

GOVERNMENT OF THE  
DISTRICT OF COLUMBIA



**BUILD** \*\*\*  
**MAINTAIN**  
**SUSTAIN**

# Projects Turnover Protocol

Prepared by Capital Construction Division



# 2016



Revision 1.1 July 17, 2017 (Pages 18 & 19 added)  
Revision 1.2 Feb. 05, 2018 (FTM changed)

# 1. INTRODUCTION:

The Turnover Protocol is the process for transfer of a construction project from the Capital Construction Division (Construction) to the Facilities & Maintenance Division (Facilities) of the District of Columbia's Department of General Services (DGS).

The following Step by Step Procedures, and associated documents, provide the process to:

- a) Allow Facilities input into the design process,
- b) Provide Facilities with prior knowledge of upcoming revisions and additions to their portfolio, and
- c) Facilitate timely transfer of the documents required by Facilities to adequately maintain the facility, immediately the project is turned over to them.

The process also allows for the collection of project documents required to be placed in DGS archiving system for future use and reference.

The two principal contacts for the Turnover Protocol are currently:

Construction Turnover Manager (CTM):

Robbie Stewart  
[robbie.stewart@dc.gov](mailto:robbie.stewart@dc.gov)  
202-481-3440 (office)  
202-735-6857 (cell)

Facilities Turnover Manager: (FTM)

Vaughn Wallace  
[vaughn.wallace@dc.gov](mailto:vaughn.wallace@dc.gov)

## 2. STEP BY STEP PROCEDURE

The following step by step procedure should be followed as described in the “Description” column using the forms and documents noted in the “Documents” column, copies of which are attached. If you are unclear as to the intent of any of the steps, or how to process the information, please contact the Construction Turnover Manager noted in the introduction section above.

# TURNOVER PROTOCOL - STEP BY STEP PROCEDURE

STEP	TITLE	DESCRIPTION	TURNOVER DOCUMENTS
<b>DESIGN PHASE</b>			
1	Invite Construction Turnover Manager to Design Kickoff Meeting.	PM shall invite Turnover Managers to the Design Kick-Off Meeting to familiarize themselves with the anticipated scope and schedule. FTM will provide lessons learned from previous projects, any preferences regarding the building systems and institutional knowledge of the facility. CTM will advise on latest Division 1 specifications to be used for project. Project Manager (PM) will advise the Turnover Managers of the anticipated document review schedule.	Lessons Learned & Recommendations (Provided by Facilities, Agency Dependent).
2	Opportunity to review A/E submittals- Schematic Documents.	PM will provide CTM with an electronic copy of Schematic Design Documents for distribution to appropriate Facilities staff for review and comment. (not more than ten working days review time). CTM will collate and provide comment to PM. Turnover Managers shall be invited to the design review meeting.	Review Comment Form
3	Opportunity to review A/E submittals- Design Development Documents.	PM will provide CTM with an electronic copy of Design Development Documents for distribution to appropriate Facilities staff for review and comment. (not more than ten working days review time). PM will also provide a response to the previous comments. CTM will collate and provide comments to PM. Turnover Managers shall be invited to the design review meeting.	Review Comment Form
4	Opportunity to review A/E submittals- Construction Documents.	PM will provide CTM with an electronic copy of proposed Construction Documents for distribution to appropriate Facilities staff for review and comment. (not more than ten working days). PM will also provide a response to the previous comments. CTM will collate and provide comment to PM. Turnover Managers shall be invited to the design review meeting.	Review Comment Form
<b>CONSTRUCTION PHASE</b>			
5	Construction Kickoff meeting.	PM shall invite Turnover Managers to the Construction Kick-Off Meeting. FTM shall be provided with a copy of the contract drawings, specifications and construction schedule. Turnover Managers shall be made aware of the Progress Meeting schedule.	

