**TEXAS FACILITIES COMMISSION**

**FACILITIES DESIGN & CONSTRUCTION**

**PRECONSTRUCTION GUIDELINES**

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# PURPOSE OF THE PRECONSTRUCTION GUIDELINES

The Preconstruction Guidelines were developed to acquaint all parties concerned with procedures to be used during the construction of this project. The Guidelines provide a review of administrative requirements of the Contract, special aspects of the construction process, and other matters pertinent to a successful and timely completion of the Project.

# LINES OF COMMUNICATION

Refer to the **Communication Management Plan** and chain of communication diagram for TFC projects. It is intended to serve as a guideline for all communication.

 If followed properly by all parties, the communication will be accurate and official. All parties are encouraged to follow this chain of communication to achieve the common goal of a smooth and efficient project.

During a project the Owner Designated Representative (ODR) will serve as the point of contact for all communication between Owner, Using Agency, Owner Independent Consultants, A/E and Contractor.

# TFC ROLES AND RESPONSIBILITIES

State buildings are operated and maintained by various departments within TFC. Project meetings should include staff from each area as needed to discuss work under their purview. **Per the Communication Management Plan direct all communications through the Project Manager.**

### PROJECT MANAGER

Responsible for overall directives, communication, budget, monitoring progress and closeout.

### PROPERTY MANAGER

Communication with tenants regarding work and notifications of outages.

### USING AGENCY REPRESENTATIVE

Coordinates with Property Manager regarding tenant agency needs and concerns during construction.

### PROJECT INSPECTOR(S)

Responsible for inspecting the construction progress.

### SECURITY

Responsible for maintenance of all electronic door hardware, card readers, cameras, automatic gates, automatic doors, and audio/visual equipment.

### FIRE CONTROLS

Responsible for all fire controls systems including fire alarms, monitoring and notification systems, sprinkler systems, fire hydrants etc.

Facilitates coordination with State Fire Marshall’s office for annual inspections and permitting.

### FACILITIES MAINTENANCE & OPERATIONS

Performs routine care and periodic repair to these major areas: HVAC, Elevators, Plumbing, Electrical

### BUILDING AUTOMATION SYSTEMS

Oversees the automation programs for building mechanical systems.

### PLANT OPERATIONS

Responsible for monitoring Building Automation Systems, fire alarms, specialized equipment and responds to after hour emergencies.

### GROUNDS MAINTENANCE

Responsible for landscaping and irrigation systems.

### STATE SURPLUS

Surplus may salvage any materials and equipment being demolished during a project.

# DOCUMENT MANAGEMENT

TFC utilizes Projectmates to track cost, schedule, scope and all related project transactions to include document control. Projectmates (alternatively known as the electronic project management control system (EPMCS), the Project Website or system) is a web-based application that is accessible anywhere you have a web connection. It will be used by the Owner, A/E and the Contractor to submit Contractor Application for Payment requests, RFI, ASI, PCO, Submittals, Progress Meeting Minutes, Contractor’s Daily Reports, Site Observation Reports, Testing by Third Party Consultants and general correspondence throughout the Construction period.

The TFC Project Manager will provide an overview of the system and coordinate for all parties to receive Owner system training for users logging into the system. The TFC Project Manager will also assign users with login credentials and establish levels of access.

# TFC CONSTRUCTION CONTRACT FORMS

TFC Construction Contract forms can be found in the Project Manual and on the TFC website: <http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/>

# ACCESS BADGING

All personnel working on State of Texas property must be a U.S citizen, or legally authorized to work in the US. Each employee must pass a criminal background check (CBC) and obtain an access or identification badge, for each building in which they are working to include the Texas School for the Deaf (TSD), Texas School for the Blind and Visually Impaired (TSBVI), and the Texas Department of Public Safety (DPS). CBCs must be performed by DPS and must be on the TFC provided form.

