

Tampa International Airport – Master Plan

RM-15 MP Certificate of Substantial Completion, Project Closeout Documentation, Final Completion and Acceptance



1. Purpose: The purpose of this document is to establish a process that will be used to closeout Master Plan projects. This process will be initiated when the project in whole or parts thereof are agreed to be substantially complete by the HCAA PM Team and Contractor/ Design Builder (DB).
2. Closeout Register / Log: The Contractor/DB shall develop a closeout log utilizing the Prolog Closeout module. The log will be created at the beginning of the project and submitted to Master Plan Document Controls (MPDC) in the form of the Microsoft Excel Template provided under the Close-out Tab. MPDC will import these items into the Prolog Closeout Module. All items listed in the Specifications as Closeout Items shall be submitted through the Closeout Module (not the submittals). Each Closeout item shall be submitted as an individual record in Prolog with only the applicable Closeout documentation attached to each record. For Projects that will require Phased Substantial Completion, the Contractor/DB shall review those requirements with the HCAA PM and Project Controls Team in order for a Phased Substantial Completion plan to be developed. Within the Closeout record, the Phase field on the Sub Project Tab will be utilized to track and manage each Phase of Substantial Completion. The Type field on the Sub Project Tab will be used to track Substantial Completion Closeout Items and Final Completion Closeout items. Below is a description of the required Prolog fields that need to be completed and the responsible party.

A. General Tab

- 2.A.1 Number: This field in Prolog is automatically generated.
- 2.A.2 Description: This field will be completed by the Contractor/DB. A detailed description of the closeout item should be populated allowing for other project team members to quickly identify closeout items. Example: *Signage - 10 14 00 – O&M Manual*.
- 2.A.3 Attention: This shall be completed by the Contractor/DB. The applicable HCAA Project Manager, Project Engineer or Project Inspector should be listed. Note: the To Company field will be automatically populated.
- 2.A.4 From Contact ID: This should be populated by the responsible party submitting the Closeout record.
- 2.A.5 Category: This field is a drop down selection field. The Contractor/DB should select the applicable category of the closeout item.
- 2.A.6 Status: This field is a drop down selection field. The Contractor/DB will select the applicable Status. When creating the Closeout shell records a status of Pending should be selected. Once the Closeout documentation is submitted and approved by the Design team and, where necessary, the HCAA Maintenance staff, the Contractor/DB will change the status to Approved. This will trigger a notification to the HCAA PM team.

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2.A.7 Closed: This field will be populated by the HCAA PM team once they have reviewed and approved the Closeout Item.

B. Files Tab:

2.B.1 Individual files shall be uploaded by the Contractor/DB.

C. Sub Project Tab:

2.C.1 Sub Project: This field is a drop down selection field utilized for some Master Plan Project. For the projects that have SubProjects, the Contractor/DB will select the applicable Sub-Project.

2.C.2 Phase: For projects that require Phased Substantial Completion this field will be completed by the Contractor/DB.

2.C.3 Type: This field is a pre-populated drop down field. The Contractor/DB will indicate if the Closeout record is part of the Substantial Completion Closeout process or the Final Completion Closeout Process.

2.C.4 Spec Section: The Contractor/DB shall populate the Spec Section for items directly related to the specification manual. The number format should follow the format used in the Submittals module (00 00 00) – Description.

3. Substantial Completion Pre-Requisites: The following information will be collected through the process listed in Section 2 above by the HCAA PM prior to the issuance of a Substantial Completion letter to the Contractor/DB. On the Sub Project Tab, the Contractor/DB will indicate the Type field as Substantial Completion.

A. Demonstrate 100% Complete for requested Substantial Completion Scope of Work. A copy of the Schedule of Values (SOV) should highlight the SOV line items associated with the Substantial Completion Scope of work, and they should indicate a billing percent complete of 100%.

B. Supporting documentation as required by contract will be submitted through the Closeout Module as specified in the above section. All items under the “Closeout” section in the Specifications need to be provided with each item submitted to an individual record. The HCAA PM is to verify all Closeout documents have been submitted for the total scope or for each phase of Substantial Completion.

C. A submission of all Subcontracts should be provided indicating 100% complete with the scope of work and no pending Change Orders. For phased substantial completion the Subcontractor SOV should indicate 100% complete for the scope of work. The subcontractor should also certify they have no pending change orders for the phased scope of work.

