

Welcome to “Project Close Out”

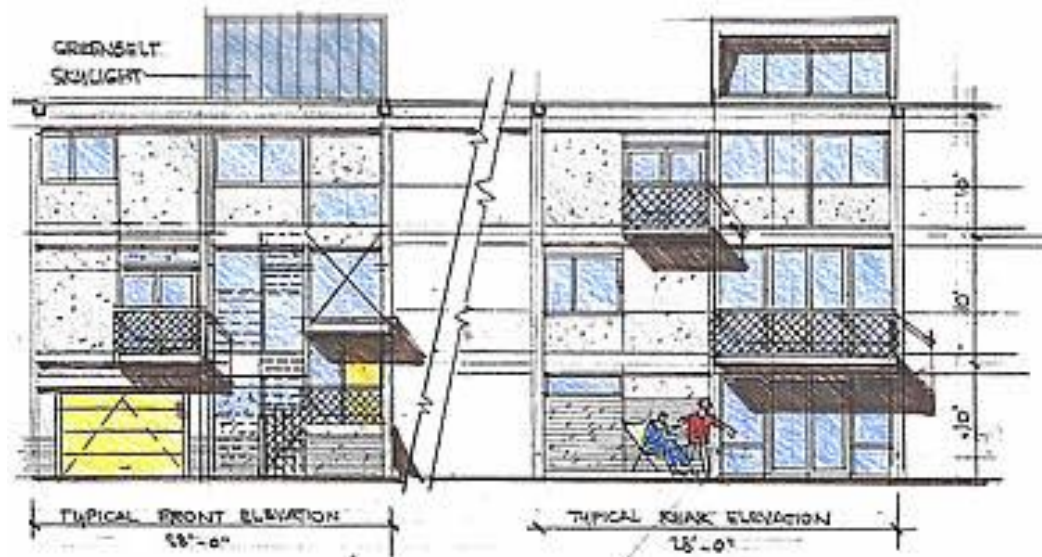
We will begin shortly.

(for higher quality, dial a number based on your current location)

To listen to this webinar: 1.669.900.6833 or + 1.408.638.0968

Access Code: 393.375.631

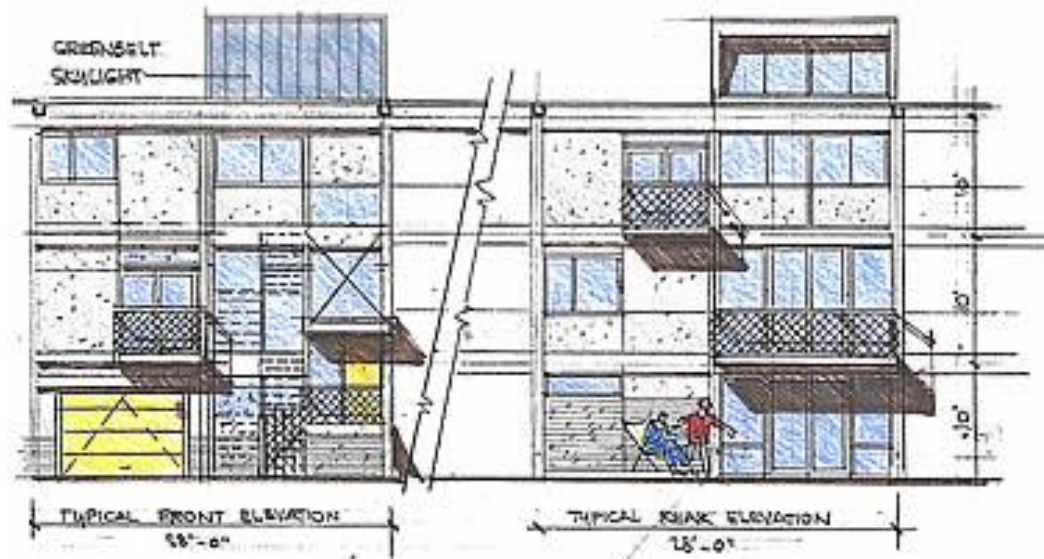
or + 1.646.876.9923



Webinar Project Close Out

Today's Presenters

- Mark Meredith,
Senior Counsel, OGC
- Josephine Ortega, AIA, C.B.O
Construction Specialist, UCOP



Webinar Project Close Out

Learning Objectives:

At the end of the this course, participants will be able to:

- **Learn the steps in the close out process.**
- **Identify threats to a smooth and timely closeout**
- **Understand when to use a certificate of Temporary Occupancy.**
- **Understand when to use a certificate of Beneficial Occupancy.**
- **Understand when to use a Certificate of Occupancy.**
- **Identify the differences between Substantial Completion and Certificate of Occupancy**
- **Understand Final Completion impacts on final payments**
- **Identify when to file a Notice of Completion**

Key Closeout Steps

- **Temporary Certificate of Occupancy**
- **Certificate of Beneficial Occupancy
(if taking Beneficial Occupancy)**
- **Certificate of Occupancy**
- **Certificate of Substantial Completion**
- **Final Submittals--Warranties, O&Ms, & sign-offs**
- **Final change orders**
- **Final Completion**
- **Notice of Completion**

Some Threats to a Smooth and Timely Closeout

- **Unresolved Change Orders**
- **Possible claims**
- **Contractor fatigue**
- **Weak contractor project engineer**
- **Eternal punch list**
- **Slow or unreasonable University review of final submittals**
- **Stop Payments**

**Success requires a lot of work,
planning and communication.**

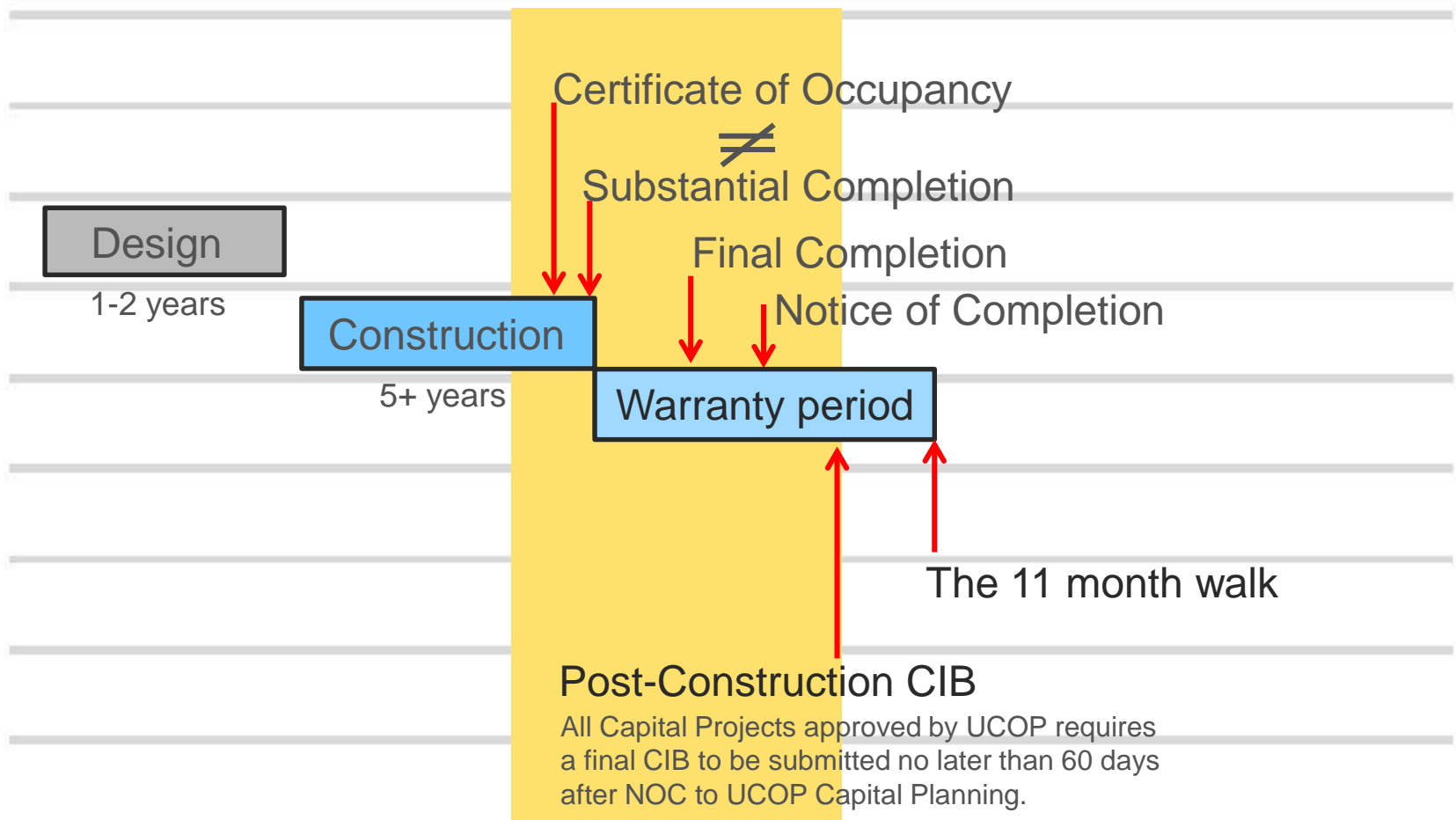


How does Successful Construction Closeout feel?



Ideal Project Closeout Process

Construction Closeout Phase



Quiz:

Test your knowledge.

Campus X is building a new Engineering Building. The Dean of Engineering would like visit the new Engineering Building construction site to where his new office will be located?

