


**SAN FRANCISCO PUBLIC UTILITIES COMMISSION
WATER SYSTEM IMPROVEMENT PROGRAM
CONSTRUCTION MANAGEMENT PROCEDURES**

SECTION: WSIP CONSTRUCTION MANAGEMENT	APPROVED: 
PROCEDURE NO.: 032 TITLE: CONTRACT CLOSE-OUT (Substantial & Final Completion Certification, and Punch List)	DATE: 10/04/2013 REVISION NO.: 6

1.0 Policy

Policy compliance activities are (a) acceptance and documentation signed-off by all responsible parties that the Work has been fully completed in accordance with the Contract Documents, (b) finalization of all paperwork /documentation pertaining to the contract, and (c) archiving.

This CM Procedure applies to all personnel working on the Water System Improvement Program (WSIP) to the extent that their Work is affected by these WSIP Construction Management (CM) Procedures and does not conflict with specific San Francisco Public Utilities Commission (SFPUC) policies or the contract under which the Work is executed.

2.0 Description

This CM Procedure outlines the process by which verification is made of the satisfactory completion of the following Work in accordance with the Contract requirements. These Work items include contract records, record documents, and retention of essential contract documentation, close out of outstanding CORs and claims, lien releases, among others; (Attachment 1A and 1B).

This procedure describes the general requirements for Substantial Completion and Final Completion. It is the responsibility of the project CM team to verify the contractors' compliance with the project contract specifications requirements.

3.0 Definitions

3.1 Demobilization

Demobilization by the Construction Contractor shall include all activities and costs for transportation of personnel, equipment and supplies /materials not used in the Contract including disassembly, removal and work site cleanup of any offices or other temporary facilities assembled on the work site for the Contract.

3.1.1 The Contractor demobilizes the work site prior to and as a precondition of Final Completion by the Project CM.

3.2 Substantial Completion

Substantial Completion is the milestone in the progress of the Work, when the Work is sufficiently complete in accordance with the Contract Documents, so that

the Work (or a specified part thereof) can be utilized for the purposes for which it is intended. This includes physical work as well as administrative requirements generally described in Contract Specification Section 00700 9-General Conditions, and in Sections 01700, 01720 and 01730, as well as, all other applicable sections of the Contract. The Work includes but is not limited to completion of facility start-up services, submittal and approval by the City of all start-up, testing and commissioning reports and data, training, submittal of final O&M Manuals, Equipment List, Equipment's data sheets, warranties, guarantees, spare parts and issuance of a temporary certificate of occupancy, if applicable. (Attachment 2, 3, and 5)

- 3.2.1 Closeout Meeting is a meeting held approximately 3 to 4 months prior to Substantial Completion by the Project CM when the Work is 90% complete. Refer to Specification Section 01700.
- 3.2.2 Interim Record Drawings shall be submitted by the Contractor to the Project CM prior to the Notice of Substantial Completion or as required by contract specifications. (Attachment 2 and 3)
- 3.2.3 Operations and Maintenance Manuals must be submitted in final accepted Draft form no later than 30 days prior to training or if training is not required 30 days prior to operations of the equipment. Refer to Specification Section 01730.

When ready and all related requirements have been fulfilled, the Contractor will submit a request for a Substantial Completion Certificate. The approval of this certificate is recommended by the Project CM and approved by the Regional PM and the WSIP Construction Deputy Director. (Attachment 2 and 3)

A sample memorandum format for "Substantial Completion" is provided on Attachment 2.

3.3 Punch List

- 3.3.1 Punch List / Substantial Completion is a document prepared by the Lead QA Inspector and transmitted to the Contractor by the Project CM indicating the items that must be completed before the construction is substantially complete and ready for turn-over/occupancy by the Owner/Operator. This Punch List is compiled subsequent to the Contractor notifying the Project CM that the Work is substantially complete; (Attachment 1A and 6). Punch List will include all unfinished physical and administrative work.
- 3.3.2 Punch List / Final Completion is a document, that includes a list of all remaining items of Work and closeout requirements, prepared by the Project CM and transmitted to the Contractor that must be completed prior to Final Completion. Final Contractor Payment is made when the Punch List / Final Completion have been addressed to meet the contract documents requirements. These requirements include:
 - All punch list work is complete.
 - Certificates of Occupancy issued (when required).
 - Evidence of payment and final release of liens, to be executed by the Contractor and each assignee, a condition precedent to final payment (01700 1.5 A).

- Signed releases by each permitting agency.
- Final Record Documents including Record Drawings submitted, as required.
- Final O&M Manuals, Final Equipment list, Final Equipment's Data Sheets if not required to be submitted at Substantial Completion.
- Other requirements as per Attachment 1B.

3.3.3 The principle generators of the Independent CM Team Punch List are the Lead QA Inspector, Project Environmental Inspector, Operations Representative (CDD, HH or WS&TD), Water Quality Department WQD Engineer and the Office Engineer. The Punch List is reviewed and accepted by the Project CM.