The Prime Contractor shall be responsible for providing each subconsultant or subcontractor with TFC’s current CBC Guidelines. These guidelines can be obtained from the TFC Project Manager, RFP/RFQ solicitation, and the [TFC website](http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/). \*\*NOTE: Previous CBCs completed for a different state agency, school district, etc. cannot be used.\*\*

After completion of CBC, personnel must submit completed RM-1 form and CBC receipt via email to the TFC Project Manager(s) and ODR for processing. Additional procedures may be required for specific building access requested. Once approved, the applicant will be notified and instructed to for obtaining access or identification badge.

If access is added to an existing badge, the applicant will be notified with instructions included via email.

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# LIST OF SUBCONTRACTORS

The Contractor shall provide a directory of all subcontractors and suppliers involved in this project. Provide the list after the award of the contract, and prior to the Notice to Proceed for preconstruction services and again prior to the Notice to Proceed for construction. The Contractor shall not employ any subcontractor to whom the A/E or Owner may have reasonable objection.

The Owner and A/E are to be notified whenever the list is revised. A change in any approved subcontractor or the addition of any new subcontractors may only be made in accordance with HUB policies.

A copy of the list of subcontractors including contact information shall be provided with the Close-out Documents in the O&M Manual.

# SITE MANAGEMENT

All personnel engaged in construction projects at the site are required to comply with the Contractor’s rules and regulations. Failure to observe rules and regulations or exhibit behavior otherwise objectionable to the Owner may result in permanent expulsion from the premises. The Contractor’s rules are to be posted at the job site.

## SAFETY PRECAUTIONS & PROGRAMS

The Contractor shall be responsible for initiating, maintaining and supervising all safety precautions and programs in connection with the Work, in accordance with OSHA, and all applicable, regulations and shall prepare a Safety Plan and submit it for information prior to commencing work. Refer to **UGC Article 7 / Safety for Governing Guidelines**. Such programs and precautions shall be ongoing and continuous throughout the duration of the project, and appropriate notices shall be posted and maintained at the site by the Contractor.

## SECURITY & SITE ACCESS

It is the sole responsibility of the Contractor to secure the construction site and reduce the danger of injury of unauthorized personnel and loss of equipment and tools, or damage to work in place or stored materials. All site construction gates and exterior doors shall be locked when site is not occupied by Contractor.

The Contractor shall maintain free access to fire lanes, and emergency & utility control facilities such as fire hydrants, fire alarm boxes, utility valves, manholes, junction boxes, fire extinguishers, emergency exits, etc.

## SITE LOGISTICS PLAN

The Contractor shall provide a site logistics plan that has been coordinated and approved by the Owner for distribution to all parties reflecting project limits of construction, site access / egress routes, office, designated parking, dumpsters, material lay down area, designated break areas, portable toilets, site mock ups, project sign, directional and safety signage and any other items they determine applicable to management of the site. Plan is to be reviewed with project team for final approval prior to distribution.

### PARKING

All parking within the limits of construction will be designated on the logistics plan and enforced by the contractor. The available subcontractor parking will be determined by the contractor. Subcontractors may be required to utilize remote parking & carpooling when space is not available.

### RESTROOMS / PORTABLE TOILETS

The Contractor shall provide temporary restrooms or portable toilets unless otherwise designated. Toilets will be located with consideration of adjacent property and maintained on a scheduled basis.

### FOOD / DRINKS / TOBACCO PRODUCTS

Designated break, eating and smoking areas shall be provided by the contractor within the limits of construction. All activities for these specific uses shall be confined to the designated areas and compliance shall be enforced by the Contractor throughout the construction schedule.

### MATERIAL STORAGE / LAY DOWN

Lay down/material storage for subcontractors shall be determined by the Contractor and located on the logistics plan. Areas shall be maintained in an orderly manner with recommended protection.

### CLEAN SITE

Contractor shall assure the construction site and adjoining areas are maintained and clean. Adequate trash containers of size required for specific task shall be provided on site and emptied on a scheduled basis. Clean site shall include the building interior during the construction period. The plan to maintain the site shall be provided to the subcontractors.

## ENVIRONMENTAL

Contractor shall be responsible for management of environmental issues on site including but not limited to dust, noise, control of construction related light pollution, street cleaning, containment of hazardous materials, water discharge, storm water run-off, trash monitoring, portable toilet facilities and traffic control.

