



Facilities Planning Policy & Procedure #13

TITLE **SUBSTANTIAL AND FINAL COMPLETION - MAJOR PROJECTS**

OBJECTIVE AND PURPOSE To allow proper review by appropriate University departments and ensure the work (building) is sufficiently complete in accordance with the Contract Documents so the Owner can occupy or utilize the work for its intended use in a timely manner.

RESPONSIBILITY **ACTION - SUBSTANTIAL COMPLETION**

- PROJECT MANAGER**
- ◆ Based on A/E recommendation, complete State Fire Marshal’s Office **Request for Building Site Inspection Form** PSG Exhibit 5. Transmit completed form to Facilities Planning Code Coordinator for processing.
 - ◆ Coordinate with all appropriate A/E, CM/GC and FAU EH&S personnel to be in attendance for State Fire Marshal inspection. Walkie Talkies must be provided by CM/GC or Facilities Planning.
 - ◆ Notify CM/GC to have all required NFPA forms and SFM approved Contract Documents on site for inspection date.
 - ◆ Seven (7) days prior to the A/E scheduled substantial completion inspection date, schedule University personnel for the walk through inspection. Departments shall include EH&S, Physical Plant, IRM, and Facilities Planning Engineering section.
 - ◆ Obtain all University personnel comments and SFM comments, transmit to A/E for inclusion in the A/E substantial completion punchlist University personnel written comments due to the Facilities Planning Coordinator within three (3) working days from the walk through.
 - ◆ Upon receipt of A/E substantial completion punchlist, distribute to EH&S, Physical Plant, Facilities Planning Engineering section, and IRM.
 - ◆ Review A/E (including University comments) substantial completion punchlist with the Directors of Environmental Health & Safety, Physical Plant and Information Resource Management (IRM). Obtain Director’s, or designee, signature of approval on the attached **Inter-Department Substantial Completion Form (Attachment A)**.
 - ◆ Obtain five (5) original **Certificates of Substantial Completion Form** and punchlist from the A/E
 - ◆ Attach the following documents to the original **Certificate of Substantial Completion Form**. Fire Marshal approval letter for occupancy, letter from HRS as required, **Inter-Departmental Substantial Completion Form (Attachment A)** and **A/E, CM/GC Asbestos Confirmation Forms (Attachments D&E)**. This package is then submitted to the Boca Raton Associate Director.
- ASSOCIATE DIRECTOR**
- ◆ Initial all (5) original **Certificates of Substantial Completion Forms** adjacent to signature line.

Issued By: Donaudy	Date Issued: 4/2001	Date Revised: 11/2004	Effective Date: 4/2001
APPROVED:	Vice President	Associate V.P.	Director

- ◆ Initiate **Florida Fire Insurance Trust Fund Coverage Request Form (Attachment “C”** for reference).
- ◆ Review the Substantial Completion Package for completeness. Submit to the Director of Facilities Planning for final signature.

DIRECTOR

- ◆ Sign all five (5) **Certificates of Substantial Completion Forms** and **Florida Fire Insurance Trust Fund Coverage Request Form (Attachment C)** and transmit to Administrative Office Coordinator.

**ADMINISTRATIVE
OFFICE
COORDINATOR**

- ◆ Transmit signed sets of Substantial Completion Package to FAU Office of the Controller, A/E, CM/GC, Physical Plant and project file.
- ◆ Transmit **Florida Fire Insurance Trust Fund Coverage Request Form (Attachment C)** to the Director of OSUA.

**DIRECTOR OF
OSUA**

- ◆ Transmit **Florida Fire Insurance Trust Fund Coverage Request Form (Attachment C)** to the FAU Assistant Controller and coordinate the information on the form as required.

ACTION – FINAL COMPLETION

**PROJECT
MANAGER**

- ◆ Ensure completion of all punch list items and schedule a final inspection.
- ◆ Assure receipt of Contract Record Set and deliver a copy to the Archive Supervisor.
- ◆ Coordinate scheduling of GC/CM to provide training for University personnel in areas of operation and maintenance of equipment and control systems.
- ◆ Obtain (3) sets of operating manuals and warranties from the CM/GC thru the A/E.
- ◆ Review manuals and warranties for completeness then transmit operating manuals and warranties as follows: one (1) complete set to Facilities Planning Archive Supervisor and (2) complete sets to the Physical Plant Director.
- ◆ Obtain (5) original copies of both the A/E and CM/GC **Certificate of Contract Completion Forms**. Review and initial **Final Completion Checklist (Attachment B)** and attach to Construction Managers Final Pay Request and forward to the Associate Director.