3.4 Final Completion

Final Completion is the date of written acceptance of the Work when all contractual and administrative requirements have been fulfilled including remaining Punch List items identified at Substantial Completion. The date of this milestone is recommended by the Project CM and approved by the Regional PM, the WSIP Deputy Director for Construction DDC and the

WSIP Director. Final Completion Certificate will not be issued without approved final Record Drawings and fulfilling every Contractual Final Completion requirement. A sample memorandum format for "Final Completion" is provided on Attachment 3. Final Completion Certificate will require Commission approval of the work performed, all modifications to the contract and authorize the final payment to the contractor.

Subsequent to final payment to the contractor, the Regional PM will prepare a Certificate of Acceptance of the Work and send it to the WSIP DDC to sign and send to the Contractor (SF Admin Code Section 6.22(K). (Attachment 5)

3.4.1 Work is the performance by the Contractor of all its responsibilities and obligations set forth in the Contract Documents and all its modifications. Work shall include, but shall not be limited to, providing all labor, materials and consumables, services, and documentation required by the contract documents. This includes physical work as well as administrative requirements generally described in Document 00700. 9-General Conditions, and in Specification Sections 01700, 01720, 01730, and 01740, as well as, all other applicable sections of the Contract. References in the Contract Documents to items of Work.

4.0 Responsibilities

4.1 Contractor

The Contractor is responsible for performing and completing the Work in accordance with the Contract Documents, including the successful completion of the items on the punch lists prepared by the Project CM, demobilization from the project site, all remaining required submittals and all administrative items required by the Contract Documents.

4.2 WSIP Director

The WSIP Director has sole authority to approve the granting of Final Completion and the authorization of final payment. A Final Completion Certificate shall be prepared by the Project CM and submitted through the Regional PM to the WSIP Director for final approval and signature.

4.3 Deputy Director of Construction (DDC)

The Deputy Director of Construction, or higher, has sole authority to grant Substantial Completion. A Substantial Completion memorandum shall be prepared by the Project CM, signed by the Regional Construction Manager and the Regional Project Manager and submitted to the Deputy Director of Construction for approval.

4.4 Environmental Inspector

The Environmental Inspector inspects and verifies that the status of construction activities is in compliance with the California Environmental Quality Act (CEQA). The Environmental Inspector provides Punch List items to the Lead QA Inspector. He also ensures that all Environmental NCNs are fixed and closed before Substantial and Final Completion.

4.5 Lead Quality Assurance (QA) Inspector

The Lead QA Inspector leads and documents the Substantial Completion and Final Completion field construction inspection activities for the Project CM. These field inspections shall be combined with the other inspection reports into the overall Project Punch List. He also ensures that all project NCNs are fixed and closed before Substantial and Final Completion.

4.6 Office Engineer (OE)

The Office Engineer confirms the completion and acceptance of Contract Document deliverables, including Final Contractor Record Documents and Record Drawings, Operations & Maintenance Manuals, equipment list and data sheets, equipment spare parts and warranties, and lien releases, as required for Substantial and Final Completion.

4.7 Owner/Operations Representative

The Owner/Operations Representative shall be present during facility walk-through for Substantial and Final Completion Inspections, **and will sign on the punch list and recommendation for substantial and final completion certificates**, as well as, system testing and facility start-up and training.

4.8 Project Construction Manager (Project CM)

The Project CM is responsible for certifying that Contractual Interim Milestones have been achieved. These responsibilities include: reviewing the Contractor's request for Certification of Substantial Completion; issuing required Punch Lists; issuing Notice of Substantial Completion and confirming the Contractor has satisfied all requirements.

Prior to the issuance of Substantial Completion the Project CM shall audit the status of all substantial completion requirements as included in Attachment 1A. The Project CM shall sign the checklist certifying that the items on the list are complete. Any items that are not completed shall be listed along with an explanation on an attachment to the Substantial Completion Checklist. Upon

completion of the Substantial Completion Checklist and signature by the Project CM, the Project CM will forward the checklist to the Regional Construction Managers, (City and Consultant) for review and approval. After the Substantial Completion Checklist is signed by the RCMs the checklist will be forwarded to the Regional Project Manager to approve substantial completion for each project. The Regional PM shall sign the checklist and forward it to the DDC who then, and only then, will have the authority to grant Substantial Completion.

Prior to the issuance of Final Completion the Project CM shall audit the status of all Final Completion requirements as included in Attachment 1B. The Project CM shall sign the Final Completion Checklist certifying that the items on the list are complete. Any items that are not completed shall be listed along with an explanation on an attachment to the Substantial Completion Checklist. Upon completion of the work required in the Final Completion Checklist and signature by the Project CM, the Project CM will forward the checklist to the Regional Construction Managers, (City and Consultant) for review and approval. After the Final Completion Checklist is signed by the RCMs the checklist will be forwarded to the Regional Project Manager and the Division Manager/Owner who will review and sign the Final Completion Checklist for each project. After the RPM and the Division Manager/owner have signed the Final Completion Checklist, it will be forwarded to the Deputy Director of Construction and then to the WSIP Director for final approval. Only after final written approval of Final Completion by the WSIP Director will Final Completion be issued and final payment released. (refer to section 3.4 above for final completion requirements: i.e.; Commission approval and certificate of acceptance of the Work.)

