

GOVERNMENT OF THE  
DISTRICT OF COLUMBIA



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

# Projects Turnover Protocol

Prepared by Capital Construction Division



# 2024



Revision 2024.0  
Revision 2024. 1

3/1/24  
3/8/24 - Mod. CTM info

# 1. INTRODUCTION:

The Turnover Protocol is the process for transfer of a construction project from the Capital Construction Services Division (CCS) to the Facilities & Maintenance Division (FMD) 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 FMD input into the design process,
- b) Provide FMD the ability to amend their personnel, equipment and budgets to reflect the upcoming changes to their maintenance responsibilities, and
- c) Facilitate timely transfer of the documents required by FMD to adequately maintain the facility, immediately the project is turned over to them.

The principal contact for the Turnover Protocol is the Construction Turnover Manager (CTM), Construction Punch list Manager (CPM) and the Facilities Turnover Manager: (FTM)

The current CTM is:

Mrs. Sonya Woodall  
[sonya.woodall@dc.gov](mailto:sonya.woodall@dc.gov)  
Office – 202-545-3032  
Cell – 202-437-6518

The current CPM is:

Mr. Henry Miller  
[henry.miller@dc.gov](mailto:henry.miller@dc.gov)  
Office – (202) 698-7912  
Cell - (240) 216-2317

The current FTM is:

Vacant  
  
Office –  
Cell -

The Turnover Protocol is an Internal DGS process that flows between the Capital Construction PM, the CTM, the FTM, and FMD (or other responsibly agencies facility management department).

The Turnover Protocol applies to all Capital Construction Projects regardless of client agency, funding source, funding amount, or scope. The extent of involvement will be determined by the CTM based on the scope of the project and whether maintenance will be by DGS-FMD or others.

The Turnover Protocol is not Project Close-Out. Close-Out is between the contractor and the DGS-PM team. The two processes are intertwined but the goals are different.

## 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. Clarifications on procedures are contained in the Appendices, also attached, and referenced in the Step-by- Step procedures. 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  | APPEN- DICES |
|---------------------|---|--|---|--------------|
| <b>DESIGN PHASE</b> |   |  |   |              |
| 1                   | Invite Construction Turnover Manager to Design Kickoff Meeting.     | DGS Project Manager (DGS-PM) shall invite Turnover Manager to the Design Kick-Off Meeting.<br>FTM may provide lessons learned from previous projects, any preferences regarding the building systems, and institutional knowledge of the facility. PM should advise the Turnover Manager of the anticipated design document review schedule.   | Lessons Learned & Recommendations (Provided by Facilities, Agency Dependent). |              |
| 2                   | Opportunity to review A/E submittals- Schematic Documents.          | As soon as available the DGS-PM will forward a ProjectTeam Action Item to Turnover Manager advising documents are ready for review. Review time will be 10 working days (no exceptions) Comments to be noted directly on documents in ProjectTeam or in Review Comment Form. CTM will collate and provide comments to PM. Turnover Manager shall be invited to the design review meeting, if one is held.  | Review Comment Form   |              |
| 3                   | Opportunity to review A/E submittals- Design Development Documents. | As soon as available the DGS-PM will forward a ProjectTeam Action Item to Turnover Manager advising documents are ready for review. DGS-PM shall include responses to comments from previous review. Review time will be 10 working days (no exceptions) Comments to be noted directly on documents in ProjectTeam or in Review Comment Form. CTM will collate and provide comments to PM. Turnover Manager shall be invited to the design review meeting, if one is held. | Review Comment Form   |              |
| 4                   | Opportunity to review A/E submittals- Construction Documents.       | As soon as available the DGS-PM will forward a ProjectTeam Action Item to Turnover Manager advising documents are ready for review. DGS-PM shall include responses to comments from previous review. Review time will be 10 working days (no exceptions) Comments to be noted directly on documents in ProjectTeam or in Review Comment Form. CTM will collate and provide comments to PM. Turnover Manager shall be invited to the design review meeting, if one is held. | Review Comment Form   |              |

