

# GUIDELINES

## DIVISION OF SANITATION FACILITIES CONSTRUCTION

Office of Environmental Health and Engineering  
Navajo Area Indian Health Service  
Window Rock, Arizona

### CHAPTER 19 – Transfer Process

#### Section 1: Final Inspection, Transfer and Final Report Procedures

Guideline No. 19.1 (06-34)

April 2006

Supersedes: G 19.1(99-33), G 19.1(91-2), G 19.1(86-5)

Distribution: Standard List

This guideline presents the closeout procedures for Public Law 86-121 construction projects. The closeout procedures for scattered projects differ from the procedures outlined in this guideline. Guideline G19.2 should be consulted for information on scattered project transfers.

Project closeouts can be divided into four phases:

- The preparation of the final inspection package, package review and the final inspection.
- The completion of punch-list items by the project manager/engineer and concurrence by the utility.
- The submission of the project transfer documents to the utility for project transfer.
- The completion of the project final report.

A detailed discussion for each of these phases is presented below.

#### FINAL INSPECTION

The project manager/engineer is to compile the final inspection package materials at the completion of a project. Little effort should be required for this if the project was planned with as-building in mind and accurate and complete as-built information was maintained throughout construction. The final inspection package should have the following information:

- Community as-built plans completed as per guideline G11.2.
- Project Facilities Summary completed as it applies for the project (see attachment).
- Cost of Plant. A sample Cost of Plant is provided as an attachment to this guideline.
- Individual as-builts on 8½” x 11” paper and completed as per guideline G11.2.

- Waterline pressure test certification and sewer leakage test forms approved by the utility. The inclusion of the certifications in the final inspection package is for documenting their completion and should not be considered as the submissions to the utility for approval. The Design Criteria should be consulted for information on preparing and processing the certifications.
- Disinfection results. It is recommended that bacteriological testing be completed after the final inspection to correspond to the initiation of services. If testing has been completed, the results of the tests should be provided with the final inspection package. Where appropriate, a brief memo documenting the completion of tank disinfections can be provided.
- Water meter delivery receipt(s) issued by the NECA warehouse.
- An item-by-item response to how NTUA's construction review comments were addressed or, if applicable, were not addressed during construction.
- PWSID Number Information. This form (see attachment), as well as other information provided in the final inspection package, is required for processing the PWSID number application for new well installations. The utility is responsible for processing the PWSID application when they receive the final inspection package for review. Water quality analysis results for new water sources (see Design Criteria).
- Well pump test data forms and graphs (see Design Criteria).
- Performance curves for well and booster pumps.
- Manufacturer's operation and maintenance information for non-standard equipment. Where applicable, the lagoon O&M manual modified for the particular installation is to be provided.
- Copies of grants of easement across privately owned property and crossing permits. No other rights-of-way documentation is required. The as-built right-of-way application must be made before the project can be transferred. Documentation that the application has been transmitted to the Bureau of Indian Affairs is required with the submission of the transfer agreement.
- Copies of any documentation relating to special agreements made with individuals or groups concerning water use, etc.
- A Chapter resolution supporting NTUA's operation of a new system or NTUA's taking over operation of a tribally operated system. Resolutions are not needed for extensions to existing NTUA operated systems.

All 8½" x 11" final inspection documentation is to be placed in an appropriately sectioned three-ring binder and delivered with the as-built plans to the District Engineer. The District Engineer is to review, provide comments and return the package for modification. Four corrected copies for water facilities projects, and three corrected copies for sewer facilities projects (binder materials and plans) are to be provided to the DSFC, Navajo Area Office (NAO), for distribution to the NTUA or Tribe. For NTUA operated systems, the NTUA Headquarters will receive three copies. For tribally operated systems, the NTUA Headquarters will receive one copy and the Navajo Tribal Department of Water Development will receive two. For water facilities projects, a fourth copy will go to the Navajo Nation EPA.