The Project CM in conjunction will submit the Final Record Drawings to Records Management in PCSB in full size drawings or in Auto-Cad format, if required by contract. He will also submit the project history and lessons learned report to the Regional PM and Infrastructure QA group and review, organize and deliver the project files submitted to Records Management in PCSB.

4.9 Project Engineer (PE)

The Project Engineer coordinates the design team participation and inspection for the facility Punch List generation and Final Completion Acceptance of Work. The PE will check the Record drawings to ensure that the facility was built according to the contract documents. The PE will also be responsible to prepare the final As-Built drawings from the Project final record drawings received from the Project CM at final completion of the project.

4.10 Regional Project Manager (Regional PM)

The Regional Project Manager is responsible for defining contractual interim milestones and ensuring that all necessary requirements are clearly described in the Contract Documents; manages the final close out of the project.

5.0 Implementation

5.1 Contractual Interim Milestones / Substantial Completion

Contractual Interim Milestones involve an isolated component or part of the Work required to be operational or fully restored prior to Substantial Completion, or is required to be achieved before critical system shutdowns can occur. The process to be followed for certifying achievement of Contractual Interim

Milestones is similar to that to be followed for Substantial Completion, refer to Attachment 8.

5.1.1 Approximately 3 to 4 months prior to Substantial Completion or when the Work is 90% complete based on Daily QA Inspection reports and Construction Progress Schedule, a Close-Out Meeting shall be initiated.

5.1.2 Close out meeting agenda shall include all Substantial and Final Completion requirements as stated in the contract documents.

Approximately one month prior to Substantial Completion, the Project CM will contact The Compliance Officer at the Office of Labor Standards Enforcement "OLSE" to seek approval on Contractor's compliance with prevailing wages and Project Labor Agreement. The Project CM will also contact the Workforce Compliance Officer at the Office of Economic and Workforce Development "OEWD" to seek approval on compliance with Specifications Section 00821 City Build/First Source Referral Program which provides for goal of new hires using referrals from City Build to disadvantage workers, and will review Contractor's compliance with other related contract requirements. The Project CM will also contact the Contract Monitoring Division CMD to check that the contractor has met all CMD (formally HRC) contract requirements.

5.1.3 Contractor submits formal request for Contractual Interim Milestone Completion if allowed by contract or substantial completion to the Project CM in accordance with procedures set forth in the Contract Documents.

5.1.4 Project CM conducts inspection of Work completed by Contractor, determines completeness of Contractor's submittals as required by the Contract Documents, and determines if Work is sufficiently completed to certify either Contractual Interim Milestone completed or Substantial Completion.

5.1.5 Project CM prepares and transmits to the Contractor a Punch List / Substantial Completion of incomplete or non-conforming Work discovered during inspection for the Contractual Interim Milestone Completion or Substantial Completion, all missing required submittals and items required to be satisfactorily resolved for acceptance. Project CM will distinguish between those items that must be resolved for the requested substantial completion and those that may be deferred to Final Completion.

5.1.6 Contractor shall provide all approved final draft O&M Manuals, Equipment list and Data Sheet and materials and equipment Warranties/Guarantees information for all Contractor supplied/installed equipment to the Project CM. The Project CM will forward two copies of the O&M Manuals, Equipment Data Sheets and Warranties and Guarantees, one to WS&TD Maintenance Engineer or to the CDD Engineer for local SF projects or to HHWP Engineer for HH projects and the other to the Facility Operations Manager. The transmittal letter should be submitted to the Regional PM for signature. (Attachment 3)

5.1.7 Project CM prepares a Notice of Substantial Completion Checklist and forwards the checklist to the RCM and Regional PM. The RCM and Regional PM review the checklist and subsequent to signing forward it to

the DDC for signature. The Project CM issues the "Punch List / Final Completion". (Attachment 2)

Substantial Completion Certificate shall not be issued to the Contractor without the approval of the DDC.

5.2 Final Completion

- 5.2.1 Contractor submits written notice of Final Completion certifying to the fact that: All Work has been completed in conformance with the Contract Documents; all Punch List items outstanding from Substantial Completion have been completed; demobilization and cleanup of the project site(s) has been completed; and the Work is ready for final inspection.
- 5.2.2 Final Inspection shall be performed by the Project CM and CM Team in conformance with Contract Specifications Section 00700 Article 9 of General Conditions as supported by the Contractor's written Notice of Completion.
- 5.2.3 Project CM verifies that the Contractor has submitted: all required warranties; evidence of releases for all subcontractor and vendor liens, all remaining project documents required by the Contract Documents, including final Record Drawings containing all **change orders, RFIs, and any modifications to the contract documents**; final statement of accounting, certified payroll records and a final change order (if required) showing adjustments to the contract cost for all force account work, allowance items and other outstanding change issues; and a request for Final Payment.

