

NTTA Projects	Original Issue Date: 06/05/2008	CA-04
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<b>Title: Contract Closeout – Professional Services, Goods and Services, and Consulting Services</b>		

**1.0 PURPOSE:**

The purpose of this procedure is to define the contract closeout process for professional services, goods and services and consulting services to ensure that all specified work has been completed in accordance with the contract, that all record documents have been received, and that all financial aspects of the contract are settled.

**2.0 RESPONSIBILITIES:**

- 2.1 Director of Project Delivery – The Director of Project Delivery shall review and approve contract closeout documents.
  - 2.2 Project Delivery Contracts Manager – The Project Delivery Contracts Manager has the authority and shall be responsible for ensuring compliance with and maintaining this procedure. The Project Delivery Contracts Manager shall review and approve contract closeout documents, in terms of completeness, adequacy, and process compliance.
  - 2.3 Corridor Manager (CM)/Project Manager – The CM or Project Manager shall be responsible for reviewing consultant deliverables against contract requirements and then for certifying that consultant work is complete, and holding a closeout meeting with the consultant. The CM/Project Manager shall be responsible for completing the contract closeout checklist, the consultant evaluation form, and for generating or compiling the associated documents. The CM or Project Manager shall also be responsible for ensuring any assets procured by the consultant, reimbursed by NTTA, in accordance with contractually approved fee estimates, are surrendered to NTTA at closeout.
  - 2.4 Consultant – The consultant shall be responsible for maintaining all project records and deliverables and providing them to the CM/Project Manager to support contract closeout. The consultant shall be responsible to complete any remaining work or to address any deficiencies as directed by the CM/Project Manager. The consultant shall complete their portion of the closeout checklist and be responsible to certify to the CM/Project Manager that the contracted work has been completed. The consultant shall also be responsible for surrendering to NTTA at closeout, any assets that have been procured by the consultant, and reimbursed by NTTA, in accordance with contractually approved fee estimates.
  - 2.5 NTTA Contracts Management Staff – NTTA Contracts Management staff shall be responsible for accepting completed and certified contract closeout documents, routing through Insurance and Business Diversity, executing closeout activities on the part of NTTA and for providing a copy of accepted contract closeout documents to Program Support Staff.
  - 2.6 Project Delivery Document Control Staff – The PD Document Control staff shall upload the executed closeout checklist and attached documents to EPDS Project Records repository.
  - 2.7 Project Delivery/Program Support Staff – The Project Delivery/Program Support staff shall be responsible for reviewing closeout documents for completeness and routing closeout documents through the approval process.
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### 3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all Professional Services contracts on corridors and projects within the Project Delivery Department.

### 4.0 REFERENCES:

N/A

### 5.0 DEFINITIONS & ACRONYMS:

### 6.0 PROCEDURES:

**6.1 Preparation for Closeout Activities** – The CM/Project Manager shall initiate contract closeout procedures in an appropriate amount of advance time (suggestion three months) prior to expected final payment. Final payment must be made before the consultant can complete the MWSDBE Final Utilization Report Form 4908 which shall be included in the checklist.

#### 6.2 Completion of Work

- 6.2.1 Project Record Documents – As part of final acceptance, the consultant shall furnish to the CM/Project Manager, for review and approval, a copy of the record documents specified in the contract and all work authorizations. The consultant shall also collect and prepare to surrender to NTTA, any assets that were procured and reimbursed by NTTA for the completion of the contracted services.
- 6.2.2 Final Deliverables – Upon receipt of the final deliverables or services required by the contract and all work authorizations, the CM/Project Manager shall perform a review of the contract and all work authorizations to compare the deliverables received with the requirements of the contract. The CM/Project Manager or designee shall chair a final acceptance meeting with the consultant. During this final acceptance meeting, the parties shall discuss and resolve all open matters regarding the consultant’s performance on the contract, including the reconciliation of any outstanding non-conformances. Minutes of this final acceptance meeting shall be maintained by the CM/Project Manager and included with closeout package documentation.
- 6.2.3 The CM/Project Manager shall coordinate review of the record documents by the applicable discipline representatives to ensure their completeness and acceptability. If the record documents are incomplete or inaccurate or otherwise unacceptable, the CM/Project Manager shall notify the consultant of the deficiencies. If the record documents are acceptable, the CM/Project Manager shall notify the consultant to submit the required copies in the format and mediums specified in the contract and all work authorizations and to submit their final payment request.
- 6.2.4 Upon the successful completion of the final review of deliverables, the CM/Project Manager shall prepare a letter recommendation of final acceptance to the Director of Project Delivery.