## TURNOVER PROTOCOL - STEP BY STEP PROCEDURE

| STEP                      | TITLE  | DESCRIPTION  | TURNOVER DOCUMENTS                        | APPEN- DICES               |
|---------------------------|--|--|---|----------------------------|
| <b>CONSTRUCTION PHASE</b> |  |  |   |                            |
| 5                         | Construction Kickoff meeting.                      | DGS-PM shall invite Turnover Manager to the Construction Kick-Off Meeting. FTM shall be provided with the construction schedule. GC shall advise Progress Meeting schedule   |   |                            |
| 6                         | Pre Close-In Walkthrough.                          | At appropriate times during construction, DGS-PM shall invite Turnover Manager to a walkthrough of the project to 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.  |   | A.                         |
| 7                         | Notify Turnover Manager of Commissioning Schedule. | Once active commissioning is scheduled FTM shall be advised, so Facilities can observe per their requirements. DGS-PM should provide the completed Equipment List at this time.  | Equipment List                            | B.                         |
| 8                         | Schedule Closeout Conference                       | On larger projects, DGS-PM shall schedule a Project Closeout Conference when the DGS-PM Team deem it advantageous. Invitee's should include FTM, CTM, A-E, Client Agency Rep. and, at GC's discretion, major sub-contractors. Schedule with sufficient time to help GC prepare for requesting Substantial Completion.                      | Turnover Checklist Base                   |                            |
| 9                         | Schedule Training Sessions.                        | DGS-PM shall invite Turnover Manager to all training sessions required by the contract documents, (or requested by FTM based on scope of work). Provide Turnover Manager with a minimum of five working days' notice to allow Facilities to schedule the correct personnel. All training sessions shall be recorded. Include sign-in sheet |   | A.<br>C.                   |
| 10                        | Pre-Substantial Completion Final Punch List Walk   | DGS-PM shall invite the Turnover Manager and Punch list Manager. (Following the contractors written request for Substantial Completion in accordance with specification section 017700)  | Request for Substantial Completion Letter | A.                         |
| 11                        | Process Certificate of Substantial Completion.     | DGS-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. DGS-PM and CTM shall process the Certificate of Substantial Completion.  | Certificate of Substantial Completion     | D.<br>E.<br>F.<br>G.<br>H. |
| 12                        | Process Final Completion Documents                 | DGS-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.  |   | G.<br>H.<br>I.             |

## TURNOVER PROTOCOL - STEP BY STEP PROCEDURE

| STEP                           | TITLE   | DESCRIPTION  | TURNOVER DOCUMENTS   | APPENDICES |
|--------------------------------|---|--|--|------------|
| <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) | H.         |
| 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. The following are examples of Post-Final Completion Items which may or may not be applicable depending on the specifics within the project specifications. If service visits are required provide copies of the work tickets to the Turnover Manager for record. | Marked up Turnover Checklist (Post-Final Completion Section) | H          |
| 14a                            | Door Hardware Maintenance                                   | Typically a 6 month maintenance agreement , including quarterly preventative maintenance.  |  | H          |
| 14b                            | Kitchen Equipment   | Typically a follow up demonstration at three months.   |  | H          |
| 14c                            | Elevator Maintenance  | Typically provided for the same duration as the specified warranty term.   |  | H          |
| 14d                            | HVAC Water Treatment  | In a hydronic system, typically a one year maintenance agreement included for water treatment, including chemicals supply.   |  | H          |
| 14e                            | Infrared Inspection   | Typ. at 2 & 11 months after Substantial Completion.  |  | H          |
| 14f                            | Lighting Controls   | Manufacturers optimization visit included for the Lighting Control System, to be conducted six months after Substantial Completion.  |  | H          |
| 14g                            | Telephone & Data  | One year maintenance agreement, including four quarterly inspections and service calls.  |  | H          |
| 14h                            | Video Surveillance  | Annual remote and on-site service and maintenance, including all software patches and upgrades.  |  | H          |
| 14i                            | Access Controls System                                      | Occupancy adjustment included , to be scheduled six months after Substantial Completion.   |  | H          |
| 14j                            | Vegetated Roof Assembly                                     | Typically two year maintenance agreement.  |  | H          |
| 15                             | One Year Warranty Expiration Walkthrough.                   | PM shall schedule this walkthrough, invite the Turnover Manager 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) | J.         |

### 3. TURNOVER RELATED DOCUMENTS

The CTM will create a submittal file (01 7700 01.0 DGS Turnover Documents) in ProjectTeam that includes the following forms for your use.