Should the Contractor encounter any previously unknown potentially hazardous material during construction, guidelines indicated in **UGC Paragraph 7.5 / Environmental Safety** shall be utilized in resolution.

# PROJECT MEETINGS

In accordance with the Contract and the A/E Guidelines, the A/E will coordinate, schedule and chair construction progress meetings and document meeting minutes. Meetings are to be held bi-weekly or in accordance with the contract. Meetings will be held to provide for a periodic review of the construction project.

Items discussed will be construction coordination issues, review of the status of all submittals, requests for information, change proposals and change orders, A/E’s Supplemental Instructions (ASI), review of the Contractor's updated progress schedule, summary of work accomplished and projected for upcoming period, record drawings status, and for the review of a pencil copy of the monthly Application for Payment.

An Attendance Log will be provided by the A/E to confirm attendance. Representatives of the following parties are generally expected to attend each meeting:

* Owner Designated Representative
* General Contractor (and Subcontractors as necessary)
* User Group Representative (if applicable)
* TFC Property Manager
* Architect / Engineer
* A/E Consultants (as necessary to resolve issues or discuss specified scopes of construction activities)
* TFC Operations & Maintenance / Fire Control / Security / BAS staff as required

The A/E will prepare and distribute an agenda at least three days in advance of the scheduled meeting. Preparation is to include contacting the Owner and the Contractor to discuss issues that need to be added to the agenda. The Contractor is requested to notify the A/E at least 24 hours in advance of each meeting of additional last-minute topics he wishes to be placed on the agenda. Advance coordination with the Contractor on preparation and status of the Submittal, RFI and the Change Order Logs should also be conducted.

The General Contractor shall provide an update of the job progress and shall provide a look ahead schedule of the project. In addition, the General Contractor should come to the meeting prepared to discuss the following items: 1) whether each element of current work is ahead of schedule, on time, or behind schedule in relation to initial baseline progress schedule; 2) how behind-schedule work will be expedited / recovered; 3) issues related to project changes; 4) anything of significance which could affect the progress of the work and 5) a two-week look ahead. The General Contractor shall also provide up-dated record drawings and a current progress schedule at each meeting for review.

The A/E will keep meeting minutes of that meeting and shall email the minutes within 3 days to all concerned parties for review. Any clarifications or changes should be brought to the A/E's attention as soon as possible for correction.

# REQUEST FOR INFORMATION

A Request for Information (RFI) shall be used when requesting an interpretation of the documents by the A/E. The RFI shall be entered, numbered and processed through Projectmates; a pdf of the contractor’s form is not acceptable.

Each RFI should address only one issue. All sections in the Projectmates form shall be populated, and a proposed solution provided if possible. A realistic due date should be noted; ASAP is not a due date. The A/E will forward the RFI to the Consultants if necessary, who will respond to the A/E, and the final response to the Contractor will come only from the A/E and will be finalized by the ODR in Projectmates. An RFI cannot change the contract cost or time.

# SHOP DRAWING AND SUBMITTAL REVIEW

**UGC Article 8 Quality Control** **/ 8.3 Submittals** requires the Contractor to provide a submittal schedule/register which establishes the anticipated submittal date and acceptance date for all submittals. This schedule should be presented at the Preconstruction Conference for each GMP package and must allow adequate time for the Owner, A/E, and consultants to review along with allowances for possible rejections and re-submittals. The Contractor is responsible for determining long lead/critical path items and priority of the submittals as they affect the Work.

All submittals shall be furnished to the A/E for review only after they have been checked and each copy signed by the General Contractor certifying contract compliance. Any submittal not showing that it has been reviewed by the General Contractor will be returned with no action taken.

Submittal review process shall take place in Projectmates, TFC’s web-based project management system.

Submittals shall include:

* Assignment of an identifying number.
* Clearly marked proposed options if submittal contains more than one option for size, color, operating or performance characteristics, etc.
* Space for A/E notations, stamp, and comments.
* Shop drawings to fully identify the PROJECT NAME, TFC PROJECT NUMBER and the A/E in a title block.