The NAO will coordinate with the various interested parties to schedule a final inspection and provide notification of the inspection date, time and location. A written punch-list is developed

at the final inspection. Punch-list items are normally grouped into three parts: documents review items, field review items and the statement of conditions for beneficial use. The conditions for beneficial use typically include adjusting the PRVs to their proper outlet settings and obtaining satisfactory waterline disinfection results.

### PUNCH-LIST COMPLETION

The project manager/engineer is required to address all items listed on the punch-list. The Certification of Punch-list Completion (CPLC) is used to document the actions taken to address the punch-list items. The CPLC is written in memorandum form with references to each item number of the punch-list and brief notes on how each item was addressed. For items that require specific action, a simply stated “done” is sufficient. For items that allow alternative actions, ask a question or require explanation, a brief statement of what action was taken should be provided. An example of a punch-list certification memorandum is provided as an attachment to this guideline.

A separate memorandum, written in the CPLC format, is to be prepared for verification of completion of field and beneficial use punch-list items. A local utility representative is required to concur with these memos. For convenience, both can be combined. Example field and beneficial use verification memorandums are provided as attachments to this guideline.

A Beneficial Use Permit, prepared by the NAO, is used to establish the one-year warranty date for a project. A copy of the verification of completion of beneficial use punch-list items is to be provided so that the Beneficial Use Permit can be issued for concurrence signature by the utility. This procedure is used for both tribally and NTUA operated systems.

The CPLC and the field verification memo(s) along with copies of the corrected as-built plan sheets and document pages are to be provided to the District Engineer for review and comment. Copies of the CPLC and field verification(s) and three copies of corrected binder materials and plans are to be provided to the NAO for transmittal to NTUA for approval and issuance of the Affidavit of Punch-list Completion (APLC). A follow-up CPLC may be required if any deficiencies are noted by NTUA in the CPLC package.

For tribally operated systems, the CPLC package is submitted to NTUA however the APLC is issued by the Tribe. NTUA reviews the package for completeness then forwards it to the Tribe with a recommendation that the APLC be issued. A project can be transferred once the APLC is received.

### PROJECT TRANSFER

Upon receipt of the APLC, the project manager/engineer is to provide one copy of as-built Mylars to NAO for inclusion with the transfer package. The following materials require inclusion in the transfer package:

- Community As-builts on Mylar

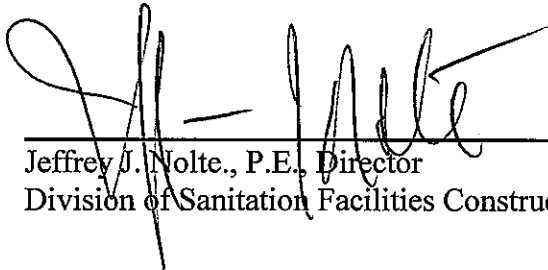
- As-built Right-of-Way Application Transmittal Letter
- Transfer Agreement (one original for each signature)

The package is compiled and delivered by the NAO staff to the operating utility for review and signing of the Transfer Agreement. The Transfer Agreement, once signed by the utility, is routed appropriately for complete execution. Upon execution, the transfer procedure is complete and the Final Report can be processed for approval by the Director, OEHE.

#### FINAL REPORT

Upon issuance of the APLC, the project manager/engineer is to draft and forward to NAO the project's Final Report. A diskette containing the draft Final Report shall be submitted along with a hard copy of the report.

APPROVED BY:



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Jeffrey J. Nolte, P.E., Director  
Division of Sanitation Facilities Construction

- Attachment A - Final Inspection Package Transmittal Memo Example
- Attachment B - Project Facilities Summary Form
- Attachment C - Cost of Plant Example
- Attachment D - PWSID Number Information Form
- Attachment E - Final Inspection Punch-list Example
- Attachment F - Certification of Punch-list Completion Example
- Attachment G - Verification of Field Punch-list Items Example
- Attachment H - Verification of Beneficial Use Items Example
- Attachment I - Beneficial Use Permit Example
- Attachment J - Affidavit of Punch-list Completion Example
- Attachment K - Fill-in-the-Blank Final Report
- Attachment L - Transfer Package Transmittal Memo Example