Project CM shall verify and confirm with OLSE and OEWD that contractor has complied with all their requirements as listed in the contract document.
- 5.2.4 Project CM prepares a Notice of Final Completion, including Certificate of Acceptance. Notice of Final Completion will be signed by the Regional PM, DDC and WSIP Director. Certificate of Acceptance will be signed by the DDC after Commission approval of the Work.
- 5.2.5 If Stop Notices have not been filed or satisfactory resolution of Stop Notices has been reached in conformance with the Contract Documents, the Project CM shall recommend to the City that final payment, including release of all held retention money, be issued to the Contractor.
- 5.2.6 If Stop Notices have been filed with the Controller's Office or if there are disputes that do not affect the final completion of all of the work as required by contract the Project CM may approve the work and recommends issuance of notice of final completion to the Regional PM, DDC and WSIP Director. Final payment to the contractor will be withheld at the Controller's Office due to unresolved Stop Notices.

5.3 Project Administration Closeout and Turnover

- 5.3.1 Project CM prepares and submits the final Project History and Lessons Learned report to the Regional PM in accordance with CM Procedure No. 030.

- 5.3.2 Project CM inputs the final Project History and Lessons Learned report into the Construction Management Information System (CMIS) database.
- 5.3.3 Project CM meets with the PE and reviews the change order log to establish a common data base of lessons learned.
- 5.3.4 Project CM reviews maintained contract files, including electronic and hard copy files and documents, removes duplicate file records, indexes the file records, and delivers the contract file records to Central Records Management Center.
- 5.3.5 Project CM transmits the approved Final Contractor Record Documents including a full size final Record Drawings to Records Management in PCSB. The Project Engineer will review the Record Drawings for conformity to the Contract Document and to transfer them into Final As-Built Cad Drawings. These drawings are stamped by the Project CM to read "Certified" that these Final Contract Record Documents represent the facilities as constructed in accordance with CM Procedure No. 033.
- 5.3.6 Project CM transmits remaining Warranties and Guarantees for equipment and systems installed after Substantial Completion to the WS&TD Maintenance Engineer, to CDD Engineer for local projects and for Hetch Hetchy to HH Operations Liaison.
- 5.3.7 HH Operations Liaison will be responsible to route all documents received from the Project CM to HH Maintenance Engineer, Facility (Station) and HH records/archive.
- 5.3.8 Project CM transmits all remaining contract documents, including, but not limited to shop drawings and submittals, correspondence, change order files, RFIs, meeting minutes etc., in addition to all items discussed in paragraphs above, to Engineering Archives.
- 5.3.9 All transmittals prepared by the Project CM will be signed by the Regional PM before they are sent to WS&TD, HH and Records Management in PCSB.
- 5.3.10 Project CM prepares a Notice of Final Completion checklist and forwards the checklist to the RCM and Regional PM. The RCM and Regional PM review the checklist and subsequent to signing forward to the DDC and the WSIP Director for signature. The Project CM issues the "Punch List / Final Completion". (Attachment 2)
- 5.3.11 Project CM prepares and submits to the RPM a contract closeout package including the following:
 - Final Quantity Summary
 - Certification of Contract Completion
 - Summary of Expenditures Force Account Allowance
 - Final Modification
 - Engineer's Final Estimate
 - Contractor's Release
 - Contractor's Final Certificate

- Contract Time Certification Turnover Summary Memo to Senior PM
- Copy of transmittal letters sent to WS&TD and HH.
- Closeout Letters to Contractor
- Report to Contract Administration
- Final payment Authorization

No Final Completion Certificate will be issued without the approval of the DDC and the WSIP Director.

6.0 Other Procedural Requirements

- 6.1 The Project CM Team is encouraged to note all deficiencies, issues or additional work that is outside the scope of the project contract to allow for a future adjustment and fix of the facility.

7.0 References

7.1 WSIP Technical Specification Sections

01700	Close-Out Procedure
01720	Project Record Documents
01730	Operations and Maintenance Data
01732	Final Cleaning
01740	Warranties

7.2 CM Procedures

004	– Submittals
006	– Document Control & Management and Correspondence
007	– QA Daily Inspection reports
010	– Applications for Payment
011	– Construction Quality Management
012	– Safety Reporting Procedures
016	– Change Management Process
018	– Preconstruction and Post Construction Site Surveys
030	– Project History / Lessons Learned
035	– Certified Payroll reports
033	– As-Built Drawings
038	- Site Security
039	– System Testing and Start-up
058	– Environmental QA Daily Inspection reports

7.3 PM Procedures

PM 3.14	Project Close out
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8.0 Attachments

- 032 - 1A Substantial Completion Checklist
- 032 - 1B Final Completion Checklist
- 032 - 2 Project Turnover – Substantial Completion, *Sample Memo Format*
- 032 - 3 Project Turnover – Final Completion, *Sample Memo Format*
- 032 - 4 Close-Out Package, *Sample Memo Format*
- 032 - 5 Certificate of Acceptance
- 032 - 6 Project Schedule and Cost Summary, *Sample Memo Format*
- 032 - 7 Substantial and Final Completion Flow Chart
- 032 - 8 Contract Close-Out Sequence
- 032 - 9 Documents Distribution List for CMP No. 032
- 032 - 10 Revision Control Log