The A/E shall then return the Submittal with one of the following actions identified:

A. **No exceptions**: The submittal is acceptable as submitted; no changes are necessary.

B. **Exceptions noted:** The submittal is generally acceptable as noted; however, all notations marked on the submittal must be complied with during manufacture or construction. No re-submittal is necessary.

C. **Revise and Resubmit:** Submittal may be generally acceptable, but the A/E requests that specific questions marked on the submittal data be addressed before manufacture or construction. The Contractor shall re-submit the information after corrections have been made, and/or questionable items have been addressed. Redlined drawings or product data are not acceptable as re-submittals. Submit new, clean drawings or data.

D. **No Action Taken:** The Submittal was improperly submitted; all copies of the submittal will be returned to the Contractor. Follow correct procedure and re-submit.

E. **Submitted for Record:** Submittal required or submitted for record. No action is required.

**Acceptance of a submittal by the A/E and Owner does not relieve the Contractor from responsibility for compliance with the Contract Documents**.

## SUBSTITUTIONS

Requests for substitutions will be considered if they are received at the Preconstruction Conference and meet the requirements of ***UGC Article 8 Quality Control / Paragraph 8.3.5*** ***No Substitutions without Approval.*** Requests received after the Preconstruction Conference may be considered or rejected at the discretion of the A/E or ODR. Substitution requests must include evidence of conditions leading to the request, product data, samples, detailed comparisons, coordination information, Contractor’s statement of effect on schedule, cost information and certification by the Contractor.

# CONSTRUCTION MONITORING

## TESTING

**Third Party Testing:** Testing that must be contracted by TFC and not the GC. It will include HVAC TAB, Survey, Site Utility Exploration, Geotechnical, Construction Material Testing and Commissioning.

**UGC Paragraph 8.2 Testing** describes owner’s responsibility for coordinating and paying for routine and special tests to confirm compliance with quality and performance requirements.

Contractor is required to include time for required testing in the project schedule of work and to provide sufficient notice to the Owner's representative that an installation will be ready for testing, so that the Owner may arrange for the testing authority to perform such tests as specified or schedule to witness testing. Failure to provide timely notice shall not relieve the Contractor from his obligation to complete the work within the specified time period. The Owner and A/E reserve the right to witness all tests.

**Contractor Testing: UGC 8.2.1** describes the list of tests that shall be provided by the Contractor, which includes any test of basic materials and equipment as part of submittal or substitute. As well as preliminary, start-up, pre-functional and operations testing per Contract Documents

## INSPECTIONS

Periodic examination of all elements of the project to reasonably ensure that they meet the performance, design features and the technical and functional requirements of the contract documents are required.

**UGC Article 8.5 Inspection During Construction,** the Contractor shall provide safe and proper facilities, including equipment as necessary for safe access, at all reasonable times for observation and/or inspection of the Work by Owner and its agents.

Contractor shall not cover up any Work with finishing materials or other building components prior to providing Owner and its agents an opportunity to perform an inspection of the Work. Should corrections of the Work be required for approval, Contractor shall not cover up corrected Work until Owner indicates approval.

Contractor shall provide notifications of at least five (5) working days or otherwise as mutually agreed, to ODR of the anticipated need for a cover-up inspection. Should ODR fail to make the necessary inspection within the agreed period, Contractor may not proceed with cover-up Work.

## SHUTDOWN NOTIFICATIONS

Contractor must give at least 30-day notice for any building system outage including hvac, electric, water, fire controls, hvac, elevators, etc . Add as an agenda item in Project Meetings and include in the 2 week look ahead.

## FIRE WATCH

Fire Watch is required for any work that disables fire protection systems including notification systems, sprinklers, fire pumps, etc. Levels of watch vary; confirm the level of Fire Watch required with the Fire Protection Program Supervisor.

## HOT WORK PERMITS

A Hot Work Permit is required for any welding, grinding, cutting or smoke/dust producing activities that could cause a fire or false alarm.

## FIRE/SMOKE BARRIER PENETRATION PERMIT

A permit shall be obtained from TFC Fire Controls prior to the installation of mechanical duct work, electrical pathways, wall additions, wall demolitions, cable pathways, cable trays, and any other systems that must pass through a fire/smoke barrier. The permit shall always be kept in the workspace until work is completed.