By contract, the University Representative is required to obtain and issue a certificate of:

- A. Notice of Completion
- B. Beneficial Occupancy
- C. Certificate of Occupancy
- D. None of the above

Quiz:

Test your knowledge.

Campus X is building a new Engineering Building. The Dean of Engineering would like visit the new Engineering Building construction site to where his new office will be located?

By contract, the University Representative is required to obtain and issue a certificate of:

- A. Notice of Completion
- B. Beneficial Occupancy
- C. Certificate of Occupancy
- D. None of the above**

Temporary Certificate of Occupancy (TCO)

- TCO, is not to for move-in
- Use is limited to a specify period, provided such portion or portions shall be occupied safely.
- Requires Certified Building Official & Designated Campus Fire Marshal approvals.
- TCO should not be used to occupy or take beneficial occupancy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion.

INSERT
CAMPUS LOGO

Temporary Certificate of Occupancy

University of California, Office of the President

INSERT
ADDRESS
CITY, CA, ZIP CODE
PHONE NUMBER

Project Name: _____

Project Number: _____

Building Name: _____

Building Owner: _____
(Only when University is not Building Owner)

Campus/Facility: _____

Street Address: _____

Occupancy: _____

Type of Construction: _____

Contractor: _____

The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a temporary certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy. The Temporary Certificate of Occupancy shall limit the usage to a specify period, provided that such portion or portions shall be occupied safely. This form should not be used to occupy or take beneficial occupancy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion.

University hereby takes Temporary Occupancy as follows:

1. The date of commencement of Temporary Occupancy of the above described portion of the Work is _____.
The date of Temporary Occupancy issued _____.
2. The systems or equipment may not be fully operational and utilized by University. If installed, the Contractor shall remain fully responsible for the operation and maintenance of such systems and equipment. For such systems and equipment only, the Guarantee to Repair Period shall commence on the date set forth in the General Conditions of the Contract.
3. Concurrence of Lead Designated Campus Fire Marshal.
4. Concurrence of University's Certified Building Official.

UNIVERSITY OF CALIFORNIA OFFICE OF THE PRESIDENT


Approved: _____

Signature: _____

Name: _____

Title: _____

Designated Campus Fire Marshal



Signature: _____

Name: _____

Title: _____

University's - Certified Building Official

Check here if additional Conditions are attached _____
This certificate is issued pursuant to the requirements of the California Building Code section 111.3, **General Conditions of the Contract and Facilities Manual 5:17.3**, inspections of the building/premises, Building Owner maintaining all conditions listed, and the representations made by the Contractor, Inspector(s) and the Design Professional(s) of Record.

If Building Owner is not the University, a copy of this Certificate shall be maintained at the subject building/premise at all times. The University shall maintain a copy of this certificate at the Campus Building Official's Office.

Temporary Certificate of Occupancy (TCO)

- Project Information
 - Project Name / Project Number
 - Building Name / Building Owner
 - Campus/Facility
 - Occupancy
 - Type of Construction
 - Contractor

UNIVERSITY OF CALIFORNIA

Temporary Certificate of Occupancy

University of California, Office of the President
1111 Franklin Street
Oakland, CA 94607

Project Name: UCOP Expansion Phase 1 Project Number: 2017 - 00012

Building Name: UCOP Annex Building Owner: UCOP
(only when University is not Building Owner)

Campus/Facility: UCOP Annex Street Address: 419 12th Street (UCOP Annex)

Occupancy: B - Offices / 2- Stories Type of Construction: IV - Heavy Timber

Contractor: BEST VALUE CONTRACTOR IN THE BAY AREA

The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a temporary certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy. The Temporary Certificate of Occupancy shall limit the usage to a specify period, provided that such portion or portions shall be occupied safely. This form should not be used to occupy or take beneficial occupancy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion.

UNIVERSITY OF CALIFORNIA

Temporary Certificate of Occupancy

University of California, Office of the President
1111 Franklin Street
Oakland, CA 94607

Project Name: UCOP Expansion Phase 1 Project Number: 2017 - 00012

Building Name: UCOP Annex Building Owner: UCOP
(only when University is not Building Owner)

Campus/Facility: UCOP Annex Street Address: 419 12th Street (UCOP Annex)

Occupancy: B - Offices / 2- Stories Type of Construction: IV - Heavy Timber

Contractor: BEST VALUE CONTRACTOR IN THE BAY AREA

Temporary Certificate of Occupancy (TCO)

- Description of Temporary Occupancy
 - Date of access request: From:....To
 - Date of issue
 - Area of the site that will be accessed
 - Purpose of the request
 - And any other special conditions noted

The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a temporary certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy. The Temporary Certificate of Occupancy shall limit the usage to a specify period, provided that such portion or portions shall be occupied safely. This form should not be used to occupy or take beneficial occupancy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion.

University hereby takes Temporary Occupancy as follows:

1. The date of commencement of Temporary Beneficial Occupancy of the above described portion of the Work is October 13, 2017 through October 16, 2017 .
2. Site access will be limited to areas within the fenced area.
3. The purpose for the TCO is to walk Donors , Campus VIP's and Governmental Officials on site.
4. Other . . .

1 The date of commencement of Temporary Occupancy of the above described portion of the Work is October 13, 2017

The date of Temporary Occupancy issued October 13, 2017

2 The systems or equipment may not be fully operational and utilized by University. If installed, the Contractor shall remain fully responsible for the operation and maintenance of such systems and equipment. For such systems and equipment only, the Guarantee to Repair Period shall commence on the date set forth in the General Conditions of the Contract.

3 Concurrence of Lead Designated Campus Fire Marshal.

4 Concurrence of University's Certified Building Official.



University hereby takes Temporary Occupancy as follows:

1. The date of commencement of Temporary Beneficial Occupancy of the above described portion of the Work is October 13, 2017 through October 16, 2017 .
2. Site access will be limited to areas within the fenced area.
3. The purpose for the TCO is to walk Donors , Campus VIP's and Governmental Officials on site.
4. Other . . .

1 The date of commencement of Temporary Occupancy of the above described portion of the Work is October 13, 2017

The date of Temporary Occupancy issued October 13, 2017

2 The systems or equipment may not be fully operational and utilized by University. If installed, the Contractor shall remain fully responsible for the operation and maintenance of such systems and equipment. For such systems and equipment only, the Guarantee to Repair Period shall commence on the date set forth in the General Conditions of the Contract.

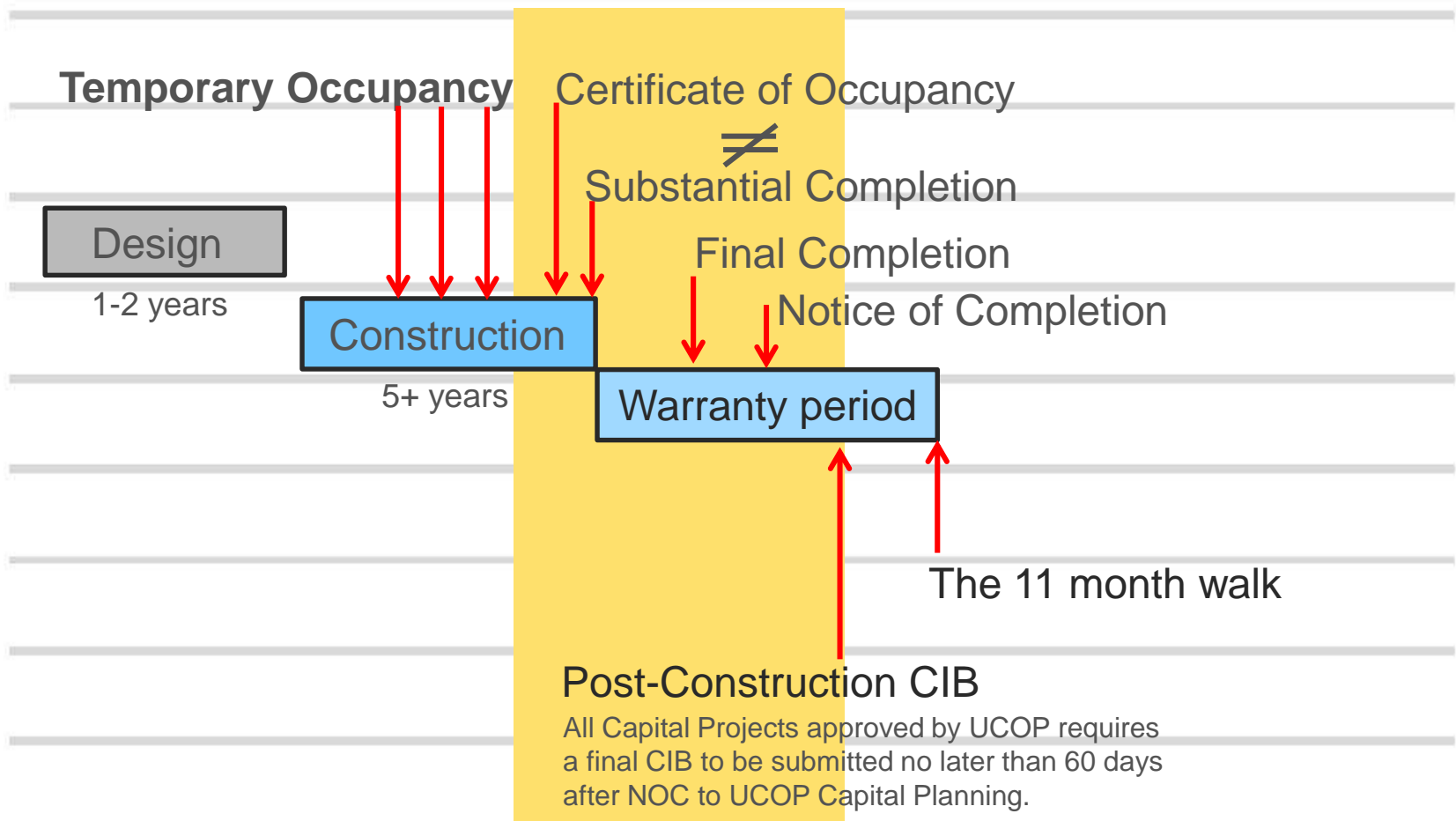
3 Concurrence of Lead Designated Campus Fire Marshal.