Attachment 032 – 1A
Page 1 of 2
Substantial Completion Checklist

No.	Requirement	Date Completed	Verified By* Initial	Remarks
1	When work is 90% complete Project CM to arrange a close-out meeting. (01700 1.2A)			
2	Equipment and System Testing must be complete and all tests passed. All documentation must be turned in and approved.			
3	Operations and Maintenance Data Manuals to be turned in and approved.			
4	Operator Training must be complete.			
5	Interim Contractor's Record Documents turned in.			
6	Outstanding Quality CARs and NCRs must be closed.			
7	Administrative Activities: Reports complete and turned in documentation of final quantities final documentation for Force Account work.			
8	Substantial Completion Inspection to be requested by the Contractor, conducted by the City. Punch List to be submitted to the Contractor within 5 days. (0700 9. <i>Note:</i> may vary depending on the version)			
9	Precedent to requesting an inspection for Substantial Completion: The following shall be a precedent to requesting an inspection for Substantial Completion. (00700 9. <i>Note:</i> may vary depending on the version)			
10	Completion of Start-up services.			
11	Close-out of Non-compliance reports.			
12	Submittal of warranties and guarantees , date the warranties and guarantees start shall be the Substantial Completion date. Warranties shall be submitted within 7 days following substantial completion or on the date that a piece of equipment or system has been placed into service.			
13	Project Turnover Memo completed and provided to Owner.			

Attachment 032 – 1A
Page 2 of 2
Substantial Completion Checklist

No.	Requirement	Date Completed	Verified By* Initial	Remarks
14	Submittal of Record Documents.			
15	Documentation of final quantities and Force Account Work. (01700 1.2 A 2)			
16	Project CM to deliver a written determination as to the division of responsibilities regarding security, operation, safety, maintenance, heat, utilities, insurance and warranties, and other items as required.			
17	Project Specific requirements as noted in Special Conditions. (00800)			
<p>*All listed items are to be verified by the Project CM.</p> <p>This Substantial Completion Checklist has been prepared for _____ Projects and all items are complete except as noted in under Remarks column. Attached to this checklist are details related to each remark including written justification for granting Substantial Completion even though items listed under remarks are not complete as Required by the Contract.</p> <p>Prepared by and Recommended for Substantial Completion by: _____</p> <p style="text-align: right; margin-right: 100px;"><i>Project CM</i> <i>Date</i></p> <p>Reviewed by: _____</p> <p style="text-align: right; margin-right: 100px;"><i>RCM City</i> <i>Date</i></p> <p><i>RCM Consultant</i> <i>Date</i></p> <p>This project has recommended for granting Substantial Completion by:</p> <p style="text-align: right; margin-right: 100px;"><i>Regional PM</i> <i>Date</i></p> <p style="text-align: center;">Substantial Completion Approved by: _____</p> <p style="text-align: right; margin-right: 100px;"><i>Deputy Director of Construction</i> <i>Date</i></p>				

Attachment 032 – 1B
Page 1 of 2
Final Completion Checklist

No.	Requirement	Date Completed	Verified By* Initial	Remarks
1	When the Contractor considers all Work complete including items of Work on the Punch List and Close-out requirements. Contractor shall notify the City in Writing. (Notice of Final Completion)			
2	Contract has been fully performed.			
3	City verifies all Punch List and Final Completion items are complete within 5 working days.			
4	When all contractual and administrative requirements have been fulfilled.			
5	Evidence of payment and final release of liens. Contractor and each assignee under any assignment in effect at the time of final payment shall execute and deliver, at the time of final payment, <u>as a condition precedent to final payment</u> , a release meeting the requirements of the General Conditions. (01700 1.6A)			
6	Written signed release from each permitting agency that issued and encroachment, or other permit work used during the course of the project that each permit condition including restoration has been satisfactorily completed. (01700 1.6 A)			
7	After Contractor has completed to the satisfaction of the City all Punch List/Final Completion items and close-out requirements in accordance with the Contract Documents, the City will issue a written certificate of acceptance as required by Section 6.22(K) of the SF Administrative Code stating Work is acceptable and Contractor may submit the final application for payment. (00700 9.08 D)			
8	Contractor's Record Documents final version to be submitted before Final Completion or as stated in 01720 3.3 B. In any case Final Record Documents shall be submitted before final payment is approved.			
9	Project Turnover Memo completed and signed by Owner.			