1. Design Review Comment Form
2. Request for Substantial Completion.
3. Equipment List.
4. Turnover Checklist.
5. Contact List.
6. A/E Sign-off.
7. Client Agency Acknowledgement.
8. Certificate of Substantial Completion.
9. 11 Month Warranty Walk Tracker

# TURNOVER PROTOCOL REVIEW AND COMMENT FORM

**Project:**  
**Reviewer:**

**Date:**  
**Review Stage:**

| ITEM | DRAWING/<br>SECTION | TOPIC | COMMENT | RESPONSE | FOLLOW UP |
|------|---------------------|-------|---------|----------|-----------|
| 1    |                     |       |         |          |           |
| 2    |                     |       |         |          |           |
| 3    |                     |       |         |          |           |
| 4    |                     |       |         |          |           |
| 5    |                     |       |         |          |           |
| 6    |                     |       |         |          |           |
| 7    |                     |       |         |          |           |
| 8    |                     |       |         |          |           |
| 9    |                     |       |         |          |           |
| 10   |                     |       |         |          |           |
| 11   |                     |       |         |          |           |
| 12   |                     |       |         |          |           |
| 13   |                     |       |         |          |           |
| 14   |                     |       |         |          |           |
| 15   |                     |       |         |          |           |
| 16   |                     |       |         |          |           |
| 17   |                     |       |         |          |           |
| 18   |                     |       |         |          |           |
| 19   |                     |       |         |          |           |
| 20   |                     |       |         |          |           |
| 21   |                     |       |         |          |           |
| 22   |                     |       |         |          |           |
| 23   |                     |       |         |          |           |
| 24   |                     |       |         |          |           |
| 25   |                     |       |         |          |           |
| 26   |                     |       |         |          |           |
| 27   |                     |       |         |          |           |
| 28   |                     |       |         |          |           |



# REQUEST FOR SUBSTANTIAL COMPLETION

[Date]

Capital Construction Services  
Department of General Services  
3924 Minnesota Ave. NE  
Washington DC 20019-2661

Attention: \_\_\_\_\_ [DGS-PM]

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 have been uploaded to ProjectTeam in the Submittals form:

- 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 the DGS-PM, 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 tag/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.

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

- 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]

# Equipment List

|          |                              |
|----------|------------------------------|
| Agency   | <Insert DGS's Client Agency> |
| Facility | <Insert Facility Name>       |
| Address  | <Insert project address>     |

- NOTES:
1. If in doubt whether on not to include a piece of equipment, include anything that has a serial number.
  2. Do not alter this form, other than adding lines as necessary.

**PHYSICAL TAG/LABEL INFO**

|   | Equipment Type<br>(Common Name) | Manufacturer | Model No. | Serial No. | Refrigerant | RPM | Voltage | Amps | Phases | Horse Power | Installation Date | BTU | Fuel Type | Filter Size | Size/Capacity | Room Number | Floor Number | Tag/<br>Label |
|---|---------------------------------|--------------|-----------|------------|-------------|-----|---------|------|--------|-------------|-------------------|-----|-----------|-------------|---------------|-------------|--------------|---------------|
|   | <u>PLUMBING</u>                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 1 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 2 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 3 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 4 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 5 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 6 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 7 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 8 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 9 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
|   | <u>HVAC</u>                     |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 1 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 2 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 3 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 4 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 5 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 6 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 7 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 8 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 9 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
|   | <u>ELECTRICAL</u>               |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 1 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 2 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 3 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 4 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 5 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 6 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 7 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 8 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 9 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
|   | <u>OTHER</u>                    |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 1 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 2 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 3 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 4 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 5 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 6 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 7 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 8 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |
| 9 |                                 |              |           |            |             |     |         |      |        |             |                   |     |           |             |               |             |              |               |



**GOVERNMENT OF THE DISTRICT OF COLUMBIA**  
**DEPARTMENT OF GENERAL SERVICES**  
**CONSTRUCTION / FACILITIES DIVISIONS**



**TURNOVER CLOSEOUT CHECK LIST**

|  |   |
|--|---|
| <b>Project Name:</b>                               | <b>Agency - Facility - Project - Year</b> |
| <b>Project Manager:</b>                            | <b>DGS PM</b>                             |
| <b>Anticipated Date of Substantial Completion:</b> | <b>Initial S.C. Date</b>                  |

