of the company providing the respective warranties. <i>The Contractor will provide a letter listing all final warranties provided to the UCF PM. The UCF PM will confirm that he or she has provided these warranties to Facilities Operations.</i> |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. All Final Completion terms of the contract have been met. <i>The UCF PM will confirm that this requirement has been met.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. For LEED projects, LEED design and construction reviews have begun by the USGBC. <i>The UCF PM will verify with the party responsible for LEED administration that the LEED design and construction reviews have begun.</i>  |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. The Contractor will return construction staging area(s) to a clean and aesthetically pleasing condition, including the removal of all project-related material and equipment. <i>The UCF PM will confirm that this requirement has been met.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. The final asset information has been provided to Facilities Operations for implementation into the CMMS database. <i>Include correspondence from Facilities Operations confirming receipt of the final asset information.</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. The UCF PM will inform the WCC that the project has been completed and that the contractor's access to a GGM through TRAKA should be rescinded.   |

UCF Project Manager: \_\_\_\_\_

*Print/Signature*

Date: \_\_\_\_\_



## FINAL COMPLETION APPROVAL FORM

Project Description: \_\_\_\_\_  
 Date of Completion: \_\_\_\_\_  
 Project Manager: \_\_\_\_\_

Project Number: \_\_\_\_\_  
 Permit Number: \_\_\_\_\_  
 Phone Number: \_\_\_\_\_

Department	Date	Approval Status		Printed/Signature
		Approved	Disapproved	
Architect of Record				
Utilities & Energy Services (UES) Director				
Security & Emergency Management (SEM) Director				
Environmental Health & Safety (EH&S) Director				
EH&S Insurance Coordinator				
Facilities Operations (FO) Director				
Landscape & Natural Resources (LNR) Director				
Deputy Chief of Police				
Resource Management (RM) Director				
Quality Management and Improvement (QM&I) Director				

**Final Signatures:**

Facilities Planning & Construction (FPC) Director				
Building Code Official				
AVP F&S				