

# CONTRACT CLOSEOUT PROCESS

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Presented by  
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Contract Compliance Specialist - Contract Administration Unit

CAU Workshop – March 2024



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## Who is involved with Contract closeout?

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### Contract Closeout Personnel

- Agency Representative(s)\* ~ (Resident Engineer, Resident Engineer – Consultant Projects, Transportation Project Manager aka Local Agency Liaison, Area Manager, support personnel)
- Non-Agency Representative(s)\* ~ (Consultant's Project Manager, support personnel)
- Region Assurance Specialist ~ (RAS; quality and quantity documentation auditor)
- Contract Compliance Specialist ~ (semi-final documentation reviewer, recommends Final Acceptance)
- Contract Administration Engineer ~ (CAE; authorizes Final Acceptance according to 00110.20)
- Contract Payments Specialist ~ (reviews final payment, recommends CAE concurrence, transfers final payment to Financial Services after CAE concurrence)
- Financial Services ~ (makes final payment to the Contractor)

\*collectively and separately referred to as RE throughout this document for brevity

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## Initiation of Contract Closeout

### When should Contract closeout start?

The contract closeout process begins at Second Notification (2<sup>nd</sup> Note).

**00110.20 Second Notification** - Written acknowledgment by the Engineer of the end of Contract Time according to 00180.50(g).

RAS-issued documentation:

Documentation Review Report (DRR) ~ up to the issuance of 2<sup>nd</sup> Note, the RAS reviews the quality and quantity (Q&Q) documentation of each Project quarterly (soft goal), producing a DRR noting any documentation/process deficiencies

Action Plan (AP) ~ after 2<sup>nd</sup> Note is issued, the RAS reviews the Q&Q documentation of each Project monthly (approximately), producing in conjunction with the RE an AP noting any remaining documentation/process deficiencies with each item being assigned to a specific party responsible for resolution; once all Contractor-responsible items are resolved, the RAS issues a final DRR

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## Contract Closeout – 3<sup>rd</sup> Notification

### What is the relationship between 3<sup>rd</sup> Note and semi-final documentation?

The RE will issue Third Notification (3<sup>rd</sup> Note) once the criteria defined in the specifications has been met.

**00110.20 Third Notification** - Written acknowledgment by the Engineer, subject to Final Acceptance, that as of the date of the notification the Contractor has completed the Project according to the Contract, including, without limitation, completion of all minor corrective work, Equipment and plant removal, site clean-up, and submittal of all certifications, bills, forms and documents required under the Contract.

The Final DRR and 3<sup>rd</sup> Note essentially go hand in hand – The RE has confirmed all outstanding labor (L) documentation has been received and all items listed under 2<sup>nd</sup> Note have been resolved, as well as confirmation from the RAS that all outstanding Quantity and Quality discrepancies have been resolved.

Issuance of 3<sup>rd</sup> Note is entirely independent of and should not wait until semi-final documentation (SFD) review by the Contract Administration Unit (CAU) is complete.

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# Semi-Final Documentation

## When should preparation of the semi-final documentation submittal start?

Generally, preparation of the semi-final documentation starts once all Q&Q and L deficiencies are resolved, although there are some documents that can be prepared earlier in the process. The best resources for the RE in regard to preparation of semi-final documentation are:

- Form 734-2706a ~ Semi Final Documentation Submittal for Doc Express projects (aka the “semi-final checklist” which is now combined with the Submittal of Final Project Documentation for Acceptance letter, previously Form 734-5222)
- Chapter 37 of the Construction Manual
- RAS and Contract Compliance Specialist

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# Semi Final Documentation Submittal

This document includes both the **Submittal of Final Project Documentation for Acceptance** and the **Semi Final Checklist**

**Submittal of Final Project Documentation for Acceptance**

Project Name: \_\_\_\_\_ Date: \_\_\_\_\_

To: Document Compliance Specialist  
ODOT Contract Administration Unit, Construction Section

Second Notification has been issued to the Contractor on the above referenced Contract. Following the process outlined in Chapter 37 of the ODOT Construction Manual, under my supervision, my office has:

- Entered:
  - All contractually required Project record documents and supporting data are accounted for in Doc Express.
  - Documentation submitted to Doc Express is in close conformance to the Doc Express Document Directory manual correctly, reviewed all necessary signatures, fully processed through the designated workflow, and published to the correct drawer.
- Issued Q&Q "checked estimate quantity amount" to match the "performed to date quantity amount," released any remaining retainage, if applicable, and uploaded an estimate for any outstanding amount owed to the Contractor.
- Prepared the semi-final documentation per the attached Semi-Final Documentation Submittal form 734-2706a, currently referred to as the semi-final checklist.
- Submitted any semi-final documentation to the CAU for physical archiving that was NOT scanned and submitted to Doc Express to become part of the official contract documentation per 00170.08 (e.g., weigh tickets, referenced test logs, pipe inspection video too large to submit to Doc Express).

