

SUBJECT: Substantial and Final Completion	Effective Date: 9/23/19	Procedure Number: FS 2016 FS0021	
	Supersedes:	Page 1	Of 5
	Responsible Authority: 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 (BCO). This procedure does NOT apply to projects requiring a Certificate of Completion (CC).

PROCEDURE STATEMENT:

UCF Project Managers (PMs) shall use the checklists and approval forms referenced herein 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:

Architect/Engineer’s Certificate of Substantial Completion: A Certificate issued by the Architect/Engineer stating that a project is sufficiently complete, in accordance with the contract documents, so that the Owner may use or occupy the building project or designated portion thereof for its intended purpose. This is an industry standard Certificate document provided by the Architect/Engineer, and is separate from Owner’s Substantial Completion Requirements.

Certificate of Completion (CC): A Certificate issued by the BCO stating that the project meets Florida Building Code compliance. This is generally used for small projects without a change in occupancy. The BCO shall 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 BCO stating that the Owner can occupy a project. This is generally used for large projects with a change in occupancy. The

BCO shall 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: Project milestone indicating that the Owner deems the project to be finally complete for payment purposes. Items required to achieve Final Completion are defined in the contract, which typically refers to the Final Completion checklist included with this procedure.

Owner's Substantial Completion: Project milestone indicating that the Owner deems the project to be substantially complete for warranty purposes and retainage reduction. Items required to achieve Owner's Substantial Completion are defined in the contract, which typically refers to the Owner's Substantial Completion checklist included with this procedure.

Substantial Completion: The stage in the progress of the Work when the Work or designated portion thereof is sufficiently complete in accordance with the Contract Documents so that the Owner can occupy or utilize the Work for its intended use (AIA 9.8.1). This milestone is complete when the Architect issues a Certificate of Substantial Completion.

Temporary Certificate of Occupancy (TCO): A temporary certificate issued by the BCO stating that the Owner can occupy a project, based on specific conditions, which cannot include any outstanding life safety items. The issuance of a TCO requires a zero-cost change order that must be approved by the Associate Vice President for Administration and Finance (Facilities & Safety). TCOs will only be granted under extreme circumstances.

PROCEDURES:

Contractor:

1. Upon completion of permitted work, the Contractor will request a CO from the BCO, via the PM.
2. If all permitted work is not completed, the contractor may apply for a TCO, with the concurrence of the PM. A TCO shall only be granted under extreme circumstances. The Contractor will submit a zero-cost change order and include at a minimum:
 - a. A list of permitted work remaining with schedule dates for completion of each outstanding item.
 - b. A list of incomplete Substantial Completion Checklist items and contractual completion dates.
 - c. Monthly utility costs and a plan for how costs will be paid or shared. Note: Coordination with UCF Utilities & Energy Services (UES) is required.
 - d. An energy statement noting the energy use expected performance versus optimum performance and the expected date for achieving optimum performance.

- e. Training status, including training completed, with dates, and a training schedule for pending training.
- f. A written notice from the Contractor accepting all responsibility to repair and maintenance of systems until the systems are performing optimally and training is completed.

Architect/Engineer/UES:

1. Upon completion of permitted work, the A/E will submit approval of the preliminary commissioning report to UES.
2. UES will submit the approval letter to the PM and the BCO.
3. If UES is the commissioning agency, then UES will create and submit the approval letter to the PM and the BCO.

Owner Substantial Completion:

1. The UCF PM shall hold a construction close-out meeting to discuss and document readiness for Substantial Completion. An agenda, attendance sheet, and meeting minutes will be added to the project documentation.
2. The UCF PM shall use the Substantial Completion Checklist to ensure that all actions related to this project milestone have been documented and completed.
3. The UCF PM shall collect the required information throughout the project and check off items completed on the Substantial Completion Checklist.
4. The UCF PM shall hold a meeting with the Contractor prior to Substantial Completion to review and discuss the required documentation. The PM shall 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.)
5. The UCF PM shall invite representatives from Facilities Planning and Construction (FP&C), Utilities and Energy Services (UES), Facilities Operations (FO), Environmental Health and Safety (EH&S), Landscape and Natural Resources (LNR), 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.
6. When all requirements on the checklist have been completed, the UCF PM shall obtain the approvals listed on the Substantial Completion Approval Form. The Facilities and Safety (F&S) directors shall check "Approved" or "Disapproved". If disapproved, the director must explain the additional information needed from the UCF PM to grant approval.

7. The UCF PM shall obtain Substantial Completion approval from the Associate Vice President for Administration and Finance (Facilities and Safety).
8. The UCF PM shall retain the completed Substantial Completion Checklist Form, the Substantial Completion Approval Form, and all supporting documentation in the project files.

Final Completion:

1. The UCF PM shall use the Final Completion Checklist to ensure that all actions related to this project milestone have been completed. The PM will add the zero-cost change order actions to the Final Completion Checklist for projects that received a TCO before receiving CO.
2. The UCF PM shall collect the required information throughout the project and check off items completed on the Final Completion Checklist.
3. The UCF PM shall hold a meeting with the Contractor prior to Final Completion to review and discuss the required documentation. The UCF PM shall 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 shall obtain approvals listed on the Final Completion Approval Form. The F&S directors shall check "Approved" or "Disapproved." If disapproved, the director must explain the additional information needed from the UCF PM to grant approval.
5. The UCF PM shall 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.
6. The Contractor shall submit a deductive change order to the UCF PM to reconcile project accounting.
7. The UCF PM shall 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.
8. The UCF PM shall retain the Final Completion Checklist Form, the Final Completion Approval Form, and all supporting documentation in the project files.

RELATED DOCUMENTS:

American Institute of Architects (AIA), Section A.9.8.1: www.aia.org

Owner’s Substantial Completion Checklist: <http://fp.ucf.edu/wp-content/uploads/forms/Completion%20Forms/Owners%20Substantial%20Completion%20Checklist.pdf>

Owner’s Substantial Completion Approval Form: <http://fp.ucf.edu/wp-content/uploads/forms/Completion%20Forms/Owners%20Substantial%20Completion%20Approval%20Form.pdf>

Owner’s Final Completion Checklist: <http://fp.ucf.edu/wp-content/uploads/forms/Completion%20Forms/Owners%20Final%20Completion%20Checklist.pdf>

Owner’s Final Completion Approval Form: <http://fp.ucf.edu/wp-content/uploads/forms/Completion%20Forms/Owners%20Final%20Completion%20Approval%20Form.pdf>

Approved By:	Date Approved:
 <hr style="width: 80%; margin: 0 auto;"/> <p>Duane Siemen Interim Associate Vice President Administration and Finance Facilities and Safety</p>	<p>9/23/19</p> <hr style="width: 80%; margin: 0 auto;"/>

Revision Log

Version	Description of Changes	Date
0	Original approved	2016
1	Revised	8/29/18
2	Revised to match current operating practices	6/13/19
3	Minor revisions	8/6/19
4	Updated forms to new links	9/23/19