**ASSOCIATE
DIRECTOR**

- ◆ Initial all (5) original **Certificate of Contract Completion Forms** adjacent to signature line and forward to Facilities Planning Director.
- ◆ Review and initial **Final Completion Checklist (Attachment B)** and process Construction Managers Final Pay Request.

DIRECTOR

- ◆ Sign all (5) A/E **Certificates of Contract Completion Forms** and forward to Administrative Office Coordinator.

**ADMINISTRATIVE
OFFICE
COORDINATOR**

- ◆ Transmit signed sets of **Certificate of Contract Completion Forms** to FAU Office of the Controller, A/E, CM/GC, Physical Plant and project file.

REFERENCE:

- ◆ FAU Project Manual – Section E, Article 9.8
- ◆ FAU Project Manual - pages 95, 96, 97
- ◆ FAU Professional Services Guide – Article 6.9 and 6.10
- ◆ FAU Professional Services Guide - Exhibit 5
- ◆ NFPA

ATTACHMENTS:

- ◆ **Inter-Department Substantial Completion –Attachment “A”**
- ◆ **Final Completion Checklist – Attachment “B”**
- ◆ **Florida Fire Insurance Trust Fund Coverage Request Form – Attachment” “C**
- ◆ **FAU Environmental Health & Safety Asbestos Confirmation Form – A/E Statement – Attachment “D”**
- ◆ **FAU Environmental Health & Safety Asbestos Confirmation Form – CM Statement – Attachment “E”**

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INTER-DEPARTMENT SUBSTANTIAL COMPLETION

PROJECT TITLE: _____

PROJECT NO.: _____
DATE: _____

We concur with the Architect/Engineer's certification that the above referenced project is substantially complete and the Owner can occupy or utilize the work for it's intended use.

INFORMATION RESOURCE
MANAGEMENT: _____

ENVIRONMENTAL HEALTH
& SAFETY: _____

PHYSICAL PLANT: _____

- ◆ Physical Plant from the date stipulated above, will be responsible for all building services and routine maintenance.
- ◆ Facilities Planning shall ensure that all substantial completion punch list items are completed and issue a Final Certificate of Completion. At contract completion, Physical Plant shall be responsible for enforcing all warranty items.

ATTACHMENT "A"

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FINAL COMPLETION CHECKLIST

(To be submitted with Construction Managers **Request for Final Payment**; Project Manager to check-off and sign)

- FAU Project Manager conducted final inspection walk-through and
 - all punch list items completed
- A/E submitted 5 original signed **Certificate of Contract Completion Forms**
 - available on FP website as “Final Completion Form-AE”
- CM submitted 5 original signed **Certificate of Contract Completion Forms**
 - available on FP website as “Final Completion Form-CM”
- CM submitted 3 sets O&M manuals & warranties and arranged for training of FAU staff
 - FAU Project Manager sent one set of manuals and warranties to the Facilities Planning Archive Supervisor
 - FAU Project Manager sent the other two sets to Physical Plant director
- FAU Project Manager compiled **Certificate of Contract Completion Forms** into five neatly stapled packets, initialed each and forwarded to the Associate Director.
 - FAU Associate Director initials each packet and forwards to Director
 - Director signs all of the **Certificate of Contract Completion Forms**
- Administrative Office Coordinator received the five stapled packets and distributed to:
 - FAU Physical Plant
 - FAU Controller’s Office
 - A/E
 - CM
 - Project file under “Closeout”
- Other Items;
 - Site storm drainage completion form submitted, HRS or DEP forms completed as required and placed in Project file.
- Final Payment Request Approved by A/E and received by Project Manager and submitted to Associate Director for disbursement after date of Final Completion. This form when completed, is attached to Final Payment Request.