I hereby transmit the semi-final documentation to the Contract Administration Unit in the Construction Section for semi-final review, final acceptance by the Contract Administration Engineer, and archiving.

Project Engineer: \_\_\_\_\_

I have verified the final quality, quantity and labor compliance documentation is complete and:

- The Project documentation fulfills the requirements of the Contract
- Price adjustments have been properly applied
- Methods, calculations, and quantities are appropriate and correct
- Confirmed the submittal of all semi-final documentation as listed on the Semi-Final Documentation Submittal form 734-2706a.
- In CFS, checked the quality and quantity bowls enabling the release of any remaining retainage, if applicable.

Signatures Required:

734-2706a (Rev. 01/2023) Page 1

**Semi-Final Documentation Submittal for Doc Express Projects (Doc Express Document Directory 2019)**

Project Name: \_\_\_\_\_ Agency: \_\_\_\_\_ Region: \_\_\_\_\_

Refer to Chapter 37 of the Construction Manual for Semi-Final Documentation. Select one of the two tables on this page based on whether the Project has an Establishment Period or not. The selected page applies to all projects. Each table has an appropriate checklist on this page and details on the following program must contain one of the following items:

- Submitted to Doc Express with the semi-final documentation.
- Submitted to Doc Express prior to the semi-final documentation.
- To be submitted to Doc Express after the semi-final documentation and before I&A closure date.
- Checked outside of the Express to all required parties in applicable based on the Project Work.
- N/A - Not applicable to this Project.

Semi-Final Documentation - Projects with an Establishment Period		ODOT Form Number
As-built	As-built	734-1001
Change Order	Change Order	734-1002
Contract Documents	Contract Documents	734-1003
Construction Schedule	Construction Schedule	734-1004
Cost Estimate	Cost Estimate	734-1005
Final Inspection Report	Final Inspection Report	734-1006
Final Project Report	Final Project Report	734-1007
Final Project Summary	Final Project Summary	734-1008
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1009
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1010
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1011
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1012
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1013
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1014
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1015
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1016
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1017
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1018
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1019
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1020
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1021
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1022
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1023
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1024
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1025
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1026
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1027
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1028
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1029
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1030
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1031
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1032
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1033
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1034
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1035
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1036
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1037
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1038
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1039
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1040
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1041
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1042
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1043
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1044
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1045
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1046
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1047
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1048
Final Project Summary - Project with an Establishment Period	Final Project Summary - Project with an Establishment Period	734-1049
Final Project Summary - Project without an Establishment Period	Final Project Summary - Project without an Establishment Period	734-1050

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## Semi Final Documentation Submittal (Checklist) Semi Final Documents (1<sup>st</sup> page of checklist)

- ❖ **Projects with no Establishment Period**
  - Only the Upper Section should be completed
    - The lower section should be left blank or coded as N/A.
  - Documents that Affect Final Payment
    - All boxes should be coded with an “S” or “X” as applicable.
  - Documents that do not Affect Final Payment
    - OFW Completion Notice, ROW Monumentation Completion Notice, & RE Narrative
    - Must be received prior to the EA Closure Date

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## Semi Final Documentation Submittal (Checklist) Semi Final Documents (1<sup>st</sup> page of checklist)

- ❖ **Projects with an Establishment Period**
  - Only the Lower Section should be completed
    - The upper section should be left blank or coded as N/A.
  - Documents that Affect Final Payment and are required prior to or with the Checklist
    - All boxes should be coded with an “S” or “X” as applicable.
  - Document that Affect Final Documentation and are required at the end of the Establishment Period
    - All boxes should be coded with an “S”, “X”, or T
  - Documents that do not Affect Final Payment
    - OFW Completion Notice, ROW Monumentation Completion Notice, & RE Narrative
    - Must be received prior to the EA Closure Date

