

Construction Services Project Management Manual

P R O J E C T C L O S E O U T

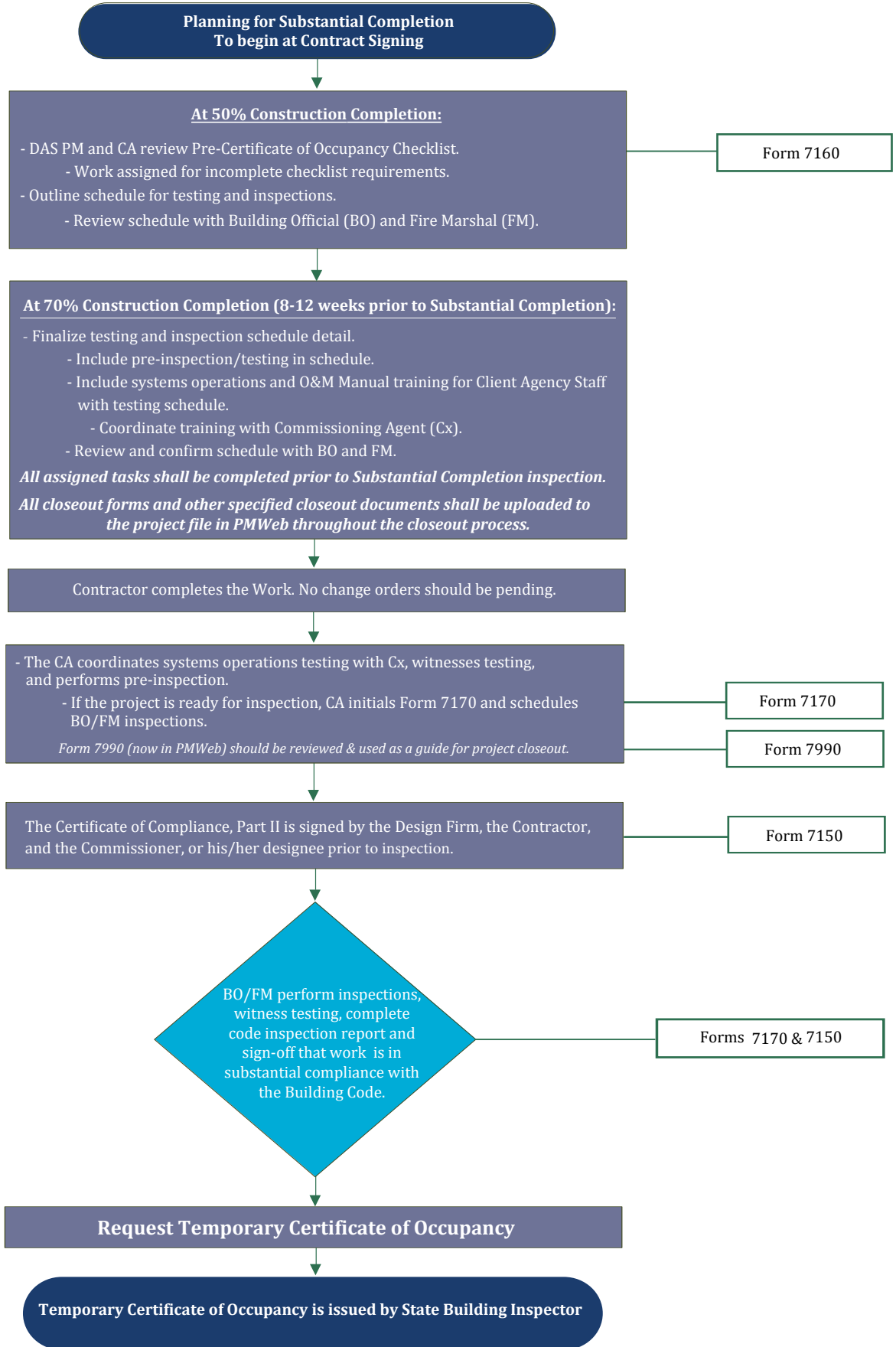
IV. Project Management Guidelines

6. Closeout