**Pre-Substantial Completion**

As of

| Activity  | SPEC SECTION | DGS PM INITIAL | Date Complete | Comments | Reference Note |
|---|--------------|----------------|---------------|----------|----------------|
| <b>Operation Certificates &amp; Permits</b>           |              |                |               |          |                |
| Certificate of Occupancy                              | 01 77 00     |                |               |          | 2.1            |
| Boiler inspection (Green Stickers)                    | 01 77 00     |                |               |          | 2.2            |
| Elevator (conveying system) inspection                | 01 77 00     |                |               |          | 2.2            |
| Other operator certificates (per project)             | 01 77 00     |                |               |          | 2.2            |
| All DOB Final Approvals                               |              |                |               |          | 2.2            |
| Punch list (with only minor items remaining)          | 01 77 00     |                |               |          | 2.4            |
| Equipment schedule (in excel)                         | 01 78 23     |                |               |          | 2.5            |
| Commisioning / HVAC balancing complete                | 01 91 13     |                |               |          | 2.6            |
| Cx deficiency log items resolved.(See Reference Note) |              |                |               |          | 2.7            |
| All training completed                                | 01 79 00     |                |               |          | 2.6            |
| Contact List.   |              |                |               |          | 2.8            |
| O & M manuals submitted                               | 01 78 23     |                |               |          | 2.9            |
| Proposed schedule of maintenance                      | 01 78 23     |                |               |          | 2.10           |
| Final cleaning completed                              | 01 50 00     |                |               |          | 2.6            |
| Keys: permanent cores and keys to DGS                 | 01 77 00     |                |               |          | 2.6            |

|                              |  |
|------------------------------|--|
| <b>Verified Received by:</b> |  |
| Name:                        |  |
| Facilities Turnover Manager  |  |



**GOVERNMENT OF THE DISTRICT OF COLUMBIA**  
**DEPARTMENT OF GENERAL SERVICES**  
**CONSTRUCTION / FACILITIES DIVISIONS**



**TURNOVER CLOSEOUT CHECK LIST**

|  |   |
|--|---|
| <b>Project Name:</b>                               | <b>Agency - Facility - Project - Year</b> |
| <b>Project Manager:</b>                            | <b>DGS PM</b>                             |
| <b>Anticipated Date of Substantial Completion:</b> | <b>Initial S.C. Date</b>                  |

**Pre-Final Completion**

As of

| Activity   | SPEC SECTION | DGS PM INITIAL | Date Complete | Comments | Reference Note |
|--|--------------|----------------|---------------|----------|----------------|
| Elevator (conveying system) certificate              | 01 77 00     |                |               |          | 3.1            |
| Warranties   | 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            |
| <b>As-built documents.</b>                           |              |                |               |          | 3.6            |
| Drawings (PDF and <b>CAD</b> files)                  | 01 78 39     |                |               |          | 3.6.1          |
| Specifications                                       | 01 78 39     |                |               |          | 3.6.2          |
| <b>Tags, labels, plaques (if applicable)</b>         |              |                |               |          |                |
| Meter plan   |              |                |               |          | 3.2            |
| Valve Plan   |              |                |               |          | 3.2            |
| <b>Environmental, Health &amp; Safety documents.</b> |              |                |               |          |                |
| DOEE (SWM) approval                                  |              |                |               |          | 3.8            |
| MSDS for finishes & materials incorporated.          |              |                |               |          | 3.7            |
| Final meter reading for utilities                    | 01 50 00     |                |               |          | 3.9            |
| Fuel Tanks Filled                                    | 01 77 00     |                |               |          | 3.2            |
| Training recordings submitted                        | 01 79 00     |                |               |          | 3.11           |
| Final Commissioning report.                          |              |                |               |          | 3.12           |
| Final Property (wall check) Survey                   |              |                |               |          | 3.13           |

|                              |  |
|------------------------------|--|
| <b>Verified Received by:</b> |  |
| Name:                        |  |
| Facilities Turnover Manager  |  |