4 Concurrence of University's Certified Building Official.

Project Closeout Process

Construction Closeout Phase

When the University takes Temporary Occupancy



Quiz:

Test your knowledge.

Campus X is building a new Engineering Building. The new Engineering Building consist of three floors. Floors “3” is completed and floors “1” and “2” will be completed in 10 months. The University would like to occupy floor “3” which contains classrooms and faculty offices as soon as possible.

The University Representative is required to obtain and issue a certificate of:

- A. Temporary Occupancy
- B. Beneficial Occupancy
- C. Certificate of Occupancy
- D. None of the above

Quiz:

Test your knowledge.

Campus X is building a new Engineering Building. The new Engineering Building consist of three floors. Floor “3” is completed and floors “1” and “2” will be completed in 10 months. The University would like to occupy floor “3” which contains classrooms and faculty offices as soon as possible.

The University Representative is required to obtain and issue a certificate of:

- A. Temporary Occupancy
- B. Beneficial Occupancy**
- C. Certificate of Occupancy
- D. None of the above

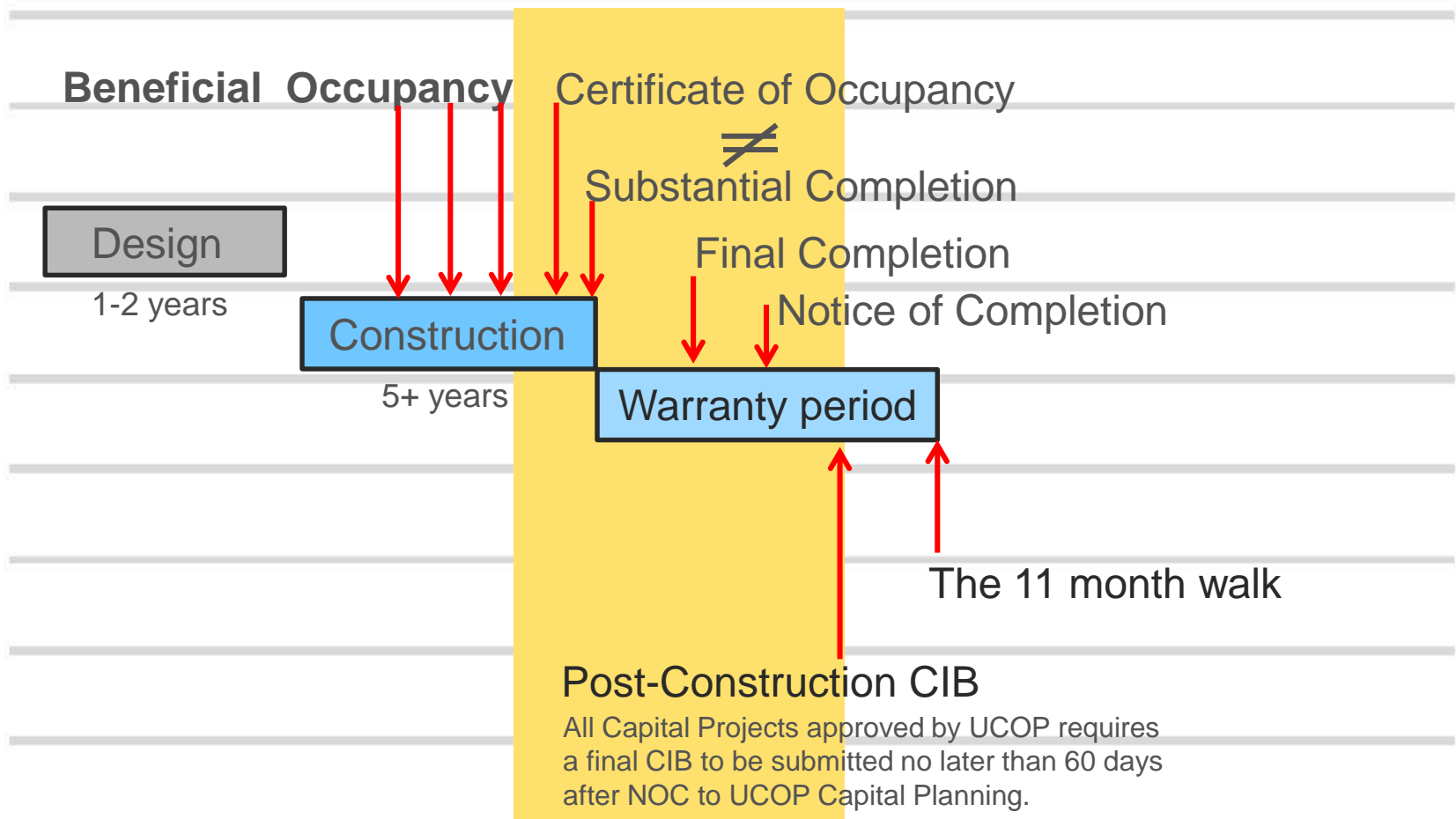
Certificate of Beneficial Occupancy

- Are we occupying or otherwise making use of any part of the Work prior to Substantial Completion or Final Completion?
- If yes, then we need:
 - 10 days notice to contractor
 - Inspection and correction list
 - Certificate of Beneficial Occupancy
 - To pay for normal operating and maintenance costs and utility costs
 - To address security in the area beneficially occupied

Project Closeout Process

Construction Closeout Phase

When the University takes Beneficial Occupancy



Certificate of Beneficial Occupancy

- **Is NOT:**
 - Acceptance of the Work to be occupied
 - A waiver of existing claims
 - A transfer of O&M responsibility to UC
 - An opportunity to require Contractor to repair damage caused by UC
 - An opportunity for Contractor to bill UC for added cost beyond those noted
 - An end to Contractor's insurance requirements

Certificate of Beneficial Occupancy

INSERT
CAMPUS LOGO

Certificate of Beneficial Occupancy

INSERT ADDRESS
CITY, CA ZIP CODE
PHONE NUMBER

University of California, _____

Project Name: _____ Project Number: _____
 Building Name: _____ Building Owner: _____
(only when University is not Building Owner)
 Campus/Facility: _____ Street Address: _____
 Occupancy: _____ Type of Construction: _____
 Contractor: _____

The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a beneficial certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy, the University reserves the right, at its option and convenience, to occupy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion upon 10 days notice to Contractor.

University hereby takes Beneficial Occupancy as follows:

- 1 The date of commencement of Beneficial Occupancy of the above described portion of the Work is _____, 20__
The date of Beneficial Occupancy issued _____, 20__
- 2 The systems or equipment listed on Schedule 1 to this certificate are fully operational and will be utilized by University. Contractor shall remain fully responsible for the operation and maintenance of such systems and equipment. For such systems and equipment only, the Guarantee to Repair Period shall commence on the date set forth in Paragraph 1 of this certificate.
- 3 A list of items to be completed or corrected in the portion of the Work described in Paragraph above prior to Final Completion is set forth in Schedule 2 of this certificate. The failure to include any items on such list does not alter the responsibility of Contractor to complete all Work in accordance with the Contract Documents.
- 4 Concurrence of Designated Campus Fire Marshal.
- 5 Concurrence of University's Certified Building Official.



UNIVERSITY OF CALIFORNIA, _____
 Approved:
 Signature: _____
 Name: _____
 Title: _____
Designated Campus Fire Marshal

Signature: _____
 Name: _____
 Title: _____
University's - Certified Building Official

SCHEDULE 1 FULLY OPERATIONAL SYSTEMS AND EQUIPMENT

SCHEDULE 2 ITEMS TO BE COMPLETED OR CORRECTED PRIOR TO FINAL COMPLETION

_____ Check here if additional Conditions are attached

This certificate is issued pursuant to the requirements of the California Building Code section 111.3, **General Conditions of the Contract and Facilities Manual 5-17.1.1**, Inspections of the building/premises, Building Owner maintaining all conditions listed, and the representations made by the Contractor, Inspector(s) and the Design Professional(s) of Record.

If Building Owner is not the University, a copy of this Certificate shall be maintained at the subject building/premise at all times. The University shall maintain a copy of this certificate at the Campus Building Official's Office.

Certificate of Beneficial Occupancy

UNIVERSITY OF CALIFORNIA

Certificate of Beneficial Occupancy

University of California of the President
1111 Franklin Street
Oakland, CA 94607

University of California, Office of the President

Project Name: UCOP Expansion Phase 1 Project Number: 2017 - 00012

Building Name: UCOP Annex Building Owner: UCOP
(only when University is not Building Owner)

Campus/Facility: UCOP Annex Street Address: 419 12th Street (UCOP Annex)

Occupancy: B - Offices / 2 - Story Type of Construction: IV - HEAVY TIMBER

Contractor: BEST VALUE CONTRACTOR IN THE BAY AREA

The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a beneficial certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy, the University reserves the right, at its option and convenience, to occupy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion upon 10 days notice to Contractor.