## TURNOVER PROTOCOL - STEP BY STEP PROCEDURE

STEP	TITLE	DESCRIPTION	TURNOVER DOCUMENTS
6	Pre Close-In Walkthrough.	At appropriate times during construction, Project Manager shall invite Turnover Managers to a walkthrough of the project. This will allow Facilities staff to observe and familiarize themselves with the as-built condition of building systems, prior to close-in, and comment on any noted concerns. Client agency staff should also be invited to these walk-throughs.	
7	Notify Turnover Managers of Commissioning Schedule.	Once active commissioning is scheduled FTM shall be advised. This will allow Facilities to observe the commissioning, to the extent they determine applicable, based on the systems involved in the project. PM should provide the completed Equipment List at this time.	Equipment List
8	Schedule Closeout Conference	PM and contractor shall schedule Project Closeout Conference with sufficient time to prepare for requesting Substantial Completion. (see specification section 013100) CTM shall provide the Turnover Checklist and discuss the items applicable to the project.	Turnover Checklist Base
9	Schedule Training Sessions.	Contractor and PM, in coordination with Turnover Managers, shall schedule the training sessions required by the contract documents. Provide Turnover Managers with a minimum of five working days notice (10 preferred) to allow Facilities to schedule the correct personnel. Record all training sessions in accordance with specification section 017900.	
10	Pre-Substantial Completion Walkthrough.	PM shall invite the FTM to the inspection. (Following the contractors written request for Substantial Completion in accordance with specification section 017700)	Request for Substantial Completion Letter
11	Process Certificate of Substantial Completion.	PM shall review the documents provided by the Contractor, mark up the Pre-Substantial Completion Section of Turnover Checklist and provide to CTM for verification. PM and CTM shall process the Certificate of Substantial Completion.	1. Certificate of Substantial Completion 2. Turnover Checklist (Pre-Substantial Completion Section)
12	Process Certificate of final Completion.	PM shall review the documents provided by the Contractor, mark up the Pre-Final Completion section of the Turnover Checklist and provide to CTM for verification. <i>PM will not process the Certificate of Final Completion (final Payment) until CTM advises all requirements have been met.</i>	Marked up Turnover Checklist (Pre-Final Completion Section)

## TURNOVER PROTOCOL - STEP BY STEP PROCEDURE

STEP	TITLE	DESCRIPTION	TURNOVER DOCUMENTS
<b>POST-CONSTRUCTION PHASE</b>			
13	Confirm Second Season HVAC Commissioning done.	Sign and date relevant box in the Post-Final Completion section of the checklist and forward to CTM.	Marked up Turnover Checklist (Post-Final Completion Section)
14	Confirm miscellaneous Post-Final Completion items are done.	Once items are done, sign and date relevant box in the Post-Final Completion section of the Turnover Checklist. Forward to CTM.	Marked up Turnover Checklist (Post-Final Completion Section)
15	One Year Warranty Expiration Walkthrough.	PM shall schedule this walkthrough, invite the Turnover Managers and client agency representatives. Once the generated punch list is complete, sign and date relevant box in the Post-Final Completion section of the Turnover Checklist and forward to CTM.	Marked up Turnover Checklist (Post-Final Completion Section)
16	Final LEED Documentation Completion.	Once LEED certification is complete, sign and date the relevant box in the Post-Final Completion section of the Turnover Checklist. Forward a copy of certification to CTM.	Marked up Turnover Checklist (Post-Final Completion Section)

### 3. TURNOVER RELATED DOCUMENTS

# TURNOVER PROTOCOL REVIEW AND COMMENT FORM

**Project:**

**Date:**

**Reviewer:**

**Review Stage:**

ITEM	DRAWING/ SECTION	TOPIC	COMMENT	RESPONSE	FOLLOW UP
1					
2					
3					
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27					
28					



# MEP - Equipment Listing

Agency	
Facility	
Address	

NOTE: If in doubt whether or not to include a piece of equipment, include anything that has a serial number.