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- 6.2.5 Once the consultant has received final payment, they shall submit their MWSDBE Final Utilization Report (form 4908) to the Business Diversity department with a copy to the Corridor/Project Manager.
  - 6.2.6 After final payment has been issued, if the final payment amount is greater than \$5,000 below the contract amount, a cost reduction supplemental agreement shall be executed to reduce the contract amount to the actual amount paid on the contract in accordance with **CA-04, Professional Services Change Management**.
  - 6.2.7 Once the cost reduction supplemental agreement has been executed, then the Corridor/Project Manager can complete contract closeout activities, as listed in section 6.3.
- 6.3 Completion of Contract Closeout** – During the contract closeout phase, the CM/Project Manager shall fill-in and update the active contract closeout checklist, *CA-04-F1*. Upon completion of the contract closeout checklist and generation or compilation of all the associated documents, the CM/Project Manager shall certify completion of work and verification of all required documents, by signing on the form. The CM/Project Manager must ensure all required items on the checklist have been provided and that the consultant has signed the closeout checklist. The CM/Project Manager shall also ensure that all assets procured by the consultant, and reimbursed by NTTA, have been surrendered to NTTA as indicated on the closeout checklist. The CM/Project Manager has the option at this time to schedule a closeout meeting with the consultant for the purpose of both parties signing the closeout checklist. The CM/Project Manager shall also complete the active consultant performance evaluation form, *CA-04-F2*. If the Consultant is a PS&E design firm the CM/Project Manager shall include the *CA-04-F2* which was completed following the design phase and the Construction Manager shall complete a separate *CA-04-F2* immediately following the completion of the construction phase. The CM/Project Manager shall submit the completed closeout documentation package (including the checklist itself and copies of all the required items on the checklist) to Project Delivery Staff.
- 6.3.1 Upon receipt of the completed closeout checklist and associated documentation, Project Delivery support staff shall prepare a letter of final acceptance to the consultant from the NTTA, and attach it to the closeout documentation package and route it to the Project Delivery Contracts Manager to begin the review and approval process.
  - 6.3.2 The Project Delivery Contracts Manager shall review the package for completeness, adequacy, and process compliance, and upon approval the Project Delivery Contracts Manager shall sign the closeout checklist and return to Project Delivery support staff who shall forward the completed closeout documentation to the Director of Project Delivery.
  - 6.3.3 The Director of Project Delivery shall review and approve the contract closeout documentation and shall issue a letter of acceptance from the NTTA to the consultant (a copy of which shall be attached to the closeout package). The Director of Project Delivery shall sign the closeout checklist, and return to Project Delivery support staff.
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- 6.3.4 The completed contract closeout checklist and associated attached documents shall be provided to NTTA Contracts Management for review and routing through Insurance and Business Diversity. NTTA Contracts Management shall return a copy of the executed closeout package to Program Support Staff who shall forward the documents to PMO Document Control for project records archival.

**7.0 REGULATORY REQUIREMENTS:**

N/A

**8.0 RELATED BOARD POLICY:**

- [NTTA Policy Regarding the Procurement of Goods and Services and Disposition of Property](#), (the “Policy”)

**9.0 COMPONENT DOCUMENTS:**

- [CA-04-F1](#) Contract Closeout Checklist
- [CA-04-F2](#) Consultant Performance Evaluation Form

**10.0 FLOWCHART:**

N/A

**11.0 REVISION HISTORY:**

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Mike Hutchison	06/05/2008		Original Issue
1	Mike Hutchison	09/09/2008		Section 3.0 – Clarified descriptions of Director of Project Delivery, DPM, Assistant Program Manager, Corridor Manager, and Consultant Section 7.4 – Clarified which role should obtain written consent of the Authority's intent to assess liquidated damages.
2	Micki Ellis	05/17/2010	<a href="#">10144</a>	Significant updates, added requirement to surrender to NTTA any assets procured and reimbursed by NTTA, added additional detail.
3	Kim Robins	04/28/2011	<a href="#">10268</a>	Section 2.0 – Delete Deputy Program Manager, 2.2 Update title to NTTA Project Delivery Contracts Manager Section 6.3 active form usage, update titles