University hereby takes Beneficial Occupancy as follows:

Project Information

- Project Name / Project Number
- Building Name / Building Owner
- Campus/Facility
- Occupancy
- Type of Construction
- Contractor



Certificate of Beneficial Occupancy

University of California of the President
1111 Franklin Street
Oakland, CA 94607

University of California, Office of the President

Project Name: UCOP Expansion Phase 1

Project Number: 2017 - 00012

Building Name: UCOP Annex

Building Owner: UCOP
(only when University is not Building Owner)

Campus/Facility: UCOP Annex

Street Address: 419 12th Street (UCOP Annex)

Occupancy: B - Offices / 2 - Story

Type of Construction: IV - HEAVY TIMBER

Contractor: BEST VALUE CONTRACTOR IN THE BAY AREA

The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a beneficial certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy, the University reserves the right, at its option and convenience, to occupy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion upon 10 days notice to Contractor.

Certificate of Beneficial Occupancy

- Project Description of Beneficial Occupancy
 - Specific area of facility

UNIVERSITY OF CALIFORNIA

Certificate of Beneficial Occupancy

University of California of the President
1111 Franklin Street
Oakland, CA 94607

Project Name: UCOP Expansion Phase 1 Project Number: 2017_00012

Building Name: UCOP Annex Building Owner: UCOP
(Sometimes University is not Building Owner)

Campus/Facility: UCOP Annex Street Address: 115 12th Street UCOP Annex

Occupancy: B - Offices / 2 - Story Type: _____

Contractor: BEST VALUE CONTRACTOR IN THE BAY AREA

The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a beneficial certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy, the University reserves the right, at its option and convenience, to occupy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion upon 10 days notice to Contractor.

University hereby takes Beneficial Occupancy as follows:

The entire building interior **except for** the following rooms:

First Floor: 1102, 1105, 1108, 1222B, 1223, 1225, 1226
Second Floor: 2003 and 2130C.

The fire alarm and fire sprinkler systems for the building are functioning and operational.

The UCOP Fire Department issued a fire clearance on December 21, 2017. Per General Conditions, Article 9.6, the University has inspected these areas and provided a list of completion items to be addressed after the Beneficial Occupancy date.

The completion of these items is required for Substantial Completion.

1 The date of commencement of Beneficial Occupancy of the above described work is: **The date of Beneficial Occupancy issued: December 22, 2017**

2 The systems or equipment listed on Schedule 1 to this certificate are fully installed and remain fully responsible for the operation and maintenance of such systems. Guarantee to Repair Period shall commence on the date set forth in Paragraph 1.

3 A list of items to be completed or corrected in the portion of the Work described in Schedule 2 of this certificate. The failure to include any items on such list does not constitute a waiver of the University's obligations under the Contract Documents.

4 Concurrence of Designated Campus Fire Marshal.


5 Concurrence of University's Certified Building Official.

UNIVERSITY OF CALIFORNIA, OFFICE of the PRESIDENT
Approved: _____

Signature: UCOP DCFM

Name: UCOP DCFM

Title: UCOP DCFM
Designated Campus Fire Marshal



The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a beneficial certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy, the University reserves the right, at its option and convenience, to occupy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion upon 10 days notice to Contractor.

University hereby takes Beneficial Occupancy as follows:

The entire building interior **except for** the following rooms:

First Floor: 1102, 1105, 1108, 1222B, 1223, 1225, 1226,
Second Floor: 2003 and 2130C.

The fire alarm and fire sprinkler systems for the building are functioning and operational.

The UCOP Fire Department issued a fire clearance on December 21, 2017. Per General Conditions, Article 9.6, the University has inspected these areas and provided a list of completion items to be addressed after the Beneficial Occupancy date.

The completion of these items is required for Substantial Completion.

Certificate of Beneficial Occupancy

1 The date of commencement of Beneficial Occupancy of the above described portion of the Work is December 22, 2017.

The date of Beneficial Occupancy issued: December 22, 2017

2 The systems or equipment listed on Schedule 1 to this certificate are fully operational and will be utilized by University. Contractor shall remain fully responsible for the operation and maintenance of such systems and equipment. For such systems and equipment only, the Guarantee to Repair Period shall commence on the date set forth in Paragraph 1 of this certificate.

3 A list of items to be completed or corrected in the portion of the Work described in Paragraph above prior to Final Completion is set forth in Schedule 2 of this certificate. The failure to include any items on such list does not alter the responsibility of Contractor to complete all Work in accordance with the Contract Documents.

4 Concurrence of Designated Campus Fire Marshal.

5 Concurrence of University's Certified Building Official.



UNIVERSITY OF CALIFORNIA, OFFICE of the PRESIDENT

Approved:

Signature: UCOP DCFM

Signature: UCOP CBO

Name: UCOP DCFM

Name: UCOP CBO

Title: UCOP DCFM

Designated Campus Fire Marshal

Title: UCOP CBO

University's - Certified Building Official

UNIVERSITY OF CALIFORNIA

Project Name: _____

Building Name: _____

Campus/Facility: _____

Occupancy: _____

Contractor: _____

The Designated Completion of the right, at its option Final Completion

University hereby _____

The _____

First _____

Seco _____

The _____

func _____

The _____

Gen _____

prov _____

Occu _____

The _____

1 The date of commencement of Beneficial Occupancy of the above described portion of the Work is December 22, 2017.

The date of Beneficial Occupancy issued: December 22, 2017

2 The systems or equipment listed on Schedule 1 to this certificate are fully operational and will be utilized by University. Contractor shall remain fully responsible for the operation and maintenance of such systems and equipment. For such systems and equipment only, the Guarantee to Repair Period shall commence on the date set forth in Paragraph 1 of this certificate.

3 A list of items to be completed or corrected in the portion of the Work described in Paragraph above prior to Final Completion is set forth in Schedule 2 of this certificate. The failure to include any items on such list does not alter the responsibility of Contractor to complete all Work in accordance with the Contract Documents.

4 Concurrence of Designated Campus Fire Marshal.

5 Concurrence of University's Certified Building Official.

UNIVERSITY OF CALIFORNIA, OFFICE of the PRESIDENT


Approved:

Signature: UCOP DCFM

Name: UCOP DCFM

Title: UCOP DCFM

Designated Campus Fire Marshal



Signature: UCOP CBO

Name: UCOP CBO

Title: UCOP CBO

University's - Certified Building Official

801700744446

Date Beneficial Occupancy begins
Date Beneficial Occupancy issued
Approval Signatures

- Lead DCFM & Certified Building Official
- Attach punch list and status of systems.

Certificate of Beneficial Occupancy

**SCHEDULE 1
FULLY OPERATIONAL SYSTEMS AND EQUIPMENT**

See attached punchlist.

**SCHEDULE 2
ITEMS TO BE COMPLETED OR CORRECTED PRIOR TO FINAL COMPLETION**

See attached punchlist.

**SCHEDULE 1
FULLY OPERATIONAL SYSTEMS AND EQUIPMENT**

See attached punchlist.

**SCHEDULE 2
ITEMS TO BE COMPLETED OR CORRECTED PRIOR TO FINAL COMPLETION**

See attached punchlist.

_____ Check here if additional Conditions are attached

This certificate is issued pursuant to the requirements of the California Building Code section 111.3, General Conditions of the Contract and Facilities Manual 5:17.1.1., inspections of the building/premises, Building Owner maintaining all conditions listed, and the representations made by the Contractor, Inspector(s) and the Design Professional(s) of Record.

If Building Owner is not the University, a copy of this Certificate shall be maintained at the subject building/premise at all times. The University shall maintain a copy of this certificate at the Campus Building Official's Office.

BO 170004-46-66

Certificate of Beneficial Occupancy

_____ Check here if additional Conditions are attached

This certificate is issued pursuant to the requirements of the California Building Code section 111.3, **General Conditions of the Contract and Facilities Manual 5:17.1.1.**, inspections of the building/premises, Building Owner maintaining all conditions listed, and the representations made by the Contractor, Inspector(s) and the Design Professional(s) of Record.

If Building Owner is not the University, a copy of this Certificate shall be maintained at the subject building/premise at all times. The University shall maintain a copy of this certificate at the Campus Building Official's Office.

- Check and attach, if there are any conditions associated with the Beneficial Occupancy

SCHEDULE 2
ITEMS TO BE COMPLETED OR CORRECTED PRIOR TO FINAL COMPLETION

See attached punchlist.

_____ Check here if additional Conditions are attached

This certificate is issued pursuant to the requirements of the California Building Code section 111.3, **General Conditions of the Contract and Facilities Manual 5:17.1.1.**, inspections of the building/premises, Building Owner maintaining all conditions listed, and the representations made by the Contractor, Inspector(s) and the Design Professional(s) of Record.

If Building Owner is not the University, a copy of this Certificate shall be maintained at the subject building/premise at all times. The University shall maintain a copy of this certificate at the Campus Building Official's Office.

BO 170004-46-06

Certificate of Beneficial Occupancy

UNIVERSITY HEREBY TAKES BENEFICIAL OCCUPANCY AS FOLLOWS:

1. Beneficial Occupancy shall be for the following described portion of the work:

The entire building interior **except for** the following rooms:

First Floor: 1102, 1105, 1108, 1222B, 1223, 1225, 1226,


Second Floor: 2003 and 2130C.

The fire alarm and fire sprinkler systems for the building are functioning and operational. The UCOP Fire Department issued a fire clearance on December 21, 2017.