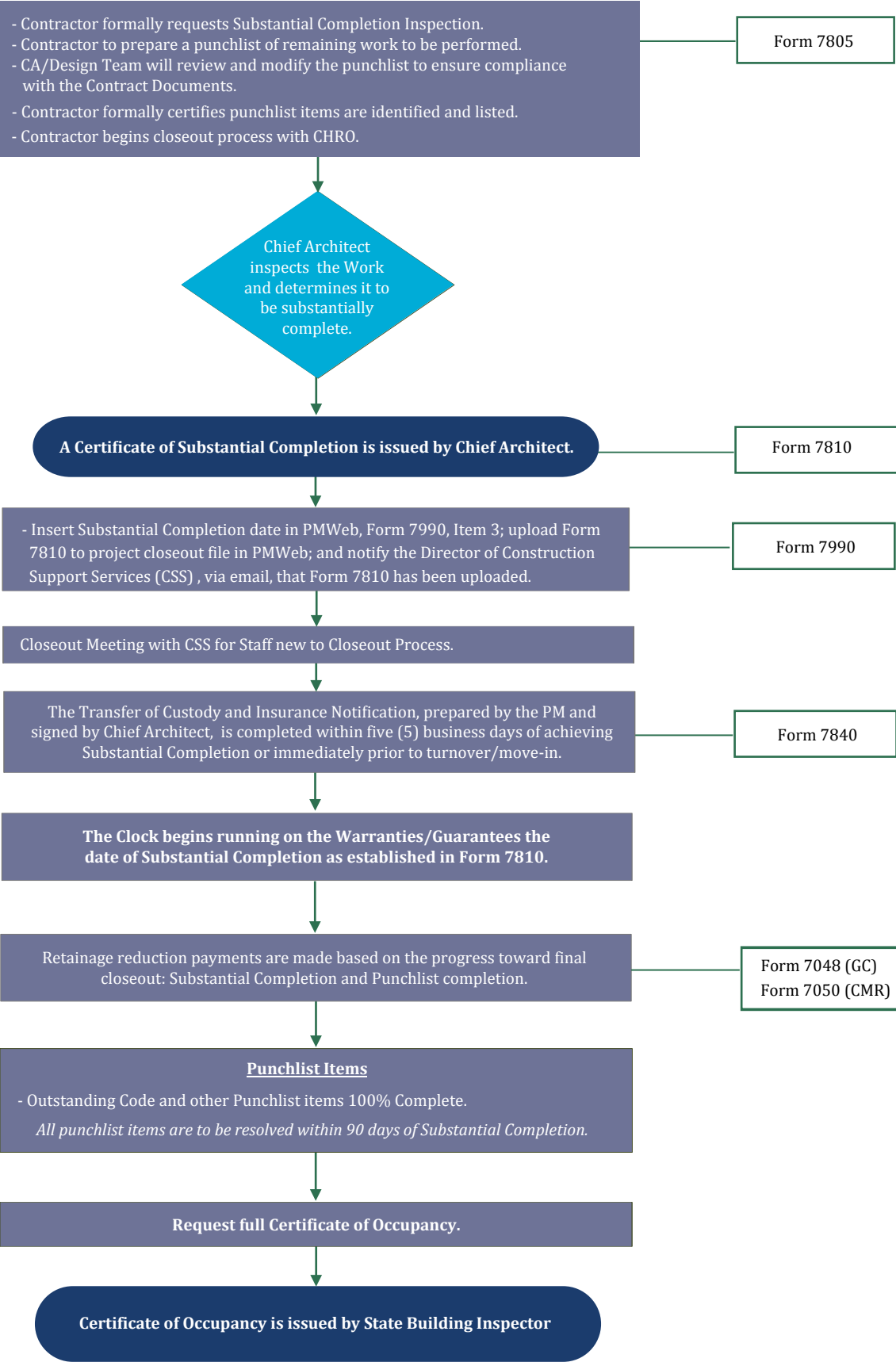
- 6.1. Planning of Substantial Completion
- 6.2. Final Invoice (A/E)
- 6.3. Certificate of Acceptance
- 6.4. Final Requisition (CM)
- 6.5. Lessons Learned