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- D. Submission of all applicable releases enabling the owner unrestricted access and use.
 - 3.D.1 Attachment 4b Affidavit of Payment of Debts and Claims. Note if for phased substantial completion the specific phased scope of work should be listed in the "Contract For" section.
 - 3.D.2 Attachment 4c Affidavit of Release of Liens. Note if for phased substantial completion the specific phased scope of work should be listed in the "Contract For" section.
- E. Delivery of Tools, Spare Parts, extra stock, and other similar items need to be provided to HCAA with a hard copy Transmittal Printed record from Prolog. A copy of the transmittal needs to be attached to a record in the Closeout Module for the physical items submitted.
- F. Make final changeover of locks and transmit keys to Owner, and advise Owner's personnel of change-over in security provisions. The Contractor/DB should upload a copy of the Prolog Transmittal to the Closeout record.
- G. Complete start-up testing of systems and instructions of Owner's operating maintenance personnel.
- H. Discontinued or change over, and remove from Project site temporary facilities and services, along with construction tools and facilities, mockups, and similar elements.
- I. All cleaning and repairs must be completed per the contract. The Contractor/DB will submit a letter with applicable backup documentation including pictures and daily reports indicating the proper cleaning procedures have been completed.

4. Substantial Completion Inspection Procedures:

- A. In addition to Section 3, all open inspection items will be added to the substantial completion punch list and must be complete prior to the issuance of the substantial completion letter. Reference the RM-22 MP QA/QC Punch List Recordation process, which outlines the movement of open Contractor/DB QC items to the Substantial Completion Punch List in Prolog.
- B. The PM will schedule a Punch List walk through with relevant Authority personnel no later than 5 business days following receipt of the Request for Substantial Completion and DB initial punch list items. If the work subject to the Request for Substantial Completion has a cost \$10 Million or more, then no later than 60 days following the Request for Substantial Completion, the Authority will supplement to the DB initial punch list items in Prolog if necessary. If the work subject to the Request for Substantial Completion has a cost of \$10 Million or less, then no later than 30 days

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following the receipt of the Request for Substantial Completion, the Authority will supplement the DB initial punch list items in Prolog if necessary. All of these items become the single punch list for the phase of work. The DB is provided updated punch list reports on a weekly basis, or as it chooses to run them from Prolog.

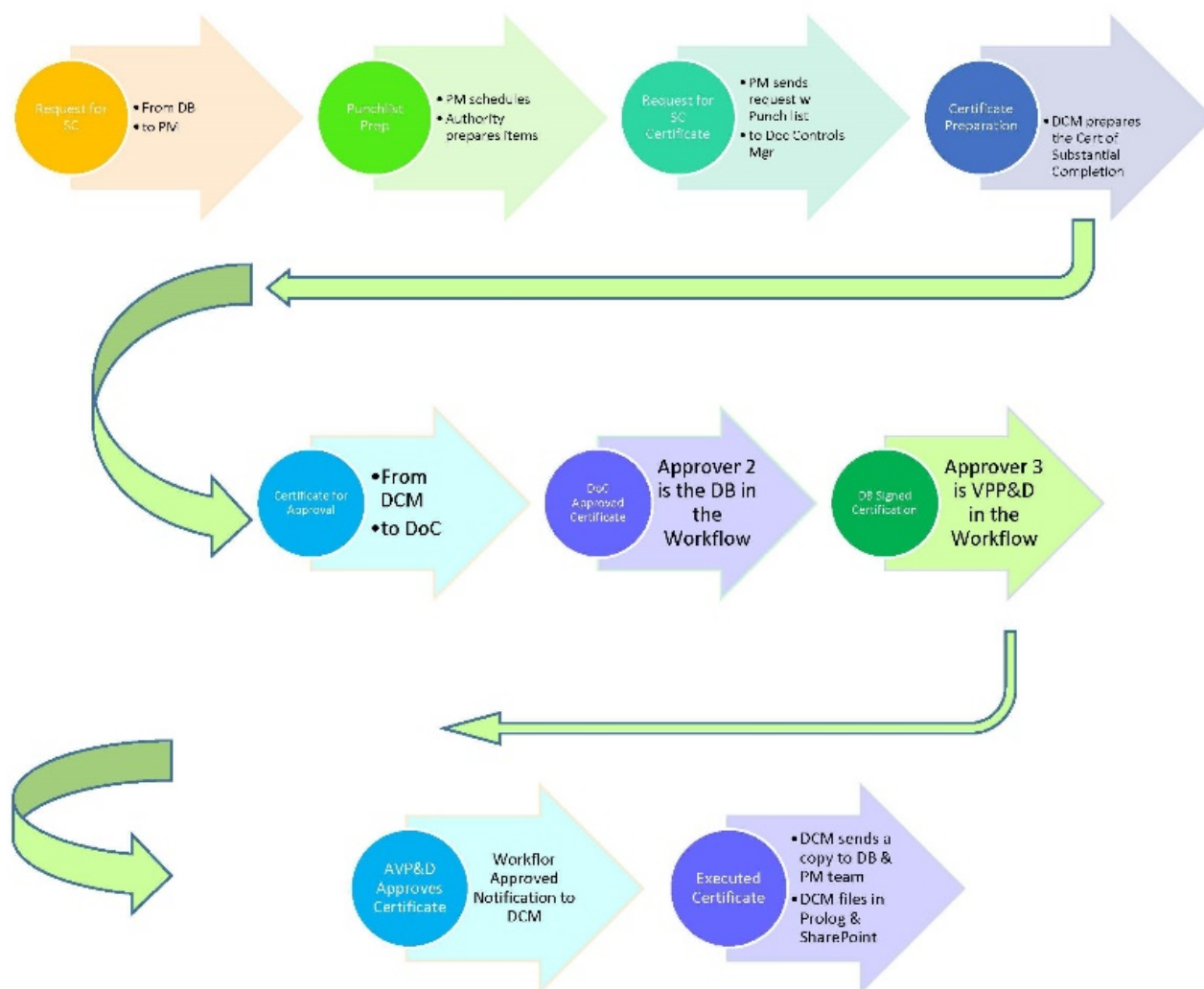
- C. When the Prolog Punch List has been finalized for the work subject to the request for substantial completion, a Punch List Report and the Request for Substantial Completion letter are forwarded to the Document Controls Manager (DCM) for preparation of the Certificate of Substantial Completion. The date of Substantial Completion is provided by the PM.
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5. Document Controls Manager (DCM) prepares the Certificate of Substantial Completion and forwards the Certificate, the Punch List Report, and the Request for Substantial Completion letter. This package is transmitted in the following workflow for review and approval:
 - A. Step 1 PM;
 - B. Step 2 is DOC;
 - C. Step 3 is the Contractor/DB;
 - D. Step 4 is the VPP&D.
 6. When the VPP&D has approved the workflow, the DCM receives notification that the workflow is completed and the DCM will forward the final Approved Certificate to the DB and Project PM with the workflow approvals attached. The package is filed in SharePoint.