Per General Conditions, Article 9.6, the University has inspected these areas and provided a list of completion items to be addressed after the Beneficial Occupancy date. **The completion of these items is required for Substantial Completion.**

2. **The date of commencement** of Beneficial Occupancy of the above described portion of the Work is December 22, 2017
3. **The systems or equipment** listed on Schedule 1 to this certificate are fully operational and **will be utilized by the University. Contractor shall remain fully responsible** for the operation and maintenance of such systems and equipment. For such systems and equipment only, the Guarantee to Repair Period shall commence on the date in Paragraph 2 of this certificate.
4. A list of items to be completed or corrected in the portion of the Work described in Paragraph 1 of this Certificate prior to Final Completion is set forth in Schedule 2 to this Certificate.

Certificate of Beneficial Occupancy

	Certificate of Beneficial Occupancy		University of California of the President 1111 Franklin Street Oakland, CA 94607
	University of California, Office of the President		
Project Name: <u>UCOP Expansion Phase 1</u>	Project Number: <u>2017_00012</u>		
Building Name: <u>UCOP Annex</u>	Building Owner: <u>UCOP</u> <small>(unless University is not Building Owner)</small>		
Campus/Facility: <u>UCOP Annex</u>	Street Address: <u>419 12th Street (UCOP Annex)</u>		
Occupancy: <u>B - Offices / 2 - Story</u>	Type of Construction: <u>IV - HEAVY TIMBER</u>		
Contractor: <u>BEST VALUE CONTRACTOR IN THE BAY AREA</u>			

The Designated Campus Fire Marshal and Certified Building Official are authorized to issue a beneficial certificate of occupancy before completion of the entire work. Referred to in the California Building Code, section 111.3 as temporary occupancy, the University reserves the right, at its option and convenience, to occupy or otherwise make use of any part of the Work at any time prior to Substantial Completion or Final Completion upon 10 days notice to Contractor.

University hereby takes Beneficial Occupancy as follows:

The entire building interior **except** for the following rooms:


First Floor: 1102, 1105, 1108, 1222B, 1223, 1225, 1226,
 Second Floor: 2003 and 2130C.

The fire alarm and fire sprinkler systems for the building are functioning and operational.

The UCOP Fire Department issued a fire clearance on December 21, 2017. Per General Conditions, Article 9.6, the University has inspected these areas and provided a list of completion items to be addressed after the Beneficial Occupancy date.

The completion of these items is required for Substantial Completion.

- The date of commencement of Beneficial Occupancy of the above described portion of the Work is December 22, 2017.
The date of Beneficial Occupancy issued: December 22, 2017
- The systems or equipment listed on Schedule 1 to this certificate are fully operational and will be utilized by University. Contractor shall remain fully responsible for the operation and maintenance of such systems and equipment. For such systems and equipment only, the Guarantee to Repair Period shall commence on the date set forth in Paragraph 1 of this certificate.
- A list of items to be completed or corrected in the portion of the Work described in Paragraph above prior to Final Completion is set forth in Schedule 2 of this certificate. The failure to include any items on such list does not alter the responsibility of Contractor to complete all Work in accordance with the Contract Documents.
- Concurrence of Designated Campus Fire Marshal.
- Concurrence of University's Certified Building Official.

UNIVERSITY OF CALIFORNIA, OFFICE of the PRESIDENT Approved:		Signature: <u>UCOP DCFM</u> Name: <u>UCOP DCFM</u> Title: <u>UCOP DCFM</u> Designated Campus Fire Marshal
		Signature: <u>UCOP CBO</u> Name: <u>UCOP CBO</u> Title: <u>UCOP CBO</u> University's - Certified Building Official

BO 170004-46-06

SCHEDULE 1 FULLY OPERATIONAL SYSTEMS AND EQUIPMENT
<p>See attached punchlist.</p>
SCHEDULE 2 ITEMS TO BE COMPLETED OR CORRECTED PRIOR TO FINAL COMPLETION
<p>See attached punchlist.</p>
<p>_____ Check here if additional Conditions are attached</p>
<p><small>This certificate is issued pursuant to the requirements of the California Building Code section 111.3, General Conditions of the Contract and Facilities Manual 5-17.1.1., inspections of the building/premises, Building Owner maintaining all conditions listed, and the representations made by the Contractor, Inspector(s) and the Design Professional(s) of Record.</small></p>
<p><small>If Building Owner is not the University, a copy of this Certificate shall be maintained at the subject building/premise at all times. The University shall maintain a copy of this certificate at the Campus Building Official's Office.</small></p>

BO 170004-46-06

Certificate of Occupancy

INSERT
CAMPUS LOGO

Certificate of Occupancy
University of California, Office of the President

INSERT
ADDRESS
CITY, CA ZIP CODE
PHONE NUMBER

Project Name: _____	Project Number: _____
Building Name: _____	Building Owner : _____
Campus/Facility: _____	Street Address: _____
Occupancy: _____	Type of Construction: _____
Occupant Load: _____	Number of Stories: _____
Square Footage: _____	Fire Sprinklered (FS): _____
Special conditions: _____	Required (FS): _____
stipulations	

The University hereby acknowledges compliance with the California Building and Fire Codes ____ edition

Description of the Occupied Space: Including use of the Facility, requirements of the code for occupancy and division of occupancy for which the proposed occupancy is classified.

This certificate is issued pursuant to the requirements of the California Building Code section 111.2, after the Designated Campus Fire Marshal and Certified Building Official inspects the facility or structure and finds no violations of the provisions of the code or other laws enforced by the University including the General Conditions of the Contract and Facilities Manual 5:17.1.2. This certifies that all inspections of the building and premises by the Designated Campus Fire Marshal, Certified Building Official, and Building Inspector(s) are complete and in compliance with the Contract Documents.

This certificate is issued on: _____

UNIVERSITY OF CALIFORNIA, OFFICE of the PRESIDENT



Approved: _____
 Signature: _____
 Name: _____
 Title: _____
Designated Campus Fire Marshal

Approved: _____
 Signature: _____
 Name: _____
 Title: _____
Certified Building Official

Certificate of Occupancy

UNIVERSITY
OF
CALIFORNIA

Certificate of Occupancy

University of California, Office of the President

University of California of the President
1111 Franklin Street
Oakland, CA 94607

Project Name: UCOP Expansion Phase I Project Number: 2017 - 00012
Building Name: UCOP Annex Building Owner: UCOP
Campus/Facility: UCOP Annex Street Address: 419 12th Street (UCOP Annex)
Occupancy: B - Offices Type of Construction: IV - Heavy Timber
Occupant Load: 150 Number of Stories: 2 - Stories
Square Footage: 18,000 Fire Sprinklered (FS): Yes
Special conditions: Shared exterior exit path with UCOP. Required (FS): Yes
stipulations

The University hereby acknowledges compliance with the California Building and Fire Codes 2016 edition

Description of the Occupied Space: **Including use of the Facility, requirements of the code for occupancy and division of occupancy for which the proposed occupancy is classified.**

New office building 18,000 square feet expansion. Expansion serves as an annex to UCOP existing building with a share exterior exit path. Two story heavy timber construction with rated B wood shake roof is fully sprinklered. Office building is fully compliant with CBC Chapter 11B Accessibility and ADA requirements.

This certificate is issued pursuant to the requirements of the California Building Code section 111.2, after the Designated Campus Fire Marshal and Certified Building Official inspects the facility or structure and finds no violations of the provisions of the code or other laws enforced by the University including the General Conditions of the Contract and Facilities Manual 5:17.1.2. This certifies that all inspections of the building and premises by the Designated Campus Fire Marshal, Certified Building Official, and Building Inspector(s) are complete and in compliance with the Contract Documents.

This certificate is issued on: June 1, 2018

UNIVERSITY OF CALIFORNIA, OFFICE of the PRESIDENT

Approved:

Signature: UCOP DCFM
Name: UCOP DCFM
Title: UCOP DCFM
Designated Campus Fire Marshal



Approved:

Signature: UCOP CBO
Name: UCOP CBO
Title: UCOP CBO
Certified Building Official

Certificate of Occupancy

- Project Information
 - Project Name / Project Number
 - Building Name / Building Owner
 - Campus/Facility
 - Occupancy and Occupancy Load
 - Type of Construction and Number of stories
 - **Square Footage, Fire Sprinklered....Special conditions**
 - California Building and Fire Code Edition.....**2013, 2016, 2019 . . .**



Certificate of Occupancy

University of California, Office of the President

University of California of the President
1111 Franklin Street
Oakland, CA 94607

Project Name: UCOP Expansion Phase I

Project Number: 2017 - 00012

Building Name: UCOP Annex

Building Owner : UCOP

Campus/Facility: UCOP Annex

Street Address: 419 12th Street (UCOP Annex)
(only when University is not Building Owner)

Occupancy: B - Offices

Type of Construction: IV - Heavy Timber

Occupant Load: 150

Number of Stories: 2 - Stories

Square Footage: 18,000

Fire Sprinklered (FS): Yes

Special conditions: Shared exterior exit path with UCOP.
stipulations

Required (FS): Yes

The University hereby acknowledges compliance with the California Building and Fire Codes 2016 edition

Certificate of Occupancy

- Description of the Project
 - New Construction, Renovation, Addition, Tenant Improvement
 - Use of building
 - Information about the construction, roofing, parking.....
 - Compliance with CBC Chapter 11B Accessibility and ADA requirements
 - Issuance Date.....Approval dates by DCFM and CBO with their signatures....

Description of the Occupied Space: Including use of the Facility, requirements of the code for occupancy and division of occupancy for which the proposed occupancy is classified.