Substantial Completion Preparation Steps



Close Out





Close Out

Construction Closeout

Warranties/Guarantees/O&M Manuals
Collect, organize and distribute via formal letter:

- One (1) hard copy and one (1) electronic set of warranties*, guarantees, and O&M's are distributed to the Client Agency for its use and records.
- One (1) electronic set of warranties are maintained for the DAS project files.

* See General Requirements, Section 01 78 30 for template Specification/Warranty Table & Form of Warranty.

As-Builts

- Review the Contractor's set of marked-up drawings with the Design Firm and CA.
- Transmit the mark-up set(s) to the Design Firm.
- Design Firm prepares "Record Drawings" and submits them to the CA in accordance with the requirements of the Consultants Procedure Manual.
- CA reviews Record Drawings for completeness, uploads Record Drawings to PMWeb, and submits hard copies to the PM.
- PM reviews, accepts and sends two (2) copies of the Record Drawings to the Client Agency. One (1) electronic set of the Record Drawings is filed in the DAS archives.

Form 7995

Consultant Performance Evaluation

- The Consultant Evaluation is to be completed forty five (45) days after Substantial Completion and 2 weeks prior to processing the final invoice.
- Insert date evaluation complete in PMWeb, Form 7990, Item 12; and notify the Director of CSS, via email, that Form 7910 has been uploaded.

Form 7910 & 7990

Final A/E Invoice

- DAS receives and processes the A/E Invoice when the Record Drawings are complete.
- The Design Contract should be checked for open items prior to final payment.
- One (1) electronic copy of the final invoice is maintained by DAS and one (1) is distributed to the agency for its records.

Certificate of Acceptance

- An authorized representative of DAS verifies that the work has been accepted per the Certificate of Substantial Completion and that the Punchlist is 100% complete.
- The Certificate of Acceptance should be issued within 90 days of Substantial Completion. The signature of the Chief Architect is required on Form 7820.
- Insert date of Acceptance in PMWeb, Form 7990, Item 4; and notify the Director of CSS, via email, that Form 7820 has been uploaded.