**GOVERNMENT OF THE DISTRICT OF COLUMBIA  
DEPARTMENT OF GENERAL SERVICES  
CONSTRUCTION / FACILITIES DIVISIONS**



**TURNOVER CLOSEOUT CHECK LIST**

|  |   |
|--|---|
| <b>Project Name:</b>                               | <b>Agency - Facility - Project - Year</b> |
| <b>Project Manager:</b>                            | <b>DGS PM</b>                             |
| <b>Anticipated Date of Substantial Completion:</b> | <b>Initial S.C. Date</b>                  |

**Post-Final Completion**

As of

| Activity   | SPEC SECTION | DGS PM INITIAL | Date Complete | Comments | Reference Note |
|--|--------------|----------------|---------------|----------|----------------|
| Pre 1 year warranty expiration inspection.                                 |              |                |               |          | 4.1            |
| Any other Post-Final contract requirements (list), following are examples. |              |                |               |          |                |
| Second season HVAC commissioning completed.                                |              |                |               |          | 4.1            |
| Elevator inspection report (one year)                                      |              |                |               |          | 4.1            |
| Fire Alarm inspection report (one year)                                    |              |                |               |          | 4.1            |
| Infrared testing of electrical system (6 months)                           |              |                |               |          | 4.1            |
|  |              |                |               |          | 4.1            |
|  |              |                |               |          |                |
|  |              |                |               |          |                |
| <b>Verified Received by:</b>   |              |                |               |          |                |
| Name:  |              |                |               |          |                |
| Facilities Turnover Manager  |              |                |               |          |                |

**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.

**2. PRE-SUBSTANTIAL COMPLETION**

- 2.1. Certificate of Occupancy: Conditional may be acceptable if allowed by construction contract.
- 2.2. Other Inspections: Provide copies of final inspections and approvals as applicable to project.
- 2.3. Emergency Evacuation Plans: Confirm these are prepared and posted. They must be posted prior to occupancy.
- 2.4. Punch List (with only minor items remaining): 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. Also see note 2.7 below
- 2.5. Equipment Schedule: Provide a completed equipment schedule (base form provided in ProjectTeam).
- 2.6. Confirm complete by initializing in the "PM Check" column and dating in the "Date complete" column.
- 2.7 For Substantial Completion all Cx deficiency log items should be resolved. Any remaining minor items must be added to the punch list.
- 2.8. Contact List: Provide list of contractors by trade. Contact details should be those for warranty calls, not the necessarily the construction contact.
- 2.9. O&M Manuals Submitted:
  - 2.9.1. Manuals are required at Substantial Completion as the District will be responsible for maintenance as of that date.
  - 2.9.2. O&M Manuals shall be organized in the same order as the project specification sections. Provide files divided by specification division and with filenames starting with the specification section.
- 2.10. Proposed Schedule of Maintenance: The O&M manuals shall include a written schedule of maintenance.

**3. PRE-FINAL COMPLETION**

- 3.1. Elevator certificate: Provide copy of certificate (The one that is typically displayed in the elevator)
- 3.2. Confirm complete by initializing in the "PM Check" column and dating in the "Date complete" column.
- 3.3. Warranties:
  - 3.3.1. All warranties shall start on the date Substantial Completion as noted on the EXECUTED Certificate of Substantial Completion.
  - 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 written to the benefit of the District (or Owner).
- 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 Contracting Officer. 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. Also, include stored location.
- 3.6. As Built Documents:



**GOVERNMENT OF THE DISTRICT OF COLUMBIA  
DEPARTMENT OF GENERAL SERVICES  
CONSTRUCTION / FACILITIES DIVISIONS**



**TURNOVER CLOSEOUT CHECK LIST**

|  |   |
|--|---|
| <b>Project Name:</b>                               | <b>Agency - Facility - Project - Year</b> |
| <b>Project Manager:</b>                            | <b>DGS PM</b>                             |
| <b>Anticipated Date of Substantial Completion:</b> | <b>Initial S.C. Date</b>                  |

- 3.6.1. Drawings: Provide electronic PDF files by discipline **and** CAD (or BIM) 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. Environmental, Health & Safety Documents: Provide all applicable documents in electronic format for archiving. Mark N/A if not applicable. Do not leave blank.
- 3.8. Provide copy of DOEE Final Approval letter for SWM.
- 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 Recordings Submitted: Submit electronic copies of all training sessions, in ProjectTeam.
- 3.12. Final Commissioning Report: Provide in electronic in ProjectTeam.
- 3.13. Final Property (wall check) Survey: Provide in PDF format if required by Contract Documents or Surveyors office.