New office building 18,000 square feet expansion. Expansion serves as an annex to UCOP existing building with a share exterior exit path. Two story heavy timber construction with rated B wood shake roof is fully sprinklered. Office building is fully compliant with CBC Chapter 11B Accessibility and ADA requirements.

This certificate is issued pursuant to the requirements of the California Building Code section 111.2, after the Designated Campus Fire Marshal and Certified Building Official inspects the facility or structure and finds no violations of the provisions of the code or other laws enforced by the University including the General Conditions of the Contract and Facilities Manual 5:17.1.2. This certifies that all inspections of the building and premises by the Designated Campus Fire Marshal, Certified Building Official, and Building Inspector(s) are complete and in compliance with the Contract Documents.

This certificate is issued on: June 1, 2018

UNIVERSITY OF CALIFORNIA, OFFICE of the PRESIDENT



Approved:

Signature: _____
Name: UCOP DCFM
Title: UCOP DCFM
Designated Campus Fire Marshal

Approved:

Signature: _____
Name: UCOP CBO
Title: UCOP CBO
Certified Building Official

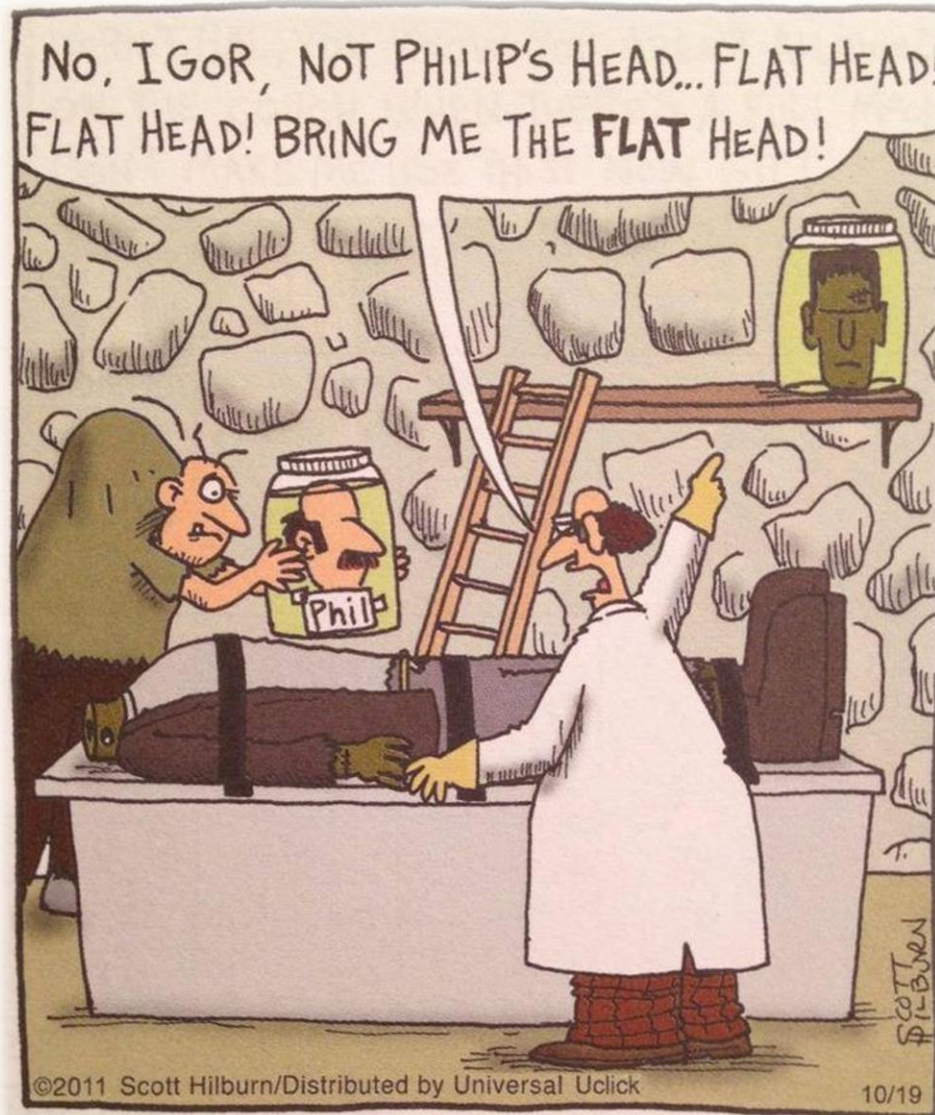
When is a Certificate of Occupancy Not Required:

- **All work exempt from a permit per CBC Section 105.2.**
A few examples include:
 - Fences not over 7 feet high.
 - Retaining walls that are not over 4 feet in height (measured from the bottom of the footing to the top of the wall).
 - Water tanks with a ratio of 2:1 (not greater than 5,000 gallons).
 - Painting, papering, tiling, carpeting, cabinets, counter tops and similar finish work. (requires compliance with Chapter 11 Accessibility and ADA).
 - Portable heating appliances, ventilation equipment, cooling.
 - The stopping of leaks in drains, water, soil, waste or vent pipes not in concealed walls.
 - The replacement of light fixture lamps.

Reminder when permits are required then:

- **ALL WORK** that requires a permit is required to be inspected. (not listed under CBC Section 105.2).
- Or when a Contractor is performing work on campus or off site that is UC property.

Approaching Completion. . . .



When is it time to issue an Certificate of Substantial Completion:

- When contractor gives notice that Work is substantially complete
- AND UC agrees
- AND UC issues a Certificate of Occupancy
- If contractor's notice is premature, then:
 - UC to provide list of requirements
 - Contractor pays for additional inspection

Significance of Substantial Completion:

- Impacts owner remedies
- Can not assess liquidated damages
- Can not terminate the contract
- Triggers Statute of limitations clock

Quiz:

Test your knowledge.

The issuance of a Certificate of Substantial Completion requires inspection by the following individuals:

- A. Campus Building Official
- B. University Representative
- C. Campus Fire Marshal
- D. All of the above

Quiz:

Test your knowledge.

The issuance of a Certificate of Substantial Completion requires inspection by the following individuals:

- A. Campus Building Official
- B. University Representative
- C. Campus Fire Marshal
- D. All of the above**

Substantial Completion:

To University, THE REGENTS OF THE UNIVERSITY OF CALIFORNIA:

The Work has been reviewed and the date of Substantial Completion is hereby established as:
July 22, 20____.

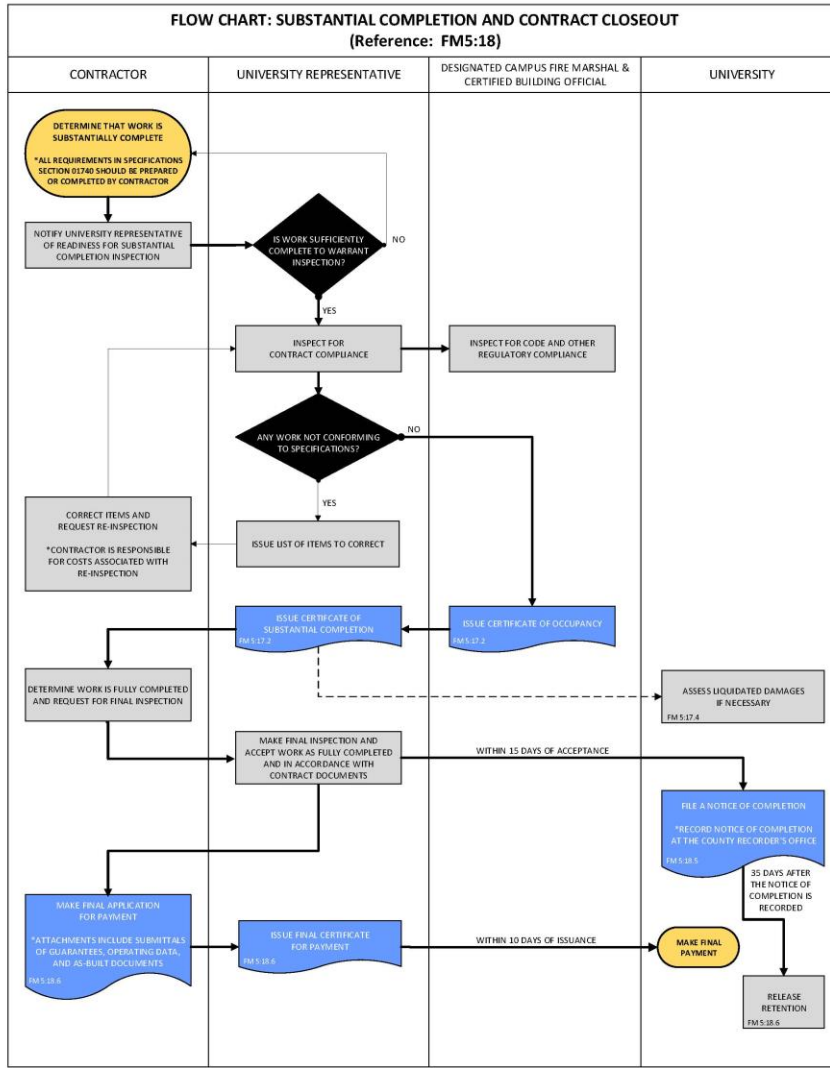
A list of items to be completed or corrected is included herein. The failure to include any items on such list does not alter the responsibility of Contractor to complete all Work in accordance with the Contract Documents.