	Equipment Type	Manufacturer	Model No.	Serial No.	Refrigerant	RPM	Voltage	AMPS	Horse Power	Installation Date	BTU	Fuel Type	Filter Size	Size/Capacity	Room Number	Floor Number	Label
	<b><u>PLUMBING</u></b>																
1																	
2																	
3																	
4																	
5																	
6																	
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11																	
12																	
	<b><u>HVAC</u></b>																
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12																	
	<b><u>ELECTRICAL</u></b>																
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12																	



**TURNOVER CLOSEOUT CHECK LIST**

**Project Name:**  
**Project Manager:**  
**Anticipated Date of Substantial Completion:**

**Pre-Substantial Completion**

Activity	Initials			Comments	Distribution				Note
	SPEC SECTION	DGS PM CHECK	Date Complete		A	B	C	D	
Operation Certificates & Permits									
Certificate of Occupancy	01 77 00								2.1
Occupancy Load Certificates posted	01 77 00								2.2
Boiler inspection (Green Stickers)	01 77 00								2.3
Elevator (conveying system) inspection	01 77 00								2.3
Health Inspection	01 77 00								2.3
Fire sprinkler and fire alarm certification	01 77 00								2.3
Other operator certificates (per project)	01 77 00								2.3
Emergency evacuation plans (completed)									2.4
Inspection Approval Card									2.3
Punch list with all material items resolved.	01 77 00								2.5
Equipment schedule (in excel)	01 78 23								2.6
Equipment Label schedule, if applicable.	01 78 23								2.7
Commisioning / HVAC balancing complete	01 91 13								2.8
All training completed	01 79 00								2.8
Project contact information list.									2.9
O & M manuals submitted	01 78 23								2.10
Proposed schedule of maintenance	01 78 23								2.11
Final cleaning completed	01 50 00								2.8
Keys: permanent cores and keys to COTR	01 77 00								2.8

**Verified Received by:**

Name:	
Facilities Turnover Manager	Date



**TURNOVER CLOSEOUT CHECK LIST**

**Project Name:**  
**Project Manager:**  
**Anticipated Date of Substantial Completion:**

**Pre-Final Completion**

Documents from GC	Initials			Comments	Distribution				Note
	SPEC SECTION	DGS PM CHECK	Date Complete		A	B	C	D	
Valid Bonds & Insurance (post-construction)	01 77 00								3.1
Elevator (conveying system) certification	01 77 00								3.2
Warranty information / documents	01 78 70								3.3
Maintenance Agreements	01 78 70								3.4
Punch list with <b>all</b> items resolved.	01 77 00								3.2
Attic stock, parts and equipment list	01 78 61								3.5
As-built documents.									3.6
Drawings (hard copies & PDF and CAD files)	01 78 39								3.6.1
Specifications	01 78 39								3.6.2
LEED, Preliminary Construction Review	01 77 00								3.7
Tags, labels, plaques (if applicable)									
Meter plan									3.2
Valve Plan									3.2
Dedication Plaque Posted									3.2
Emergency evacuation plans (posted).									3.2
Environmental, Health & Safety documents.									
Environmental Reports (Phase 1, 2, etc.)									3.8
Asbestos Closure Report	01 77 00								3.8
Lead Paint Closure Report	01 77 00								3.8
UST/Contaminated Soil Closure Report	01 77 00								3.8
Hazardous Materials Manifest (if not in reports)									3.8
SWM approval									3.8
MSDS for finishes & materials incorporated.									3.8
Termite pre-treatment report	01 77 00								3.8
Mold prevention certification	01 50 00								3.8
Pest Control Inspection Field Report	01 50 00								3.8
Final meter reading for utilities	01 50 00								3.9
Permanent utility meters installed									3.10
Fuel Tanks Filled	01 77 00								3.2
Training video submitted	01 79 00								3.11
Final Commissioning report.									3.12
Removal of all temporary facilities.	01 50 00								3.2
Final Property Survey									3.13
Waste Removal, Recycling & Utilities									3.14

**Verified Received by:**

Name:	
Facilities Turnover Manager	Date



**TURNOVER CLOSEOUT CHECK LIST**

**Project Name:**  
**Project Manager:**  
**Anticipated Date of Substantial Completion:**

**Post-Final Completion**

Documents from GC	Initials			Date Complete	Comments	Distribution				Note
	SPEC SECTION	DGS PM CHECK				A	B	C	D	
Second season HVAC commissioning completed.										4.1
Pre 1 year warranty expiration inspection.										4.1
Elevator inspection report (one year)										4.2
Fire Alarm inspection report (one year)										4.2
Infrared testing of electrical system (6 months)										4.2
LEED EA Credit 5 verification.										4.2

