

**UAB FACILITIES DIVISION
STANDARD OFFICE INSTRUCTIONS**

**PROCEDURES FOR THE PREPARATION AND PROCESSING
OF CERTIFICATES OF SUBSTANTIAL COMPLETION (COSC)**

PURPOSE:

To establish the procedures for preparation and processing of Certificates of Substantial Completion (COSC) for completed projects.

DEFINITIONS:

A certification that declares the project has been completed to the extent that the Owner can occupy or utilize all, or a designated portion thereof, for which it was intended, as expressed in the contract documents.

REQUIREMENTS:

A COSC is issued when:

- Work is completed to the extent that the Owner can occupy or utilize all or a designated portion thereof for which it is intended, as expressed in the contract documents.
- All required approvals from regulatory agencies are provided.
- Any required test and balance reports are approved by the Project Architect/Engineer and submitted to the Owner.
- All required orientations for Owner personnel have been provided.

PROCEDURES:

- 1.0 After final inspection and verification by the Architect of Record and the Owner that all above requirements have been met, the architect reviews the punchlist and verifies that there are no life safety or building code open issues.
- 2.0 The Project Architect prepares originals of the COSC in accordance with the **Project Close-Out Checklist (+closeout checklist.pdf)**. The architect signs each copy of the COSC and transmits all copies to the contractor for execution.

- 2.1 For UAB funded projects, the Architect shall utilize the **Certificate of Substantial Completion AIA Document G704 - (+cosc.pdf)**.
- 2.2 For projects funded through the Alabama Public School and College Authority (APSCA) or the Alabama Department of Public Health, the Architect shall utilize the State of Alabama Building Commission Form for the **Certificate of Substantial Completion ABC Form C-13 – (+cospca.pdf)**.
- 3.0 After execution of all COSC copies by the contractor, all copies are returned to the architect.
- 4.0 Upon receipt of the properly executed COSC from the contractor, the architect transmits all copies to the UAB Department of Project Management Services.
- 5.0 Upon receipt in DPMS, the administrative assistant shall:
 - 5.1 Date stamp the Certificate transmittal and record in facilities database system.
 - 5.2 Attach a **UAB COSC transmittal – (+coscrtg.pdf)** to one of the Certificates and route to Field Project Manager for review and approval.
- 6.0 Following his review and approval, the Field Project Manager sends COSC to the Project Manager for review and approval. (The Project Manager and Field Project Manager review the Certificate for verification of dates, signatures, punch lists and accuracy of all information contained therein.)
 - 6.1 The administrative assistant records the dates approved by Field Project Manager and Project Manager in database and routes to the Director of Project Management Services.
- 7.0 Upon approval by the DPMS Director, the approval date is recorded in the database and one copy of the Certificate (w/transmittal) is forwarded to the appropriate maintenance department (hospital or campus) for sign-off by the Director of that department. After approval, it is returned to DPMS for further processing.
- 8.0 Upon receipt of the Certificate from the maintenance department, the DPMS administrative assistant logs the date into the database and sends originals to the Associate Vice President (AVP) for Facilities for final approval.
 - 8.1 On UAB funded projects, the AVP for Facilities executes all Certificates of Substantial Completion on behalf of the Owner and returns them to the DPMS. The administrative assistant logs the final approval date into the database, prepares a cover letter and distributes COSCs in accordance with the **Distribution Matrix (+distribution matrix.pdf)**. The transmittal

sheet containing UAB signatures is attached to the Central File copy of the cover letter and COSC.

- 8.2 For projects funded through the APSCA, the AVP for Facilities executes the **State Building Commission form (+cosc-psca.pdf)** on behalf of the Owner and returns it to the Department of Project Management Services. The Administrative Assistant logs the approval date into the database. The COSC form is then routed in accordance with the instructions of the **ABC form C-13 (+cosc-psca.pdf)** and the date sent to the State Building Commission is added to the database.
 - 8.2.1 Upon receipt of the approved Certificates from the State Building Commission, the DPMS Administrative Assistant logs the final approved COSC date into the database and distributes the COSC with the **Distribution Matrix (+distribution matrix.pdf)**.

(END OF PROCEDURE)