**4. POST-FINAL COMPLETION**

- 4.1 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.

## TURNOVER CONTACT LIST

**Project Name:** Agency - Facility - Project - Year  
**Project Manager:** DGS PM

|                           | Company               | Contact | Office Phone | Cell Phone | Email | Website |
|---------------------------|-----------------------|---------|--------------|------------|-------|---------|
| <b>GENERAL CONTRACTOR</b> |                       |         |              |            |       |         |
|                           | Sr. Project Manager   |         |              |            |       |         |
|                           | Asst. Project Manager |         |              |            |       |         |
|                           | Project Coordinator   |         |              |            |       |         |
|                           | LEED Coordinator      |         |              |            |       |         |

**SUB-CONTRACTORS** (add or remove as appropriate to project), (use appropriate contact for warranty work)

| Division/Trade   | Company | Contact | Office Phone | Cell Phone | Email | Website |
|--|---------|---------|--------------|------------|-------|---------|
| <b>DIVISION 02 - Existing Conditions</b>               |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 03 - Concrete</b>                          |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 04 - Masonry</b>                           |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 05 - Metals</b>                            |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 06 - Wood, Plastics &amp; Composites</b>   |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 07 - Thermal &amp; Moisture Protection</b> |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |

| Division/Trade   | Company | Contact | Office Phone | Cell Phone | Email | Website |
|--|---------|---------|--------------|------------|-------|---------|
|  |         |         |              |            |       |         |
| <b>DIVISION 08 - Openings</b>                                    |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 09 - Finishes</b>                                    |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 10 - Specialties</b>                                 |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 11 - Equipment</b>                                   |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 12 - Furnishings</b>                                 |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 13 - Special Construction</b>                        |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 14 - Conveying Equipment</b>                         |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 21 - Fire Suppression</b>                            |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 22 - Plumbing</b>                                    |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 23 - Heating, Ventilating &amp; Air Conditioning</b> |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |
| <b>DIVISION 26 - Electrical</b>                                  |         |         |              |            |       |         |
|  |         |         |              |            |       |         |



| Division/Trade  | Company | Contact | Office Phone | Cell Phone | Email | Website |
|---|---------|---------|--------------|------------|-------|---------|
|   |         |         |              |            |       |         |
| <b>DIVISION 27 - Communications</b>                   |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
| <b>DIVISION 28 - Electronic Safety &amp; Security</b> |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
| <b>DIVISION 31 - Earthworks</b>                       |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
| <b>DIVISION 32 - Exterior Improvements</b>            |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
| <b>DIVISION 33 - Utilities</b>                        |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
|   |         |         |              |            |       |         |
|   |         |         |              |            |       |         |



**A/E SIGN OFF FOR SUBSTANTIAL COMPLETION**

PROJECT NAME: <Exactly as written in construction contract>

CONTRACTOR: <Exactly as written in construction contract>

CONTRACT No.: <Exactly as written in construction contract, including Task Order No.>

COMPLETE PROJECT.

PARTIAL – List areas/phase

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

We \_\_\_\_\_ have reviewed the complete project, or partial project as noted above,  
Architect/Engineer (*Firm Name*)  
and to the best of our knowledge, information and belief, have found the Work to be in accordance with the  
Contract Documents, except as noted on the attached punch list.

We also confirm we have reviewed the closeout documents required for substantial completion (as detailed  
in the Turnover Protocol “Request for Substantial Completion” letter) and found the closeout documents to  
be in accordance with the Contract Documents.

\_\_\_\_\_  
A/E Signature and printed name and title

\_\_\_\_\_  
Date

Note: The above does not, in any way, designate the date of Substantial Completion as pertains to the  
contract between the Contractor/Construction Manager/Design Builder and the District.



**CLIENT AGENCY ACKNOWLEDGEMENT**  
(for non-DGS maintained facilities)

CONTRACT NAME: <Exactly as written in construction contract>

CONTRACT No.: <Exactly as written in construction contract>

CLIENT AGENCY: \_\_\_\_\_

CONTRACTOR: <Exactly as written in construction contract>

COMPLETE PROJECT.

PARTIAL – List areas/phase

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

\_\_\_\_\_ (Client Agency) acknowledges receipt of the following close-out/turnover documents for the above referenced project.