Attachment 032 – 1B
Page 2 of 2
Final Completion Checklist

No.	Requirement	Date Completed	Verified By* Initial	Remarks
<p>*All listed items are to be verified by the Project CM.</p> <p>This Final Completion Checklist has been prepared for _____ Projects and all items are complete except as noted in under Remarks column. Attached to this checklist are details related to each remark including written justification for granting Final Completion even though items listed under remarks are not complete as Required by the Contract.</p> <p>Prepared by and Recommended for Final Completion by: _____</p> <p style="text-align: right;"><i>Project CM (Name Typed)</i> <i>Date</i></p> <p>Reviewed by: _____</p> <p style="text-align: right;"><i>RCM City (Name Typed)</i> <i>Date</i></p> <p><i>RCM Consultant</i> <i>Date</i></p> <p>This project has recommended for granting Final Completion by:</p> <p style="text-align: right;"><i>Regional PM</i> <i>Date</i></p> <p style="text-align: right;">Final Completion Approved by: _____</p> <p style="text-align: right;"><i>Deputy Director of Construction (Print Name)</i> <i>Date</i></p> <p style="text-align: right;">_____</p> <p style="text-align: right;"><i>WSIP Director (Print Name)</i> <i>Date</i></p>				

**Attachment 032 - 2
Project Substantial Completion
Sample Memo Format**

MEMORANDUM

Date:

To: *Name of Division Manager (Owner / Operator)*

From: *Name of Regional Project Manager*

Name of Project CM

**Subject: *Contract No. and Title of Project(s)*
*Project Turnover – Substantial Completion***

On date, the SFPUC and the Owner conducted an Inspection of the project and found the project to be substantially complete. As such, the project is henceforth turned over to the Owner for usage and commencement of maintenance and security responsibility. The Punch List Items (attach if desire) identified during the Inspection will be corrected.

O&M Manuals have been transmitted to the Owner. Equipment List, Data Sheets and Warranties /Guarantee information will be sent in the near future or by date. Final Record Drawings will be sent by SFPUC Engineering Management Bureau in 2 sets of half size upon final completion. As-Built CAD Drawings to be done by SFPUC Engineering Management Bureau and will be sent upon project close out.

(Insert other items worth noting.

List which equipment is not ready for usage

List all outstanding items to be resolved outside contract or project)

Attch. Substantial Completion Checklist.

cc: Regional CM
Project Engineer
Division Engineer
Document Control Files

**Attachment 032 - 3
Project Final Completion
Sample Memo Format**

MEMORANDUM

Date:

To: *Name of Division Manager (Owner / Operator)*

From: *Name of Regional Project Manager*
Name of Project CM

Subject: *Contract No. and Title of Project(s)*
Project Turnover – Final Completion

On date, the SFPUC and the Owner conducted a final Inspection of the project and found no outstanding Punch List.

Final Record Drawings and Equipment List and Data Sheets were sent on date and warranties/guarantee information are enclosed herewith for your record. Final As-Built CAD Drawings will be sent by SFPUC Engineering Management Bureau.

(Insert other items worth noting

List all outstanding items to be resolved outside contract or project)

Encl: Warranties/Guaranties Information
Final Completion Checklist
Others

cc:

Regional CM
Project Engineer
Division Engineer
Document Control Files

**Attachment 032 - 4
Close-Out Package
Sample Memo Format**

MEMORANDUM

Date:

To: *Name of Division Manager (Owner / Operator)*

From: *Name of Regional Project Manager*

Name of Project CM

**Subject: *Contract No. and Title of Project(s)
Close-Out Package***

Transmitted herewith is the Project Close-Out package consisting of the following: (Refer to procedure PM 3.14)

1. Project Schedule and Cost Summary
2. Final Quantities
3. Final Change Order (if needed)
4. Final Payment
5. HRC Forms 7, 8 & 9
6. HRC Approval Memo or Waiver

(Insert other items worth noting. Please refer to Procedure PM 3.14 Project Closeout Rev 2C).

cc: Division Engineer
Document Control Files

**Attachment 032 - 5
Certificate of Acceptance
Sample Format**

SFPUC – CMB Letterhead

Date

Primary Contact Contractor's Name: Mr. /Mrs. First & Last Name
Contractor's Company Name
Company Address
City, State and Zip Code

CERTIFICATE OF ACCEPTANCE

ENTERPRISE: **Name of Enterprise**
CONTRACT: **Contract Number and Project Name**

PROJECT No: **Project Number**
REFERENCE: **Reference Number from NTP Letter**

Dear **Primary Contact Contractor's Name**:

In accordance with the Statement of Inspection and Acceptance of Completed Work under San Francisco Administrative Code Section 6.22(K) and SFPUC Commission Resolution No. **Commission Approved Resolution Number** (copy attached):

Where the work performed under this contract replaced existing, **insert brief summary description of the Scope of Contract Work performed, completed and accepted.**

A final inspection was performed by the San Francisco Public Utilities Commission – Construction Management Bureau and the Contract Work was found to be acceptable and in compliance with the contract requirements.