**Verified Received by:**

Name:	
Facilities Turnover Manager	Date

**1. GENERAL NOTES**

- 1.1. PM to initial and date (when completed) against each item applicable to the project.
- 1.2. PM to note "N/A" against each item not applicable to the project.
- 1.3. For each phase, all documents are to be collected by PM and turned over to Turnover Manager at one time.
- 1.4. When submitting each phase, don't leave a box in the 'PM Check' column blank. Either initial as done, mark N/A, or provide a comment.
- 1.5. Distribution Columns will be filled in by Construction Turnover Manager.
  - A. One hard copy and one electronic copy to Facilities Turnover Manager, through Construction Turnover Manager
  - B. One electronic copy to Facilities Turnover Manager, through Construction Turnover Manager.
  - C. One hard copy to the Facilities. Location to be co-ordinated with Facilities.
  - D. One electronic copy of schedule to Facilities Turnover Manager, through Construction Turnover Manager. Materials and equipment to facility at location agreed with DCPS/DGS Facilities.

**2. SUBSTANTIAL COMPLETION**

- 2.1. Certificate of Occupancy: Provide an electronic copy. Provide partial if this Turnover is for a particular phase of the project.
- 2.2. Occupancy Load Certificates: Confirm these have been posted.
- 2.3. Other Inspections: Provide copies of final inspections and approvals as applicable to project.
- 2.4. Emergency Evacuation Plans: Confirm these are prepared and ready for posting. They must be posted at time of occupancy.
- 2.5. Punch List with all material items resolved: Provide a copy of the consolidated punch list. At Substantial Completion all material punch list items have to be completed. Material punch list items are those that would restrict the Districts full intended use of the facility.
- 2.6. Equipment Schedule: Provide an equipment schedule in accordance with the example attached.
- 2.7. Equipment Label Schedule: If the specifications require equipment to be labeled for ease of identification, provide a schedule identifying the piece of equipment, the designation, the room and the label location.
- 2.8. Confirm complete by initializing in the "PM Check" column and dating in the "Date complete" column.
- 2.9. Project Contact Information Sheet: Provide an electronic copy at this stage. Include at front of the warranty binder at final completion.
- 2.10. O&M Manuals Submitted:
  - 2.10.1. Manuals are required at Substantial Completion as the Owner will be responsible for maintenance as of that date.
  - 2.10.2. O&M Manuals shall be organized in the same order as the project specification sections. Provide electronic files divided by specification division and with filenames starting with the specification section. This will allow for ease of archiving and retrieval.
- 2.11. Proposed Schedule of Maintenance: The O&M manuals shall include a written schedule of maintenance.

**3. FINAL COMPLETION**

- 3.1. Valid Bonds and Insurance: Confirm contractor has complied with the contract requirements by initializing in the "PM Check" column. Mark N/A if not applicable.
- 3.2. Confirm complete by initializing in the "PM Check" column and dating in the "Date complete" column.
- 3.3. Warranty Information/Documents:
  - 3.3.1. All warranties shall start on the date Substantial Completion is determined.
  - 3.3.2. Special warranties, those extending past the General Contractors standard one year warranty, must not be addressed solely to the General Contractor. They must also be addressed to the benefit of the District.