** The Commissioner signs off on projects over \$5 Million dollars

Form 7820 & 7990

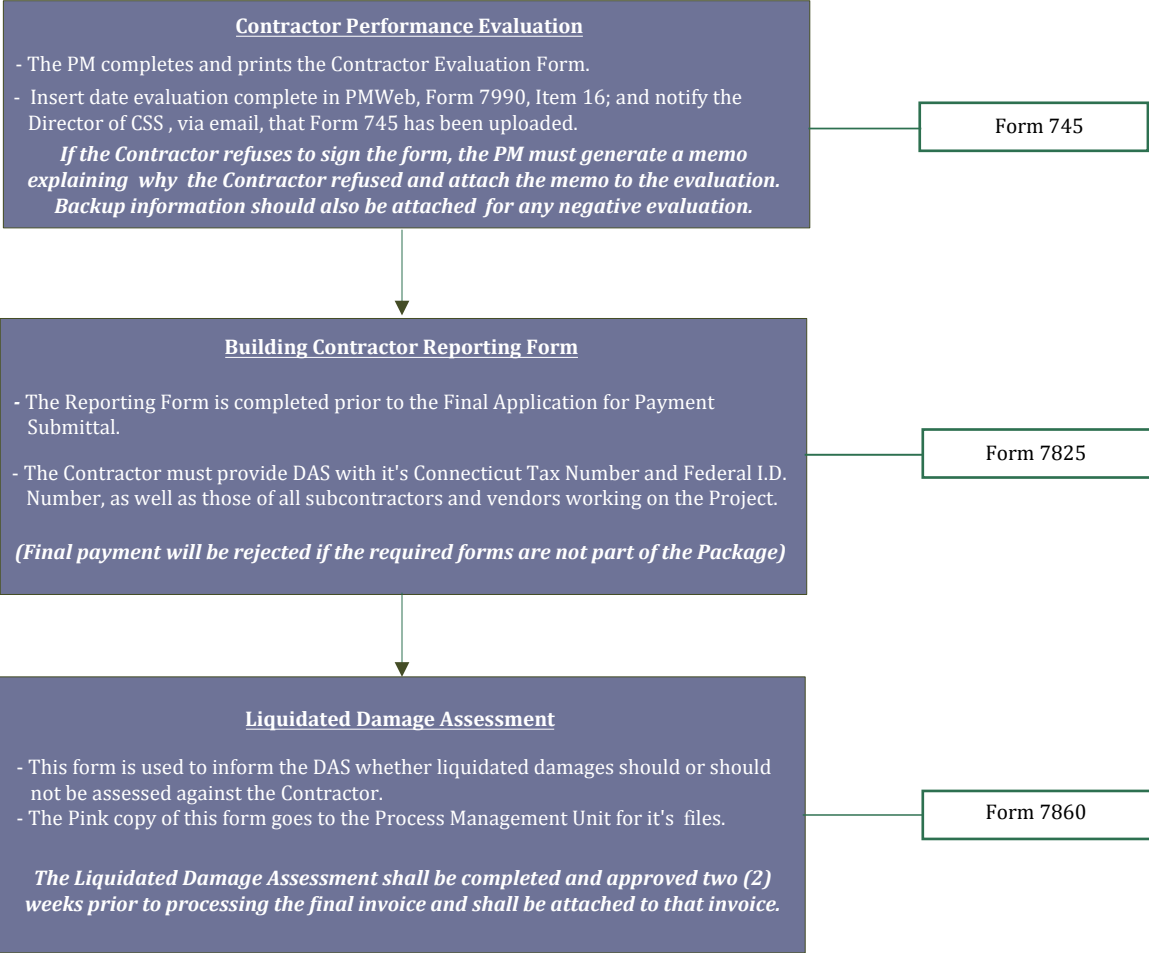
Asset Valuation Memorandum

- PM completes the upper portion of the Asset Valuation Memo, signs, and submits to Project Accounting to complete the lower portion of the Memo.
- Project Accounting returns to the PM and copies the Commissioner as notification that the project has been completed in its entirety.
- PM attaches the Certificate of Substantial Completion and Certificate of Acceptance.

Form 7950



Construction Closeout - Continued





Close Out

Final Payment

Final Requisition

- All final waivers from subs and major suppliers must be received and uploaded to PMWeb prior to acceptance of the final requisition.
- Authorized person is to sign and notarize three (3) copies of the requisition on behalf of the Contractor, and must be certified by the Architect and CA.
- Forms 7150, 7810 and 7820 must be attached to the Final Requisition.
- Originals are sent to Project Accounting, Bidding and Contracts, and the PM with copies to Project Accounting for distribution to the Comptroller, State Insurance Board Client Agency, Contractor and Process Management Unit.

Project Summary Report

- Documents the Change Order (CO) breakdown and percentage against the original contract and other project information.
- Dollar amounts are to be separated by responsible party, i.e., Architect's Document deficiency, Agency Request, Job Condition or Other.
- ADPM reviews the CO breakdown to compare with the data in PMWeb to verify that all CO Totals are calculated correctly prior to making Final Payment.
- A copy of Form 7870 is to be sent to the Process Management Unit for its files.

Form 7870

Consent of Surety To Release Final Payment

- Consent of Surety should be completed two (2) weeks prior to processing the final invoice. PM and ADPM signatures are required on Form 7935.

