

SECTION 01770

CLOSEOUT AND TURNOVER PROCEDURES

PART 1 - GENERAL

1.1 SUMMARY:

- A. The General Conditions of the Construction Contract contain instructions and requirements of the Contractor, the Architect, and Stanford Hospital and School of Medicine for acceptance of the project. Stanford also has internal procedures for turning over the project to our Engineering & Maintenance Department (E&M). The Architect is responsible for including in the Specifications the obligations of the Contractor for an orderly acceptance and turnover. Included in which obligations are punch lists, “as-built” plans and specifications including CAD drawings (as per Maps & Records specifications), operating and maintenance manuals, and indoctrination of Stanford’s maintenance personnel.
- B. This document is intended to be used during the formulation process to identify costs that may or may not be associated with this procedure, and to identify to the contractor and subs exactly what is expected at turnover by SHC E&M Department.
- C. This procedure is to be reviewed again during substantial completion by the Owner, General Contractor, and a representative from the SHC E&M Department to ensure that reporting procedures have been followed and this document has been adhered to with all pertinent documentation recorded and submitted.

1.2 INDOCTRINATION OF MAINTENANCE PERSONNEL:

- A. Periodic Walk-Through during Construction: At various stages of construction, Maintenance personnel shall, as deemed necessary (and scheduled by E&M), meet with the Project Manager, General Contractor, and appropriate subcontractor foremen at the jobsite to observe portions of the project concerning their trades, and to familiarize themselves with construction details before they are closed in. During periodic walk-through’s, the Owners Representative will try to identify any areas that might be difficult to reach, or access after portions of the building are closed in; and other possible maintenance problems. A written Site Observation list from the E&M Shops personnel for corrections will be forwarded to the Owners Representative. These items are to be incorporated into the Project’s punch-list and addressed accordingly by the Project Manager / General Contractor through coordination by the Owners Rep. Items on this list will be restricted to Scope and Installation issues only and not be used to increase the scope of work of the contractor.
- B. Acceptance Walk Through: Prior to the Architect’s inspection, all appropriate departments (E&M, Building Maintenance, Grounds, Security, IT) shall have the

opportunity to review and approve or reject application by the Project Manager / General Contractor for substantial completion. After the Architect's inspection and walk-through for purposes of issuing a Certificate of Substantial Completion, an acceptance walk-through will be scheduled one week in advance by the Project Manager / General Contractor. The attendees will include but not be limited to: the Architect and Consultants; mechanical, plumbing, and electrical foremen; Project Superintendent, Project Manager, and Owners Representative. Copies of the operating manuals will be provided, and after the walk-through, assuming all parties are satisfied the work was completed as presented, a form letter addressed to Stanford Hospital and School of Medicine, will be presented, turning the building over to SHC/SOM. This "Form" shall have a specific date for the assumption of maintenance, with such exceptions as may noted in the Certificate of Substantial Completion.

1. In the event that a temporary or partial occupancy permit is issued by the county, (or city), prior to substantial completion, such documentation shall be attached to the substantial completion form for review by all parties.
- C. To aid SHC/SOM in the acceptance period, the Contact Specifications should provide for negotiated amount of training. This time would be utilized for each Foreman of the electrical, mechanical, and plumbing subcontractors to be made available to the SHC departments for further instruction (if necessary), so that subjects not fully covered in the formal acceptance walk-through may be discussed further.
- D. Documentation that all equipment to be maintained by SHC E&M is to be inventoried and entered into the SHC Maintenance Management System.

### 1.3 FORMAL NOTICE OF MAINTENANCE ASSUMPTION BY SHC/SOM:

- A. As mentioned above, a formal letter turning over maintenance to SHC E&M will be delivered either at the acceptance walk-through or within 10 working days.
- B. Additional Documentation on Turnover: In addition to the turnover letter and the operating manuals, the Owners Rep will provide Maps & Records with the following:
  1. Copy of Certificate of Substantial Completion and Punch List (showing exceptions if Contractor is to continue maintenance of specific systems).
  2. List of Project Managers / General Contractor and sub-contractors, with persons to contact, addresses, and phone numbers, including after-hours contacts.
  3. Notice of Completion, when issued
  4. Complete commissioning documentation, as required by the contract.

5. Warranties and as-built drawings and specifications, when received. The date of the Certificate of Substantial Completion establishes the start of the warranty period, with exceptions noted and estimated completion dates for exceptions, which is for one year unless otherwise stated in the Contract Documents. When the Notice of Completion is issued after elimination of the Punch List, SHC/SOM will know that the lien period will start when the Notice is formally recorded in the County Recorder's Office. If any punch list items not corrected are noted by the occupant or any SHC/SOM staff during this lien period, the Owners Rep will be notified promptly. However, it is the responsibility of the Owners Rep to insure timely completion of Punch List corrections.
    - a. Quarterly meeting are to be scheduled and attended by the Project Manager / General Contractor, Building Manager, and Owner Rep to discuss any on-going warranty issues.
  6. Completed Start-up / Check-out documentation, as required by the contract.
  7. Copy of the County (or City) Certificate of Occupancy
  8. As-built drawings and CADD are to be made available to SHC/SOM no later than 30 days after Turnover.
- C. Modification of Procedures on Small Projects: On small projects (minor remodeling, in-house design, etc.), the formal procedures outlined above may be too onerous. To streamline procedures, the Project Manager / General Contractor will discuss the turnover with the Owner Rep. They will then arrange for whatever walk-through or inspection is warranted, and sends a copy of the Notice of Completion, or Notice of Acceptance of Work, to SHC/SOM, which should serve as the document turning over the project to SHC/SOM.

#### 1.4 DEFICIENCIES:

- A. Design Deficiency Problems: In some cases, SHC/SOM will discover that the Building Occupant complaint relates neither to maintenance nor warranty deficiencies. The Reporting Trade from SHC E&M will then contact the Owners Rep, describe the problem, and recommend any improvements deemed necessary. If the problem is indeed a design deficiency, the Owners Rep will discuss the matter with the Building Occupant, the Architect/Engineer, and SHC E&M to determine a solution, if possible. Corrective work then will be performed by contract, negotiated or bid by the Owners Rep.
- B. Equipment Failure under Warranty: All equipment shall be assumed to be in prime operating condition upon turnover. SHC E&M will perform routine maintenance in accordance with the operation and maintenance manuals, with the first scheduled maintenance measured from the date of turnover. All equipment failures during the first

year of warranty are the responsibility of the Project Manager / General Contractor to arrange repair by the responsible subcontractor.

END OF SECTION