- Certificate of Occupancy/Building final Inspection.
- Operation and Maintenance Manuals
- As-Built Drawings (pdf & AutoCad)
- Warranties,
- Maintenance service agreements, (List)
- Project Contact List
- Schedule of Attic Stock.
- Equipment list.
- Closure reports for environmental abatement work.
- Commissioning report (Draft, final to follow)
- \_\_\_\_\_
- \_\_\_\_\_

\_\_\_\_\_  
Client Agency Contact and printed name

\_\_\_\_\_  
Date



**CERTIFICATE OF SUBSTANTIAL COMPLETION**

CONTRACT NAME: \_\_\_\_\_

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

CONTRACT No.:    -   -   -

- COMPLETE PROJECT.
- PARTIAL – List areas/phase

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

**SECTION 1 - Substantial Completion Request Rejected**

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    |             |          |
| 3    |             |          |
| 4    |             |          |
| 5    |             |          |
| 6    |             |          |
| 7    |             |          |
| 8    |             |          |
| 9    |             |          |
| 10   |             |          |
| 11   |             |          |
| 12   |             |          |

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 - Substantial Completion Request Accepted**

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

\_\_\_\_\_  
Executive Program Manager and printed name

\_\_\_\_\_  
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.



# Warranty Walk-through Check List



Project Name:

Date:

Participants:

Reference Sign In Sheet

| Item # | BIC | Warranty or Maintenance | Floor and Location | Description | Action |
|--------|-----|-------------------------|--------------------|-------------|--------|
| 1      |     |                         |                    |             |        |
| 2      |     |                         |                    |             |        |
| 3      |     |                         |                    |             |        |
| 4      |     |                         |                    |             |        |
| 5      |     |                         |                    |             |        |
| 6      |     |                         |                    |             |        |
| 7      |     |                         |                    |             |        |
| 8      |     |                         |                    |             |        |
| 9      |     |                         |                    |             |        |
| 10     |     |                         |                    |             |        |
| 11     |     |                         |                    |             |        |
| 12     |     |                         |                    |             |        |
| 13     |     |                         |                    |             |        |

## 4. APPENDICE (CCS PM's)

### A. TURNOVER MEETING REQUIREMENTS

Regarding scheduling contract and Turnover Protocol required meetings (commissioning, training sessions, pre-close-in walk-throughs, punchlist, etc.), DGS Facilities have requested the following time frames be used to the greatest extent possible. This is required to accommodate their mechanics work schedules.

- Mechanical equipment training/commissioning: 7a.m. start, conclusion by noon.
- Electrical & Plumbing equipment training/commissioning: 9a.m. start, conclusion by 2p.m.
- Pre-close-in walkthroughs, punchlists: 9a.m. start, conclusion by noon.
- If multiple trades involved provide individual start times for each trade.

Per the Turnover Protocol these sessions must be scheduled a **minimum of 5 working days** in advance, to allow Facilities to rework their personnel schedules accordingly.

Invites should be sent to both the CTM and the FTM. FTM will distribute to the appropriate personnel within FMD.

Invites shall include a) specific meeting location, easily identifiable to someone not familiar with the current site conditions and b) advice on the site-specific PPE requirements.

### B. EQUIPMENT LIST

Have GC/CMAR/D-B complete the form and upload it to ProjectTeam just prior to the start of Functional Testing in the Commissioning process. Send a forced notification to CTM & FTM, as soon as uploaded. **Do not** allow the GC/CMAR/D-B to modify the document in any way, other than adding additional lines as required. Equipment Tag/Label information must be the information that's on the physical tag, not the information on the equipment schedule in the

construction drawings, and each tag must be unique. (Reference the requirements in the specifications, typically sections 220553, 230553, 260553.)

## C. TRAINING RECORDINGS

Recordings shall be professional in nature. Not recorded by a random individual on their cellphone. Please be aware of background noise, especially around mechanical equipment. Please keep files to a maximum of 2GB, breaking into parts if necessary. When a commissioning agent is employed on the project, training must not be conducted until the Cx advises the equipment is ready for training.

## D. A/E SIGN OFF FOR SUBSTANTIAL COMPLETION

On projects where you have an A/E, either as part of a D-B team or providing Title II services, use the A/E Sign-Off form to have the A/E certify the work has been completed in accordance with the design and that the close-out documents have been reviewed and comply with the project specifications.