**TURNOVER CLOSEOUT CHECK LIST**

**Project Name:**

**Project Manager:**

**Anticipated Date of Substantial Completion:**

- 3.3.3. Provide warranties in a separate binder and electronic file, regardless of whether or not provided in the O&M's.
- 3.4. **Maintenance Agreements:** If the project includes Maintenance Agreement(s) these agreements shall start at the date of Substantial Completion unless otherwise agreed to in writing by the COTR. Agreements must be written to the benefit of the District. The scope of work must be clearly stated, in the agreement, to allow the Facilities Maintenance staff to confirm the work is being completed.
- 3.5. **Attic Stock:** Confirm all attic stock has been provided by initializing in the PM Check column. Provide an itemized list, with quantities, of all materials, parts and equipment.
- 3.6. **As Built Documents:**
  - 3.6.1. **Drawings:** Provide hard copy of red line as-builts. Provide electronic PDF files by discipline. Provide CAD files, including all required XRef files.
  - 3.6.2. **Specifications:** Provide an electronic copy of the complete set of project specifications, amended to reflect any changes occurring during the construction phase.
- 3.7. **LEED Preliminary Construction Review:** Confirm information has been submitted by initializing in the PM Check column. Mark N/A if not applicable.
- 3.8. **Environmental, Health & Safety Documents:** Provide all applicable documents in electronic format for archiving. Mark N/A if not applicable. Do not leave blank.
- 3.9. **Final Meter Reading for Utilities:** Confirm final readings have been taken and responsibility transferred to the District. If a Landlords responsibility mark N/A.
- 3.10. **Permanent Meters installed:** Confirm no temporary meters remain in use.
- 3.11. **Training Videos Submitted:** Submit electronic copies of all training sessions on CD's, or flash drive.
- 3.12. **Final Commissioning Report:** Provide in electronic and hard copy format.
- 3.13. **Final Property Survey:** Provide in PDF format if required by Contract Documents or Surveyors office.
- 3.14. **Waste Removal and Recycling:** Confirm systems set up and coordinated with Sustainability. If a Landlords responsibility mark N/A.

**4. POST-FINAL COMPLETION**

- 4.1. Confirm complete by initializing in the "PM Check" column and dating in the "Date Complete" column.
- 4.2. If required by contract documents, confirm complete by initializing in the "PM Check" column and dating in the "Date complete" column. Mark N/A if not applicable.

## REQUEST FOR SUBSTANTIAL COMPLETION

[Date]

Capital Construction Services  
Department of General Services  
1250 U Street, NW, 4<sup>th</sup> Floor  
Washington D.C. 20009

Attention: \_\_\_\_\_ [COTR]

Reference: \_\_\_\_\_ [project name]

Dear Sir/Madam,

\_\_\_\_\_ [contractor] hereby requests an inspection for determination of date of Substantial Completion for the above referenced project, or portion hereof as detailed below. [insert description of partial area] The following documents are attached:

- Certificate of Occupancy.
- Other final inspections, operating certificates, and similar releases, permitting District unrestricted use of Work and access to services and utilities. [list]
- Draft copies of warranties, workmanship bonds, maintenance service agreements, final certifications, and similar documents, including a warranty contact list.
- Comprehensive Punch List, as approved by COTR, with all material items completed.
- Schedule of Attic Stock, including all tools, spare parts, extra materials, and similar items, as required by Specification Section 017861.
- Operation and Maintenance Manuals in accordance with specification section 017823.
- Equipment list in spreadsheet format, including equipment label information.
- Closure reports for environmental abatement work performed by the contractor. (list)
- Draft commissioning report of systems, subsystems, and equipment in accordance with Section 01 91 13, including letter from Commissioning Agent certifying that all material issues have been resolved and systems are fully functional.

Additionally we advise the following:

- The following utility meter numbers need to be transferred to District responsibility as of date of Substantial Completion
  - PEPCO \_\_\_\_\_
  - Washington Gas \_\_\_\_\_
  - DC Water. \_\_\_\_\_
  - Other [specify] \_\_\_\_\_
- We have contacted and advised the door hardware manufacturer to have the permanent keys and cores delivered directly to you prior to date of Substantial Completion.
- All fuel oil tanks have been filled. They will be topped off on the day designated for Substantial Completion.
- All training required by the Contract Documents has been completed.

Please advise when the inspection will be conducted.

Sincerely

---

[Signature and printed name]



**CERTIFICATE OF SUBSTANTIAL COMPLETION**

(Use this form if DGS PM is a DGS employee. If DGS PM is a contractor use alternate form)

PROJECT NAME: \_\_\_\_\_

CONTRACTOR: \_\_\_\_\_

PROJECT No.: - - -

COMPLETE PROJECT.