Form 7935

Closeout Items

PM is responsible for completing the following forms:

- Record Storage System
- Construction Closeout for Project Accounting
- Archival Data for Project Documents

Forms 7600, 7990, & 7995

Post Project Evaluations / Lessons Learned

- PM writes up evaluations and memorandum of lessons learned to review with ADPM.
- Original evaluations and memorandum of lessons learned are sent to the Chief Architect with a copy to the Process Management Unit.

PMWeb Project Completion

- After Final Payment in CORE CT, notify Associate Accounts Examiner (AAE) to review project budget and ensure all entries are posted in PMWeb.
- AAE will notify ADPM and the Director of CSS when entries have been posted so project status can be marked inactive.

Project Close Out

PURPOSE

To complete the official close out of the Project

EXPECTATIONS / DELIVERABLES

- Issue Certificate of Acceptance Archive
- Project Documents
- Bonds & Liens Released
- Final Requisitions
- Archive all Project Documents
- Final Consultant & Contractor Evaluation

PROCEDURES AND RESPONSIBILITY

- Punch list items must be completed.
- The Project Manager must ensure that all Change Orders are balanced out and reconciled to match the final requisition for the Project.
- All insurance documents, warranties/guarantees must be transferred to Construction Services.
- The Certificate of Acceptance must be approved for the portion of work accepted per Certificate of Substantial Completion.
- The Request For Release from Bonding Company must be attached to the request for final payment.
- Final Requisitions must be prepared, signed, notarized and sent to Project Accounting for distribution.
- All Project documents must be archived.

➤ **Project Authorization:**

- o The Asset Valuation Memorandum to the Commissioner needs to be signed by the Project Manager.
- o Certificate of Substantial Completion is signed by:
 - Construction Administrator, Architect, Contractor and DCS.
- o Certificate of Acceptance is certified by:
 - < \$5,000,000 - Construction Services Authorized Representative
 - > \$5,000,000 - The DAS Commissioner
- o The Consent of Surety to Release Final Payment is be signed by the Project Manager
- o Certificate of Compliance
 - The A/E signs-off on Part I after design and before construction.
 - The A/E and Contractor sign-off on Part II after construction has been completed.
 - Construction Services Agency Representative signs-off in both parts 1 & 2.

Project Close Out

REFERENCE MATERIAL

Document Name	Document No.	Revision Date
Equal or Substitute Product Request	7001	12/22/2016
Non-Conformance Notice	7004	12/22/2016
RFI Response	7315	02/24/2017
Certificate of Compliance, Part 2 Construction	7150	06/01/2017
Checklist Requirements for Certificate of Occupancy	7160	06/01/2017
OSBI Inspection Request and Report	7170	12/22/2016
Temporary Certificate of Occupancy	N/A	10/19/2016
Certificate of Occupancy	N/A	10/19/2016
Request for Substantial Completion Inspection, Contractor	7805	12/22/2016
Certificate of Substantial Completion	7810	12/22/2016
Transfer of Custody & Insurance Notification to Agency	7840	12/22/2016
Certificate of Acceptance	7820	12/22/2016
Contractor Reporting Form	7825	12/22/2016
Contractor Performance Evaluation	745	12/22/2016
Retainage Reduction Request (GC)	7048	05/22/2017
Retainage Reduction Request (CMR)	7050	05/22/2017
Subcontractors Partial Lien Waiver Release	7850	05/23/2017
Liquidated Damage Assessment Field Report	7860	12/22/2016
Project Summary Report	7870	04/12/2017
Subcontractors Final Lien Waiver Release	7900	05/23/2017
Consultant Performance Evaluation Form	7910	03/13/2017
Bond Company Release Request Letter	7935	12/22/2016
Building and Land Inventory Change Request	7940	06/10/2014
Asset Valuation Memorandum	7950	12/22/2016
Construction Closeout for Project Accounting	7990	08/15/2017
Archival Data for Project Documents	7995	12/22/2016