Tick either the “Complete Project” box or the “Partial” box, as appropriate. If a Partial Turnover, include a clear description of the area being turned over. Attach marked up plans (with system demarcation points highlighted) as necessary.

## E. CONTACT LIST

Contact list must be provided with the pre-substantial completion package. Contact list for Turnover purposes should include the GC/DB and all first-tier sub-contractors. It should be organized by trade (or specification division), not by company name. The contact information should be the correct information for warranty calls, not necessarily the on-site or construction contacts, as many larger companies have designated warranty departments. An appropriate contact list base is provided in this package.



## F. PROCESSING CERTIFICATE of SUBSTANTIAL COMPLETION

Per standard Division 1 specification requirements, Contractor shall submit a written request for Substantial Completion, 10 days prior to when they anticipate being substantially complete. At that time, they must provide all the close-out documents required for substantial completion. See the “Request for Substantial Completion” document, in the documents section of this manual, which the contractor can use for this purpose. It also provides a checklist of the items typically required.

Once received, the DGS-PM should review the project conditions and the documents provided and either reject the request or recommend acceptance.

If rejecting the request, you can use **Section 1** of the Certificate of Substantial Completion to list the deficiencies and officially reject the request.

If recommending acceptance, complete the relevant parts of **Section 2** of the CofSC per the following:

When you have all the docs required by the first page of the Turnover Checklist complete the Turnover Checklist and attach to the CofSC, as page 3.

1. Attach the punchlist as of your proposed Substantial Completion date, as page 4, (only if there are any outstanding items). Remember to include any outstanding Cx Issue Log items in the Punchlist.
2. Input your proposed Substantial Completion date in the space provided in the second from last paragraph of the second page.
3. In the last paragraph on the second page, in the space provided, add the date by which you want the contractor to complete the punchlist. (if none insert N/A)
4. Also, on the second page, electronically sign the document on the “DGS PM” line. Do not sign the first page.
5. Forward to the CTM, as a Project Team Action Item.

## G. CLIENT AGENCY ACKNOWLEDGEMENT

On a project where CCS is responsible for managing the construction, but another agency is responsible for maintenance, the turnover documents should be provided to that agency. Have the agency complete the Client Agency Acknowledgement form and return a copy to the CTM.

## H. PROJECTTEAM TRANSMITTAL PROCESSING

For each phase of Turnover, once the DGS-PM has reviewed and accepted the documents, create a transmittal in ProjectTeam. Transmittal line items shall mimic the Turnover Checklist activity line items.

Please reference the ProjectTeam Quick Reference Guide on process on creating a transmittal Link: [projectteam.com/dgs/home.html](http://projectteam.com/dgs/home.html)

Once the transmittal has been created forward a ProjectTeam Action Item to CTM.

## I. TURNOVER FINAL SIGN-OFF

Once the Final Completion documents have been received and accepted by the CTM the CTM will provide a Turnover Final Sign-Off which must be included in the PM's package for release of retainage submitted to the Deputy Director. To provide this sign-off, the following must have occurred: -

- a. all required turnover documents must have been provided to the CTM.
- b. Any post-substantial completion maintenance included in the construction contract must be covered by a Maintenance Agreement between the sub-contractor providing that maintenance and the District and must be executed by an officer of the sub-contractor.
- c. If DGS-FMD is not providing ongoing maintenance the Client Agency Acknowledgement must be provided.

## J. WARRANTY WALK

The purpose of the “One Year Warranty Walkthrough” is to identify any items that should have been called in as warranty issues by the client or DGS-FMD, but have not been for any particular reason. Therefore, at the walkthrough we need the following:

1. an on-site representative from the client to point out any issues they may have,
2. an on-site representative from Facilities to do the same,
3. the DGS PM to determine, and document, which issues are covered by the construction contract (and therefore warranty issues), which issues are user wear and tear/damage/lack of maintenance (not warranty issues), and which are not within the scope of the construction contract (not warranty issues),
4. the contractor, to be aware of any warranty issues identified and to make sure they are taken care of by the relevant subcontractors before the warranty expires.

You can use the use the “Warranty Walk-through Check List” included in this protocol to track any issues found.

## 5. APPENDICE (FMD Staff)