Signed: _____
Project Manager Date

Verified: _____
Coordinator Date

ATTACHMENT “B”

**DEPARTMENT OF FINANCIAL SERVICES DIVISION OF RISK MANAGEMENT
COVERAGE REQUEST FORM**

AGENCY NAME:		CERTIFICATE NO. :	
MAILING ADDRESS:			ZIP CODE:
CITY		STATE:	
PROPERTY LOCATION BUILDING NAME:		YOUR BUILDING NO.:	
ADDRESS OR DIRECTIONS:			FLOOD ZONE CODE:
CITY:		COUNTY:	LOCATION ZIP CODE:
INSIDE CITY LIMITS? <input type="checkbox"/> YES <input type="checkbox"/> NO		NUMBER OF STORIES IN BUILDING:	
RESPONDING FIRE DEPT.	<input type="checkbox"/> CITY	<input type="checkbox"/> COUNTY	<input type="checkbox"/> SELF
			<input type="checkbox"/> NONE
			<input type="checkbox"/> OTHER
OCCUPANCY	<input type="checkbox"/> OFFICE	<input type="checkbox"/> STORAGE <input type="checkbox"/> PENAL	<input type="checkbox"/> EDUCATIONAL <input type="checkbox"/> RESIDENTIAL
			<input type="checkbox"/> RECREATIONAL <input type="checkbox"/> OTHER
EXTERIOR WALLS	<input type="checkbox"/> FRAME <input type="checkbox"/> MASONRY-HOLLOW W/BRICK VENEER	<input type="checkbox"/> CONCRETE BLOCK <input type="checkbox"/> FRAME W/MASONRY VENEER	<input type="checkbox"/> MASONRY-SOLID <input type="checkbox"/> MASONRY ON STEEL
			<input type="checkbox"/> ALL METAL <input type="checkbox"/> FRAME W/METAL COVERING <input type="checkbox"/> OTHER
ROOF SUPPORTS	<input type="checkbox"/> FRAME	<input type="checkbox"/> POURED CONCRETE	<input type="checkbox"/> PRECAST CONCRETE
			<input type="checkbox"/> OTHER
AMOUNTS OF INSURANCE	BUILDING: \$	CONTENTS: \$	TRAILER: \$
			RENTAL VALUE: \$
OWNERSHIP	Is this building owned by any Agency, Board or Bureau of the State of Florida? <input type="checkbox"/> YES <input type="checkbox"/> NO		
	If yes, give the following: _____ SQ. FT. CONSTRUCTION DATE: _____		
REQUESTED BY	SIGNATURE: _____		Telephone or Suncom #: _____
	TITLE: _____		DATE: _____
INSTRUCTIONS			
<u>TRUST FUND USE ONLY</u>			
BUILDING FIRE RATE: _____		CONTENTS FIRE RATE: _____	
EC RATE: _____	FIRE CREDIT SCH: _____	EC CREDIT SCH: _____	
EC ZONE: _____	TOWN CLASS: _____		
INSURANCE EFFECTIVE DATE: _____	(CHAPTER 284 AND 287, F.S.)		
APPROVED BY: _____			

DI4-850 (Revised 6/00)

ATTACHMENT "C"

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ENVIRONMENTAL HEALTH AND SAFETY

Asbestos Confirmation Form

ARCHITECT STATEMENT

Architect Statement
(Ref. 40 CFR 763.99a (7))

I have reviewed the specifications for the below named project, and to the best of my knowledge, no Asbestos Containing Materials were used in the design or construction of this project.

Facility Name: _____

Facility Address: _____

Expected Occupancy Date:: _____

Firm Name: _____

Architect Name: _____

Architect Signature: _____

Signed & Sealed: _____

ATTACHMENT "D"

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ENVIRONMENTAL HEALTH AND SAFETY

Asbestos Confirmation Form

CONTRACTOR STATEMENT

Contractor Statement
[Ref. 40 CFR 763.99a (7)]

I have reviewed the specifications for the below named project, and to the best of my knowledge, no Asbestos Containing Materials were used in the project construction.

Facility Name: _____

Facility Address: _____

Expected Occupancy Date: _____

Firm Name: _____

Contractor Name: _____

Contractor Signature: _____

Signed and Sealed: _____

ATTACHMENT "E"