## CONTRACTOR DAILY LOGS

**UGC Article 3 General Responsibilities of Owner and Contractor / Paragraph 3.3.1 Project Administration**

Daily Logs shall be completed by the Contractor each day in Projectmates. Include photos of all underground work and work that will be covered up by walls, ceilings etc.

Pay applications will not be approved unless Daily Logs are up to date.

## A/E FIELD OBSERVATION REPORT

**UGC Article 3 General Responsibilities of Owner and Contractor / Paragraph 3.2.1 Site Visits**

The A/E Field Observation Report is a log of the A/E or their consultant’s observations and actions at the job site. Within 5 days of each site visit the A/E Field Observation Report shall be entered in Projectmates and notification sent to the ODR and the Contractor.

The Field Report shall include observations of specific items of work supported by photos.

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# CHANGES

## PROPOSED CHANGE ORDER (PCO)

A Proposed Change Order (PCO) is authorized by the Owner and processed through the A/E and Contractor for pricing cost review and acceptance. It indicates a possible modification to occur in some aspect of the Work. A PCO may include reference to an RFI, additional drawings or descriptions of the proposed changes. All PCO are sequentially numbered and described by the top portion **(Sections A, B, and C)** of the form. CMR may calculate Contract Management Fee, by percentage stipulated in CMR Contract, on total PCO Cost of Work amount. All forms must be signed.

In responding to the Proposed Change Order (PCO), the Contractor will provide a Detail Sheet showing a breakdown for the work as indicated in **UGC Article 11 Changes / Paragraph 11.7.2** Include all back-up information from subcontractors and suppliers with Form B.

## MARKUPS ON SUBCONTRACTED WORK

Each PCO submitted by CMR shall have a separate Detail Sheet for each first tier subcontractor. All lower tier subcontractors to be included on appropriate first tier subcontractor detail sheet. All tier subcontractors on each sheet to be totaled, with Overhead and Profit, calculated by the higher percentages of UGC 11.8.1, on the one total for each detail sheet. (Percentages may be revised/clarified in future version of UGC)

If CMR also acts as a subcontractor, having submitted their subcontractor bid 24 hours prior to bid due date, the CMR as subcontractor is allowed O&P calculated by the same method as their other subcontractors.

Each PCO Detail Sheet may include “Approved Labor Burden Rates.” All rates should be submitted with CMR’s GMP, to be reviewed by Project AE and TFC PM, prior to any PCOs submitted.

## CHANGE ORDER (CO)

A Change Order is the approval document, generated by the TFCs Project Manager through PROJECTMATES, by which adjustments will be made to the Contract cost and/or time. Refer to **UGC Article 11 Changes** for specific contractual information regarding Change Orders.

Final approval of all construction Change Orders will be given through signature by the Owner. Record copies of the fully executed change order will be posted in PROJECTMATES.

Request for payment for items included in a Change Order may be submitted only after the Change Order has been fully executed and a detailed breakdown of the change is included in the schedule of values.

## TIME EXTENSION

The Time Extension Change Form is to be submitted by the Contractor with the Pay Application on a monthly basis when additional days are requested for approval due to delays caused by inclement weather or other such delays. Indicate dates and reasons for the delay and attach any collaborating information.

The Contractor is advised that **UGC Article 9 Construction Schedules / 9.4 Ownership of Float**, requires that “the contractual time for the project construction and the construction time schedule include 10% schedule float that belongs to the project consumption of the schedule float is necessary prior to the award of any additional time to the contract.”

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# APPLICATION AND CERTIFICATION FOR PAYMENT

The Application and Certification for Payment is the AIA (Latest Edition G702 and G703) form used by the Contractor for preparation of the monthly pay estimate. The Application is to be submitted through Projectmates for review and approval.

**Schedule of Values.** For CMR contracts the Schedule of Values shall match the breakdown as submitted with each GMP proposal package. For CSP contracts the Schedule of Values shall match the breakdown in the bid proposal. Change order work shall be broken out accordingly and not incorporated into the original Schedule of Values.