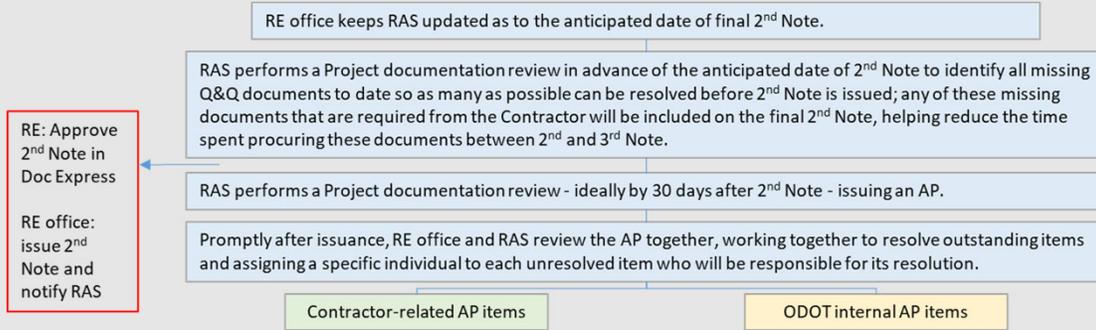
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# Contract Closeout Process

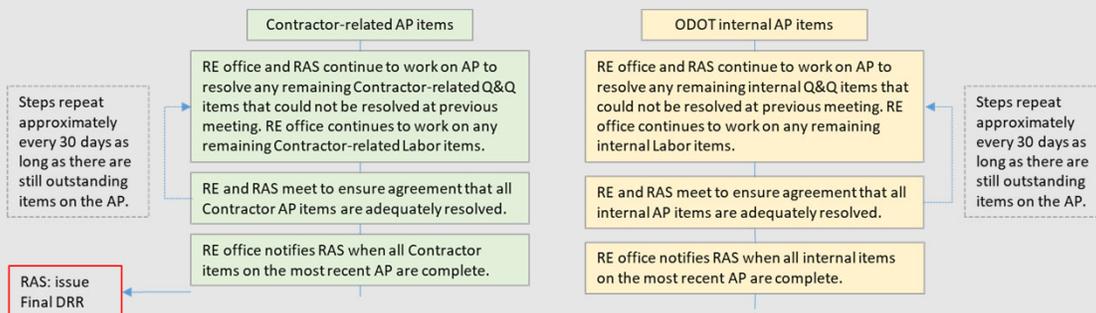
As the Project nears completion, the semi-final process outlined below and on the next four pages should be followed:



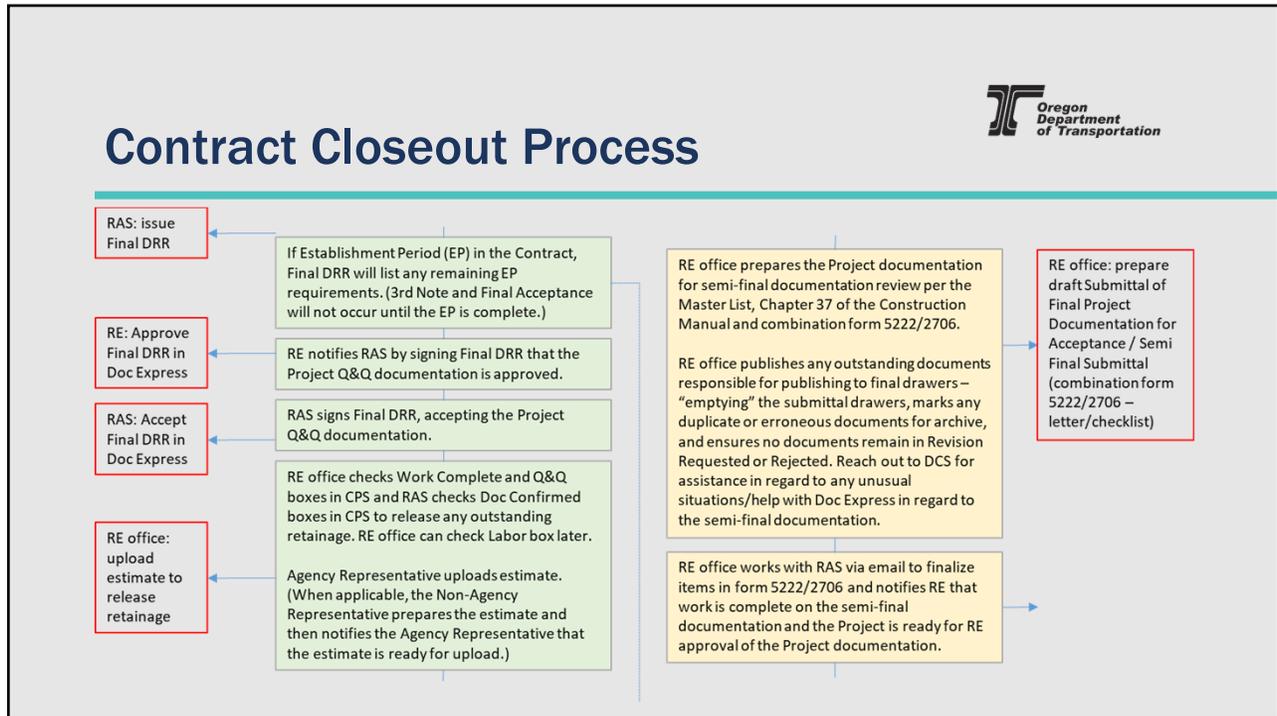
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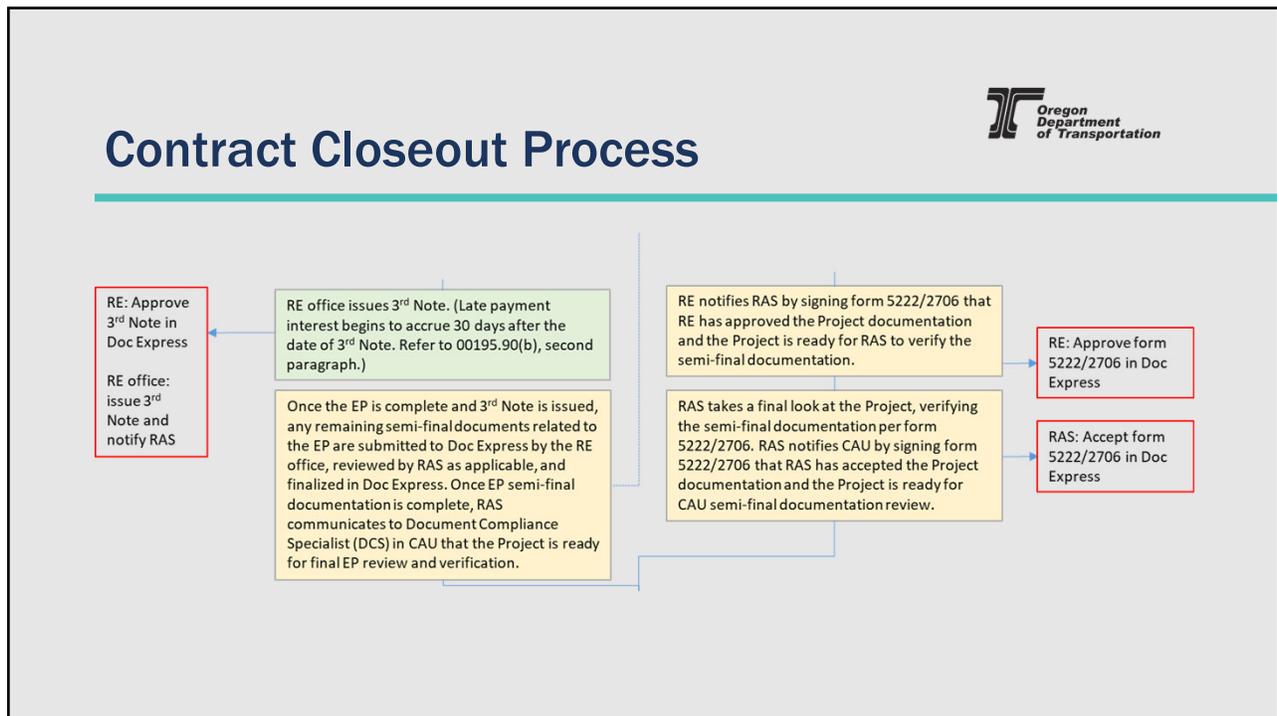
# Contract Closeout Process



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# Contract Closeout Process