Owner shall release the following amount of **retention** to Contractor:
Owner shall reduce the per diem charge for **liquidated damages** to:

In accordance with the Contract Documents, Contractor and University agree as follows:

1. Without limitation of Contractor's obligation to fully complete the Work within the Contract Time, and **within 30 days** from the Date of Substantial Completion, **Contractor shall complete** or correct the items identified below.
2. University will be responsible for utilities, security and maintenance.
3. Contractor shall continue to be responsible for insurance and all other items except utilities, security and maintenance as required by the Contract Documents.

Substantial Completion

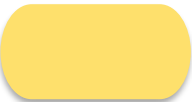


- Facilities Manual Volume 5, Chapter 18
- Reformatted Flow Chart.

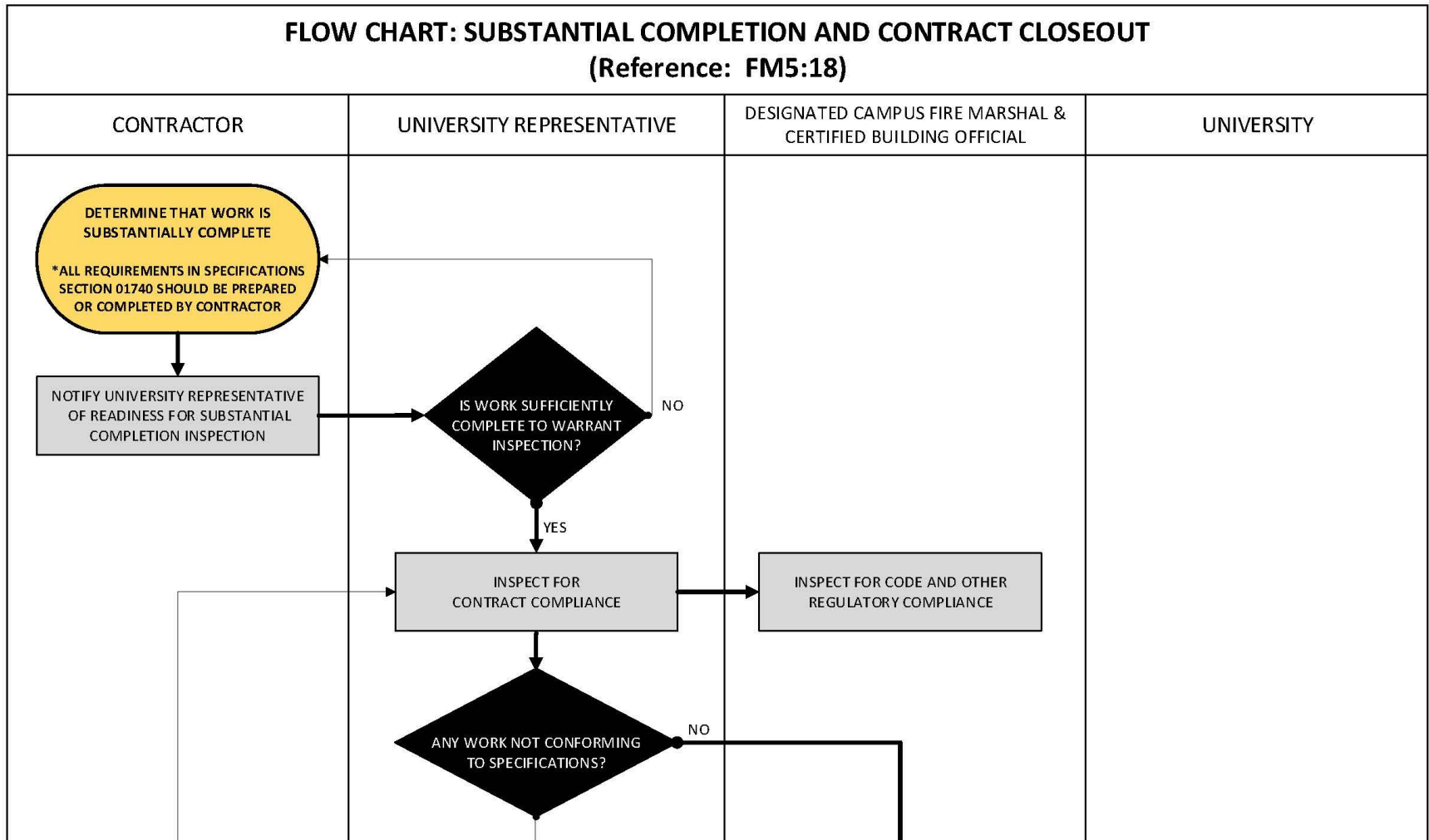
- Process 

- Decision 

- Document 

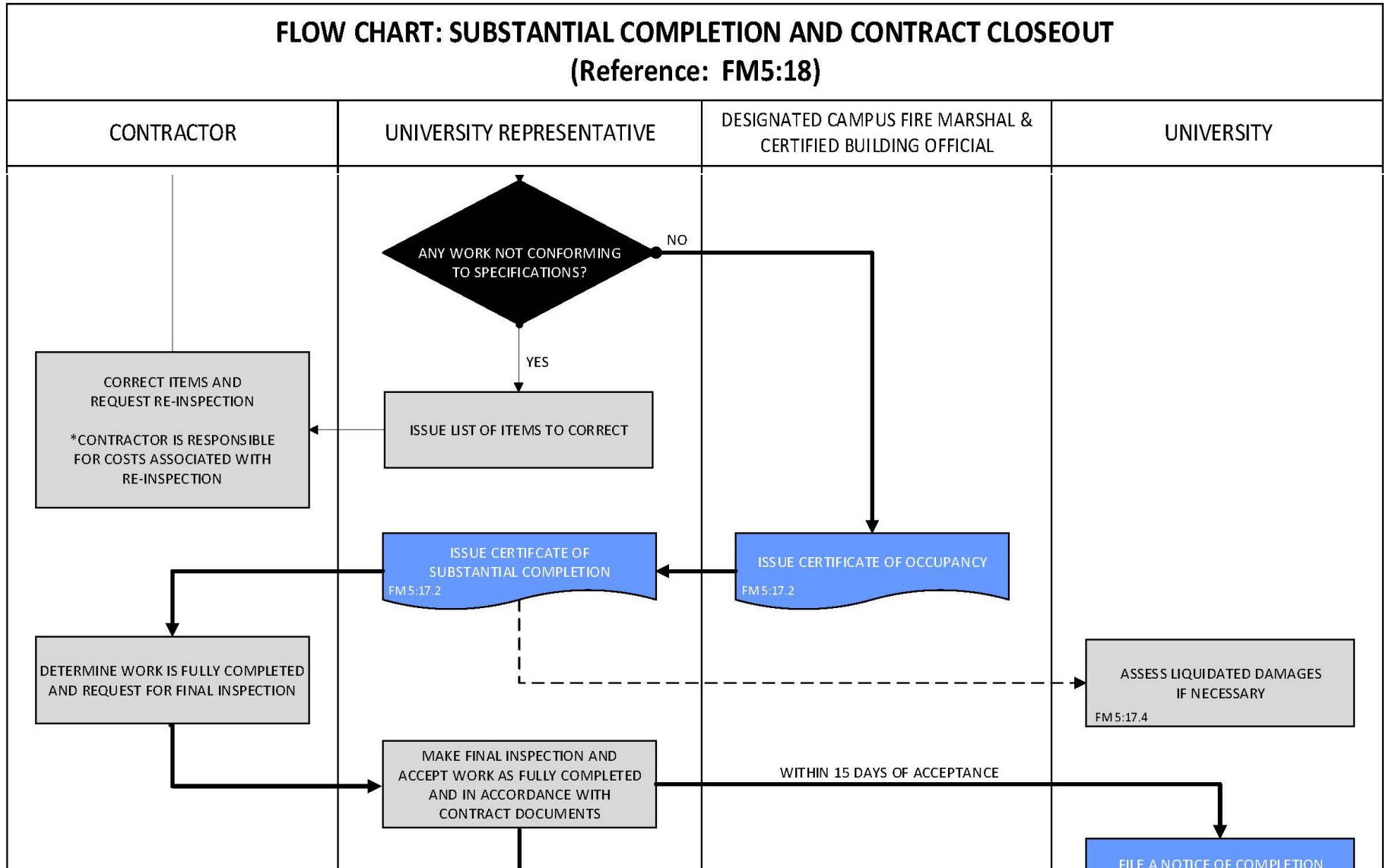
- Beginning and End 

Substantial Completion



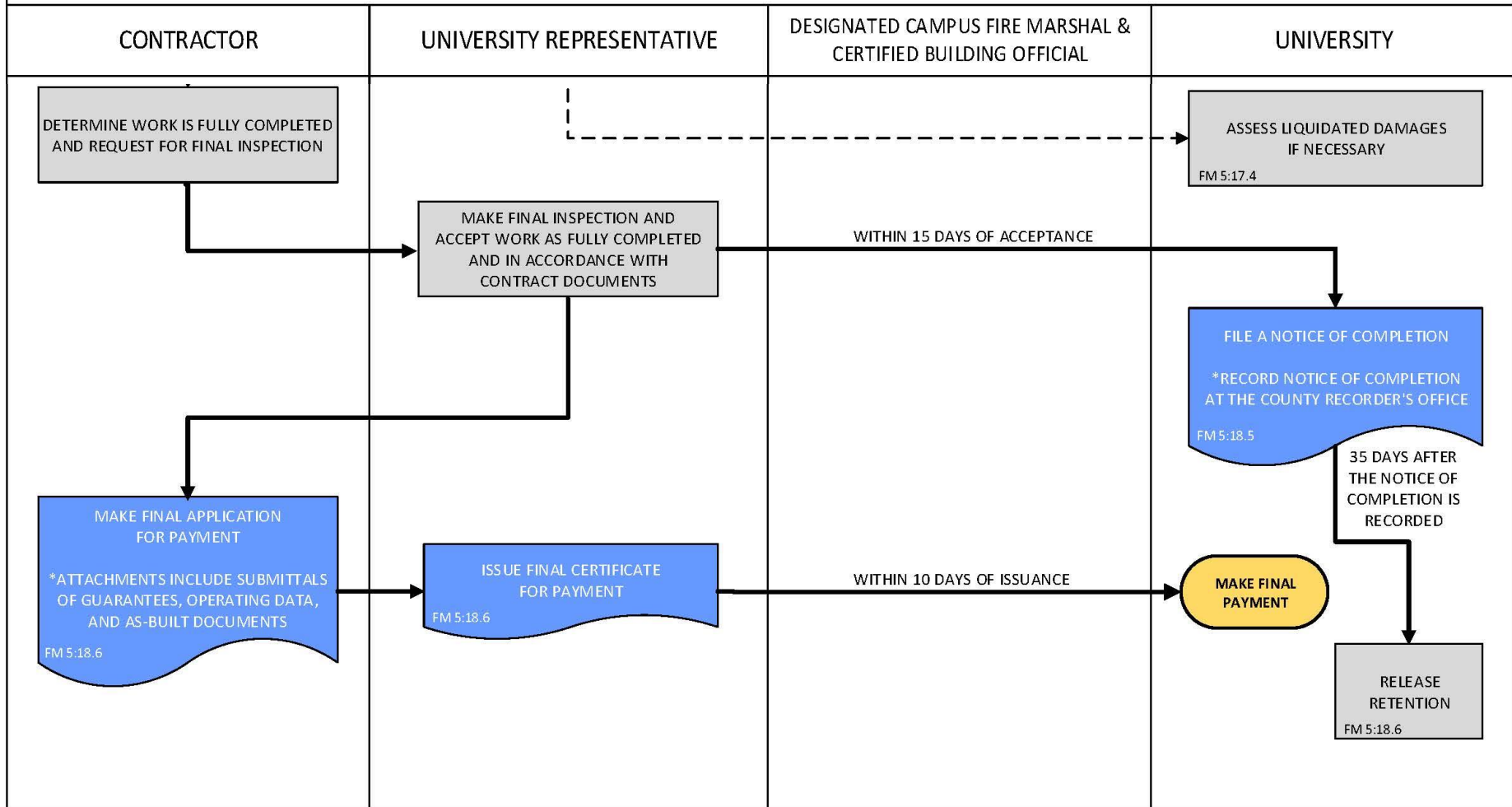
Substantial Completion

FLOW CHART: SUBSTANTIAL COMPLETION AND CONTRACT CLOSEOUT
(Reference: FM5:18)



Substantial Completion

FLOW CHART: SUBSTANTIAL COMPLETION AND CONTRACT CLOSEOUT
 (Reference: FM5:18)



When does Guarantee to Repair Period:

- Occupancy date on the Certificate of Beneficial Occupancy for that portion of Work

OR

- Issuance of Certificate of Substantial Completion for entire Project (unless not operational or not accepted)



Final Completion occurs when:

- UC determines Work is fully completed in accordance with Contract Documents AND
- Certificate of Occupancy has been issued
- Notice of Completion filed within 15 days of Final Completion

9.8.2 Final payment and retention shall be released to Contractor, as set forth in Article 9.8.3,

after:

- .1 Contractor submits the final Application For Payment and all submittals required in accordance with Article 9.3;
- .2 Contractor submits all guarantees and warranties procured by Contractor from Subcontractors, all operating manuals for equipment installed in the Project, as-built documents, and all other submittals required by the Contract Documents;
- .3 Contractor submits the Final Distribution of Contract Dollars in the form contained in the Exhibits; and
- .4 University's Representative issues the final Certificate For Payment.

Final Application for Payment:

- Final Application Items
 - As Built Documents
 - Operating and Maintenance Data
 - Guarantees and Warranties
 - Final Inspection by Owner
 - Conditional Releases from contractors and subcontractors
- UC issues Final Certificate of Payment
 - Final payment shall be paid within 10 days

Warranties

- Very important to obtain all special warranties.
- Roofing and Waterproofing
- Windows and Curtainwalls
- Boilers and other critical equipment
- Flooring

Final Payment:

- Acceptance of final payment by Contractor shall constitute a waiver of all claims except claims for retention and claims previously made in writing.

Notice of Completion

- Triggers termination of Builder's Risk Insurance and Premiums
- Triggers lien recording periods
 - Accelerates deadlines for liens, stop notices and bond claims
 - 30 day stop payment notice period if NOC filed
 - 90 days from final completion if not filed properly
 - Subcontractors and suppliers lose right to direct action against the owner
- Provides an end date for project in the event of delay claims

Notice of Completion

When is a project complete?

- As Built documents
- Warranties
- Operating Manuals
- Change Order work
- Outstanding claims do not need to be resolved
- Person signing must confirm all work

Notice of Completion

- Work should be free of patent defects
- Must perform a reasonable inspection to detect “open and obvious” defects

Quiz:

Test your knowledge.

When is the filing of a Notice of Completion required?

- A. Must be filed for completed projects over \$50,000
- B. Must be filed for completed projects over \$25,000
- C. Must be filed for all projects where substantial completion has been issued
- D. Never. The filing of a Notice of Completion is optional.

Quiz:

Test your knowledge.

When is the filing of a Notice of Completion required?

- A. Must be filed for completed projects over \$50,000
- B. Must be filed for completed projects over \$25,000**