Sincerely,

Alan Johanson
Bureau Manager
Construction Management Bureau

Approved Copies To:

Regional Project Manager
Regional Construction Manager
Resident Engineer

SFPUC-PMB Project Manager
Project File

**Attachment 032 - 6
Project Schedule and Cost Summary
Sample Memo Format**

MEMORANDUM

Contract No.:

Contract Title:

Contractor:

Resident Engineer:

Project Schedule

Start Date	
Original Substantial Completion Duration (CD)	
Original Substantial Completion Date	
Original Final Completion Date	
Actual Substantial Completion Duration (CD)	
Actual Substantial Completion Date	
Actual Final Completion	

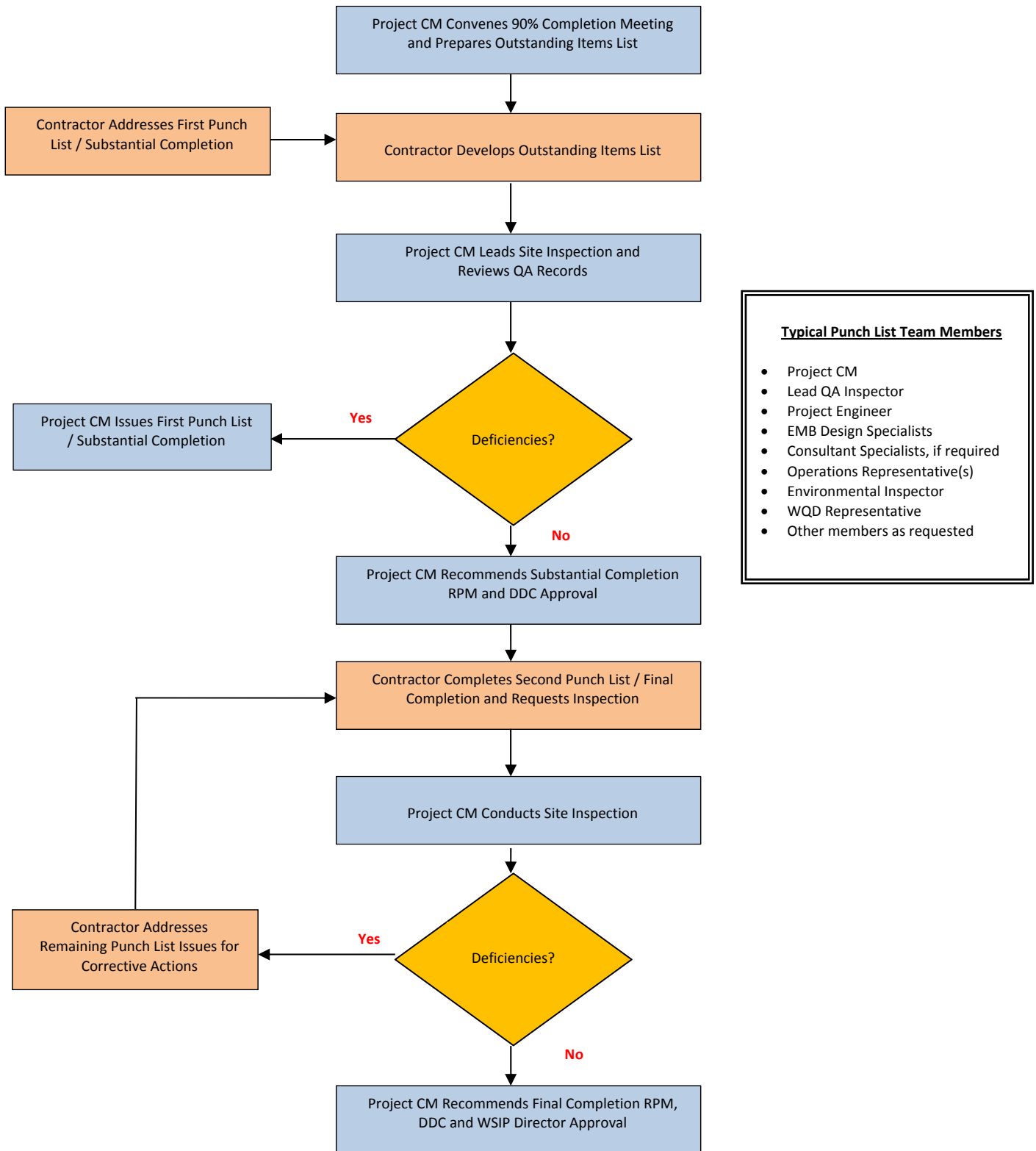
Project Cost

Original Contract Amount	
Contract Modification Amounts (include Final Contract Modification Amounts to be processed)	
Withholdings (i.e., Liquidated Damages)	
Final Contract Amount	