PARTIAL – List areas/phase

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**COTR to complete Section 1 or Section 2**

**SECTION 1**

As requested by the Contractor, the COTR has inspected the project and the submitted close-out documents.

The following items must be completed or corrected prior to certifying the Date for Substantial Completion.

ITEM	DESCRIPTION	COMPLETE
1		
2		
3		
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14		

Once the above noted items are complete, submit written request for re-inspection.

\_\_\_\_\_  
COTR and printed name

\_\_\_\_\_  
Date





**CERTIFICATE OF SUBSTANTIAL COMPLETION**

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**SECTION 2**

As requested by the Contractor, the COTR has inspected the project and the submitted close-out documents and recommends the Project, or Specified area of the Project, be accepted as Substantially Complete at \_\_\_\_\_ (time) **on** \_\_\_\_\_, **20**\_\_. (date)

\_\_\_\_\_  
COTR and printed name Date

\_\_\_\_\_  
Construction Turnover Manager and printed name Date

\_\_\_\_\_  
Cluster Leader and printed name Date

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The Project, or specified area of the Project, are accepted as Substantially Complete at \_\_\_\_\_ (time) **on** \_\_\_\_\_, **20**\_\_. (date)

All warranties will start the day of Substantial Completion, with the exception of those items remaining on the attached punch list, which will start as of the date of Final Completion. The failure to include an item on the punch list does not alter the responsibility of the Contractor to complete all the Work in accordance with the Contract Documents, including authorized changes thereof. The Contractor shall complete or correct the work on the attached punch list by \_\_\_/\_\_\_/\_\_\_\_. If the list of items is not completed within the time allotted the District has the right to be compensated for the delays and/or complete the work with the help of an independent contractor at the expense of the retained project funds. If the retained project funds are insufficient to cover the delay/completion damages, the district shall be promptly reimbursed for the balance of the funds needed to compensate the District, either directly or by claim against the Performance Bond.



**CERTIFICATE OF SUBSTANTIAL COMPLETION**

(Use this form if DGS Project Manager is not a DGS direct employee)

PROJECT NAME: \_\_\_\_\_

CONTRACTOR: \_\_\_\_\_

PROJECT No.: - - -

COMPLETE PROJECT.

PARTIAL – List areas/phase

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DGS PM to complete Section 1 or Section 2**

**SECTION 1**

As requested by the Contractor, the DGS PM has inspected the project and the submitted close-out documents.

The following items must be completed or corrected prior to certifying the Date for Substantial Completion.

ITEM	DESCRIPTION	COMPLETE
1		
2		
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12		
14		

Once the above noted items are complete, submit written request for re-inspection.

\_\_\_\_\_  
DGS PM and printed name

\_\_\_\_\_  
Date



**CERTIFICATE OF SUBSTANTIAL COMPLETION**

**SECTION 2**

As requested by the Contractor, the DGS PM has inspected the project and the submitted close-out documents and recommends the Project, or Specified area of the Project, be accepted as Substantially Complete at \_\_\_\_\_ (time) **on** \_\_\_\_\_, **20**\_\_. (date)

\_\_\_\_\_  
DGS PM and printed name Date

\_\_\_\_\_  
Construction Turnover Manager and printed name Date

\_\_\_\_\_  
Cluster Leader (COTR) and printed name Date

The Project, or specified area of the Project, are accepted as Substantially Complete at \_\_\_\_\_ (time) **on** \_\_\_\_\_, **20**\_\_. (date)

All warranties will start the day of Substantial Completion, with the exception of those items remaining on the attached punch list, which will start as of the date of Final Completion. The failure to include an item on the punch list does not alter the responsibility of the Contractor to complete all the Work in accordance with the Contract Documents, including authorized changes thereof. The Contractor shall complete or correct the work on the attached punch list by \_\_\_/\_\_\_/\_\_\_\_. If the list of items is not completed within the time allotted the District has the right to be compensated for the delays and/or complete the work with the help of an independent contractor at the expense of the retained project funds. If the retained project funds are insufficient to cover the delay/completion damages, the district shall be promptly reimbursed for the balance of the funds needed to compensate the District, either directly or by claim against the Performance Bond.