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Process for Electronic Approval of Certificate of Substantial Completion



- Final Completion and Acceptance: Prior to HCAA issuing a Final Acceptance Letter the following must be submitted via a Prolog Closeout records in Prolog following the process outlined in Section 3. On the Sub Project Tab, the Contractor/DB should indicate the Type field as Final Completion.

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- A. Ensure Contractor/DB has completed all items on the Final Acceptance Punch List per RM-22 MP QA/QC Punch List Recordation process. The Contractor/DB should attach a copy of the completed punch list register to the Closeout record in Prolog.
- B. Ensure the Contractor/DB has submitted the following documents:
 - 7.B.1 Consent of Surety to Payment
 - 7.B.2 Contractor/DB Affidavit of Release of Liens – Contractor/DB will complete and attached the Waiver and Release of Lien upon Final Payment Attachment 4d.
 - 7.B.3 List of Subcontractors and Suppliers
 - 7.B.4 Final Release of Lien from each subcontractor and supplier listed in 6.B.3 above. Contractor/DB will complete and attached the Waiver and Release of Lien upon Final Payment attachment 4d for each subcontractor.
 - 7.B.5 Statement of compliance of labor standards and payment of all applicable taxes.
 - 7.B.6 Statement of Contractor/DB's one year general warranty
 - 7.B.7 Specific warranties as specified in Contract Documents
 - 7.B.8 Accounting of final contract amount
 - 7.B.9 Accounting of actual DBE (WMBE) participation
 - 7.B.10 As-Built drawings sufficient for the production of record drawings
 - 7.B.11 O&M Manuals, Record Project Manual and Record Documents
 - 7.B.12 Evidence of continuing insurance complying with specific requirements
 - 7.B.13 Contractor/DB's final pay application
 - 7.B.14 Final amendment – when applicable
- C. Submit final meter readings for utilities, measured record of stored fuel and similar data either at the time of substantial completion, or when the Owner took possession of and responsibility for, corresponding elements of work.
- D. Complete final cleaning requirements. The Contractor/DB should submit a letter with applicable backup documentation including pictures and daily reports indicating the proper cleaning procedures have been completed.
- E. Final touch-up and other repairs as needed - The Contractor/DB should submit a letter with applicable backup documentation including pictures and daily reports indicating the (proper cleaning procedures have been completed.

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- F. Validation of final pay application costs – Contractor/DB should submit the Final Pay Application and completed the attached PD 66 Final Accounting Form.
- G. Delivery of extra material to Owner – Contractor/DB to attach transmittals to closeout records
- H. Record Document Submittal
 - 7.H.1 Record Drawings
 - 7.H.1.1 Contractor/DB As Built Drawings
 - 7.H.2 Record Project Manual
 - 7.H.2.1 Record Product Data
 - 7.H.2.2 Record Sample Submittals
 - 7.H.2.3 Miscellaneous Record Submittals
 - 7.H.3 Maintenance Manuals
 - 7.H.3.1 Guarantees and Warranties
 - 7.H.3.2 Operating Instructions and Maintenance Manuals
 - 7.H.4 Replacement Materials
- I. Equipment Operation Demonstrations – Contractor/DB must submit videos when applicable, and sign in sheets to closeout records.