**HUB Progress Assessment Report**. Submit updated HUB Subcontracting Plan with any changes prior to submitting pay application. Incorrect HSPs will delay payment processing.

Refer to the **Pay Application Approval Checklist for Construction Contracts** appendix for a full list required documents to be submitted with each Pay application and instructions. The Checklist must be signed by the Contractor and the A/E before routing the Pay Application package to the ODR.

# SUBSTANTIAL & FINAL COMPLETION

## PRE-SUBSTANTIAL CONSTRUCTION DOCUMENTATION

**UGC Article 6 Contract Documents** Review of the required documentation for Substantial Completion be included as a review item on the scheduled Progress Meeting agenda in order to avoid untimely delays in acceptance/issuance of Substantial Completion. The ODR will provide a **Substantial Completion Documentation** checklist. All documents should be uploaded in the Closeout Documents section of Projectmates prior to requesting Substantial Completion.

## SUBSTANTIAL COMPLETION

Refer to **UGC Article 12 / Project Completion and Acceptance.** The contractor shall notify the ODR in writing that the Work will be ready for Substantial Completion inspection on a certain date. The contractor shall include their punch list indicating all work associated with the request for inspection has previously been inspected, noting all items scheduled for completion or correction prior to final inspection.

The Contractor shall not request a Substantial Completion Inspection if any items on the list:

A. Prevent the building from the use to which it is intended.

B. Require more than thirty (30) calendar days to complete.

C. Disrupt use of the building completed work.

Exceptions must be discussed with the ODR prior to requesting Substantial Completion.

Upon review of submitted list, Owner and representatives, either schedule the inspection or inform Contractor the request is premature.

A/E, ODR, Contractor, and Owner / User Representatives jointly attend the Substantially Completion Inspection. If the work is found to be Substantially Complete, ODR issues a Certificate of Substantial Completion per the UGC. AE provides an attached list of any items requiring completion/correction prior to Final Inspection. TFC Fire Protection Program Supervisor, Matt Groce, must also sign off on the Substantial Completion.

If the work is determined not Substantially Complete, AE provides a list of items causing the rejection and sets a time for completion/correction of the work. Contractor must complete all listed work prior to requesting a second substantial completion inspection.

## FINAL ACCEPTANCE

Refer to **UGC Article 12 / Project Completion and Acceptance and TFC Final Payment Checklist.**

Prior to requesting Final Inspection, Contract shall complete all work included in the pre-final punchlist, including list of items generated during Substantial Completion Inspection, within thirty (30) days of the Substantial Completion date.

Upon completing the prefinal punchlist work, the Contractor shall give written notice to ODR and A/E that the work will be ready for final inspection on a specified date. If any works are determined as incomplete, the Contractor shall complete this work within seven (7) days of receiving the Final Punchlist.

The ODR will issue a Certificate of Final Completion establishing the Final Completion date once all work is determined to be completed including all contract requirements.

Correct or complete all items on the final Punchlist before requesting Final Payment. Completion of all work is a condition precedent to the Contractor’s right to receive Final Payment.

All required final contract documents shall be uploaded in the Closeout Documents section of Projectmates. **Refer to TFC Final Payment Checklist.**

The cost to the Owner of additional inspections resulting from the work not being completed for Substantial Completion, Final Completion, and the inspection of final Punchlist items is the responsibility of the Contractor. Refer to **UGC Article 12 Project Completion and Acceptance**

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# WARRANTY & GUARANTEE

Refer to **UGC Article 13** for complete requirements. Warranty periods shall begin on the designated date of Substantial Completion unless otherwise specified by the Owner and documented on the Substantial Completion Certificate. Warranty on equipment or components placed in continuous service before Substantial Completion will not begin until Substantial Completion.

The Warranty and Training Matrix in the Project Manual shall be completed and submitted in the closeout documents. Note all equipment warranties in excess of the standard 12-month period.

Written notice of any defects and actions taken to remedy said defects must be provided in writing; phone calls are insufficient. A log will be kept of all warranty correspondence. Prior to the end of the one-year Warranty period conduct a walk through with the Contractor, AE and ODR.