- C. Must be filed for all projects where substantial completion has been issued
- D. Never. The filing of a Notice of Completion is optional.

Notice of Completion

- Required for Projects over \$25,000
- Signifies the work has been completed
- Should be filed within 15 days after Final Completion

Quiz:

Test your knowledge.

True or False

The NOC should not be filed until all work is completed in accordance with the terms of the Contract.

Quiz:

Test your knowledge.

True or False

The NOC should not be filed until all work is completed in accordance with the terms of the Contract.

Answer: **True**

Quiz:

Test your knowledge.

True or False

The NOC of Completion should not be filed until O & M Manuals have been submitted.

Quiz:

Test your knowledge.

True or False

The NOC of Completion should not be filed until O & M Manuals have been submitted.

Answer: **True**

Quiz:

Test your knowledge.

True or False

A Notice of Completion should not be filed until all outstanding claims have been resolved.

Quiz:

Test your knowledge.

True or False

A Notice of Completion should not be filed until all outstanding claims have been resolved.

Answer: **False**

Notice of Completion

Recording Requested by:
Design and Construction Services

When Recorded Mail To:
Design and Construction Services
University of California, Office of the President
1111 Franklin Street, Oakland, CA 94607

NOTICE OF COMPLETION, UNIVERSITY DOES OWN LAND AND IMPROVEMENTS

**NOTICE IS HEREBY GIVEN that on 12/22/2017, the work on the:
UCOP Annex - 2017 - 00012 - was completed.** The name of the Owner is THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, hereinafter referred to as "The Regents". The address of the Office of the President is, 1111 Franklin Street, Oakland California 94607-5200. The Regents is the owner in fee simple of the real property known as the University of California, Office of the President, and of all the improvements and buildings thereon including the above named project. The name of the original contractor is:

Best Value Contractor in the Bay Area xxxx Contracts Road, Suite 100, Oakland, CA 94607
THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

By: _____
xxxxxx, Assistant Vice Chancellor & Campus Architect

Quiz:

Test your knowledge.

When shall retention be released?

- A. Immediately after NOC has been filed.
- B. Within 10 days of Owner use of the facility
- C. Immediately after Substantial Completion is issued.
- D. 35 Days after NOC is recorded

Quiz:

Test your knowledge.

When shall retention be released?

- A. Immediately after NOC has been filed.
- B. Within 10 days of Owner use of the facility
- C. Immediately after Substantial Completion is issued.
- D. 35 Days after NOC is recorded**

Quiz:

Test your knowledge.

What triggers the expiration of our Builders Risk insurance?

A. Beneficial Occupancy

B. Certificate of Occupancy

C. Substantial Completion

D. Final Completion Date stated on Notice of Completion

Quiz:

Test your knowledge.

What triggers the expiration of our Builders Risk insurance?

A. Beneficial Occupancy

B. Certificate of Occupancy

C. Substantial Completion

D. Final Completion Date stated on Notice of Completion

Builder's Risk Insurance

- Covers damage to work during construction
- Carefully inspect work and consider any potential claims prior to filing NOC
- Claims must be timely
- Policy should be utilized if appropriate

Some More Issues to Remember

- Make sure Contractor's insurance is kept up to date through final completion of the Project. (Should not be an issue for enrolled contractors in UCIP projects.)
- University's Master Builder's Risk Insurance ends at Final Completion. Change in Final Completion date? Let Risk Services/Aon know.
- Make sure Design Professional's E&O insurance is kept up to date and in force through final completion of the Project, and final completion of their services if they extend beyond final completion.

Just a Few More

- Make sure Contractor's insurance is kept up to date
Keep track of any defects that have not been remedied by the time of Project Close-out.
- Important that PM's check-in with Facilities & Maintenance folks and building users after completion to see if defects surface.



Confused about the process?

- Review Contract
- Review Facility Manual
- Call OP
- Call your construction counsel at OGC

QUESTIONS ?