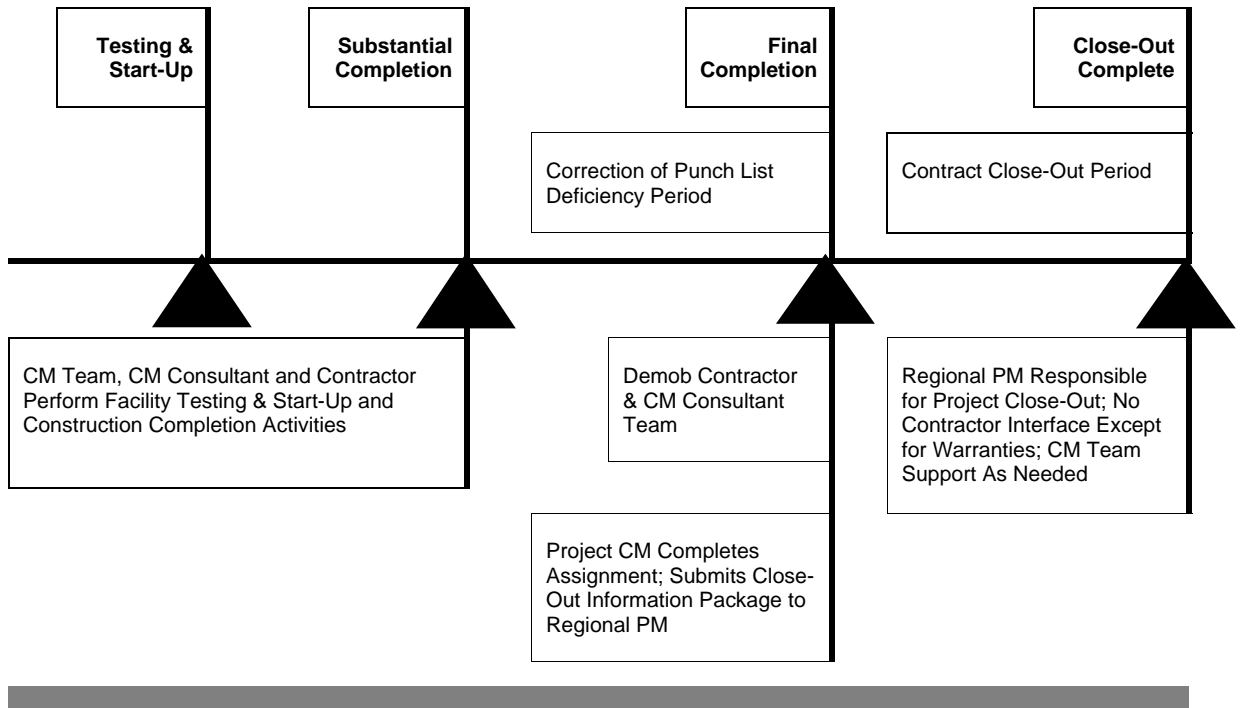
Contract Modifications

No.	Description	Time (CD)	Amount, \$
	Total		

Attachment 032 - 7 Substantial and Final Completion Flow Chart



Attachment 032-8 Contract Close-Out Sequence



Attachment 032 - 9
Document Distribution List for CM P032

The following personnel listed (by project position or responsibility) for Documents Distribution is a general guideline for specific CM Procedure. It is the responsibility of the Administration / Document Control Specialist (ADCS) to confirm and as necessary revise this list as appropriate for the specific project needs. The Office Engineer shall approve these distribution changes.

The guideline for hard copy document distribution is follows:

1. Individual, without CMIS access, who attended a specific project meeting.
2. Individual, without CMIS access, who was mentioned or designated for action in a specific project meeting.
3. Individual, without CMIS access who has management oversight responsibilities to ensure the implementation or completion of project action.

SPECIAL REPORTS:

- Final Project History / Lessons Learned

DISTRIBUTION:

Project Field Personnel – Information Only, Not Distribution

- Project CM, ADCS, Operations Representative

Construction Management Bureau

- Regional CM

Program CM Consultant

- Program CM Consultant Advisor

Project Management Bureau

- Regional PM, PM

Engineering Management Bureau

- Regional PE

Bureau of Environmental Management

- Regional Environmental Coordinator

Others

- Contracts Administration Bureau

Attachment 032 – 10 Revision Control Log

Revision No.	Revision Date	What changed?
Rev 6	October 4, 2013	<ul style="list-style-type: none"> • Attachment 5; Revised text in body of the Sample letter; page 19 "Certificate of Acceptance"
Rev 5	August 28, 2013	<ul style="list-style-type: none"> • Section 2.0; text changes • Section 3.0; throughout section text changes • Section 4.0; throughout section text changes • Section 5.0; throughout section text changes • Section 6.0; added • Section 7.0; 7.1 Added text • Section 8.0; revised • Attachment 1; revised • Attachment 2; revised • Attachment 5; Added; New Certificate of Acceptance • Attachment 6; renumbered Attachment 7; removed and replaced with new flow chart • Attachment 8; renumbered Attachment 9; revised • Attachments renumbered; 5 through 9, now 6 through 10
Rev 4	January 24, 2013	<ul style="list-style-type: none"> • Section 2.0; text changes • Section 3.0; throughout section text changes • Section 4.0; throughout section text changes • Section 5.0; throughout section text changes • Section 6.0; added • Section 7.0; 7.1 Added text • Section 8.0; revised • Attachment 1; revised • Attachment 2; revised • Attachment 6; removed and replaced with new flow chart • Attachment 8; revised
Rev 3	July 23, 2012	<ul style="list-style-type: none"> • Upon request
Rev 2	May 25, 2010	<ul style="list-style-type: none"> • Upon request
Rev 1	August 26, 2009	<ul style="list-style-type: none"> • Upon request
Rev 0	April 24, 2009	Signed