Construction Contract Closeout

Background:

Updating the most current closeout status(es) on a Contract in AWP should occur in tandem with communication with the Concurrent Review section. These statuses are valuable information that will be used to determine Contract statuses at a regional and statewide level. This process should begin when all physical work on the contract is complete.

Roles:

Construction Office Engineer, Construction Project Engineer, Construction QA, Material Rovers

Navigation:

Construction > Contract Administration > Contract

1. Adjust the **Closeout Status** toggle to reflect the status of the closeout (repeat this step whenever the status changes).
   a. **Payroll Only Project Close** – This status should only be used if the contract was not administered in AWP. If this is the case, please refer to the *Payroll Only Contract Closeout QRG.*
   b. **Project Staff Closeout** – This status should be used prior to submitting a Contract to Concurrent review for final review.
   c. **Concurrent Review** – This status should be used after submitting your contract to Concurrent Review for final review.
   d. **Returned to Project Staff** – This status should be used if Concurrent Review has reviewed the contract and returned it to the Project Staff for corrections, or to move forward with the closeout process. A contract can return to this status multiple times if necessary.
   e. **Returned to Concurrent Review** – This status should be used if Project Staff has made corrections to their Contract Administration based on Concurrent Review's initial feedback and resubmitted the contract for review. A contract can return to this status multiple times if necessary.
   f. **Final Estimate Issued** – This status should be used when the final estimate has been sent to the contractor.
2. Adjust the **Material Closeout Status** toggle to reflect the status of the closeout (repeat this step whenever the status changes).
   a. **Project Staff Closeout** – This status should be used prior to submitting a Contract to Concurrent review for final review.
   b. **Material Review** - This status should be used after submitting the contract to the Material Rover for final review.
   c. **Returned to Project Staff** - This status should be used if the Material Rovers reviewed the materials and returned them to the Project Staff for corrections, or to move forward with the closeout process. A contract can return to this status multiple times if necessary.
   d. **Returned to Material Review** - This status should be used if Project Staff has made corrections based on the Material Rover's initial feedback and resubmitted the contract for review. A contract can return to this status multiple times if necessary.
   e. **Materials Certification Issued** – This status should be used when the Materials Certification has been issued.

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3. Adjust the **Project Material Certification** toggle to reflect the status of the closeout (repeat this step whenever the status changes).
   a. **No Exceptions** – This status should be used if the Contract has no Minor Exceptions or Memos of Exception.
   b. **Minor Exceptions** – This status should be used if the Contract has exceptions, but none of them require a Memo of Exception
   c. **Exceptions with Memo** – This status should be used if the Contract requires a Memo of Exception. If this status is selected to populate the Memo of Exception, click the **Items** quick link at the top of the page and click the **Contract Project Items** tab. Expand the Project Line Items with Material Exceptions and fill out the exception in the **Material Memo of Exception** and **Material Basis of Acceptance** text boxes.
4. Expire **Contract Authority** for any DOT Users not working on the closeout process (optional).
5. Enter dates in the **Actl Compl** field for the following informational times (some of these dates may not have occurred yet, enter them as they do):
   - **ACCEPT – FINAL – Final Acceptance**: The Final Acceptance Letter.
   - **ACCEPT – MAT – Material Acceptance**: The date the Material Certification is signed.
   - **CLEAR-DBE – DBE Clearance**: The date the Civil Rights Office clears the DBEs.
   - **CLEAR-DOL – DOL Clearance (Tax)**: The date DOL signs the Tax Clearance.
   - **CLEAR-DOR – DOR Clearance Date**: The date DOR signs the Tax Clearance.
   - **CLEAR-OJT – OJT Clearance**: The date the RCCL signs off on the OJT hours.
   - **CLEAR-ROW – Right of Way Clearance**: The date of ROW Clearance (not required on every Contract).
   - **CRLMS-DT – Contract Close for CRLMS**: This date stops additional payroll from being submitted and should be entered after DOL signs off on the Contract.
   - **DOL-NOC – DOL Notice of Completion**: The date of the Notice of Completion, this date is entered by DOL (Starting with construction season 2023 – if NOC is issued prior to 2023 enter NOC date).
   - **DOL – NOW – DOL Notice of Work**: The date of the Notice of Work.
   - **INSP-DT – Final Inspection Date**: The date of the Final Inspection.
   - **NTP-DT – Notice to Proceed Date**: The date of the NTP – this informational time can be added to the contract multiple times if there are multiple NTPs or those additional dates can be entered in the comments.
   - **PRE-CON – Preconstruction Conference**: The date of the Preconstruction Conference.
   - **REVIEW – Review Date**: The date of compliance review.
   - **SWPP-NOI – SWPPP Notice of Intent**: The date of the NOI.
   - **SWPP-NOT – SWPPP Notice of Termination**: The date of the NOT.
   - **WKBGN-DT – Physical Work Began Date**: The date the Physical work began.
   - **WKCMP-DT – Physical Work Complete Date**: The date the physical work was completed.

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6. From the Contract Administration Summary in the **Contract Times** tab, navigate to the **Site Times** (below the Informational Times) and enter the **Actual Completion Date** (the date contract time stopped). Click **Save**.

7. Within the Contract Progress Summary on the **Payment Estimates** tab, generate a Payment Estimate with the type: *Final*.
    a. Use the **Global Actions Menu** to generate the *Final Estimate Reconciliation Report*. This report will highlight any differences between the amounts paid and the contract and contract project item unit prices multiplied by the quantity reported. If discrepancies are found, an item adjustment should be made to modify the amount prior to issuing the Final Pay Estimate to the Contractor. After an adjustment is entered, any closeout package reports generated before creating an item adjustment will need to be regenerated to display the correct amounts.
    b. If Concurrent Review finds necessary corrections, the payment estimate report may need to be regenerated to incorporate corrections made in DWRs. Any time the Payment Estimate is regenerated, necessary item adjustments will need to be re-added. Generate the Final Payment Estimate.

8. Use either the Contract **Components Actions Menu** or the **Global Actions Menu** to generate the *Closeout Package Report*.

9. Use the Global Actions Menu to generate the additional reports listed in the Closeout Package Parameters:
    - *Payment Estimate Contractor Report*
    - *Closeout Funding Summary*
    - *Payment Estimate Summary*

10. Review the Closeout Reports.
    a. Refer to the *Closeout Package - Fields Defined* document on the User Guides tab of https://dot.alaska.gov/aashtoware/ if there is data that needs to be updated or changed, to determine where in the system to do so.

11. When the Final Closeout Package is fully assembled and executed, including all necessary signatures, navigate to the Contract Documentation Summary of the contract, and select **New.**
    a. Enter a **Description, Date, Comments** (optional), and select the **Type FIN – Final Closeout Package** and press **Save**.
    b. Click the **Row Actions Menu** for the new Document Submission.
    c. In the Views section, click **Attachments**.
    d. Click the **Select File** button to open a search window. Find and select the Final Closeout Package document to attach.
    e. Enter a **Description** of the document and press **Save**.

12. When the Final Estimate has been issued and approved in AWP, navigate to the Contract Administration Summary for the contract, select the **Component Actions Menu,** and click **Close**.
    a. In the modal window enter: Final Estimate Approved (along with the date) and press **Save**.
    b. If, for any reason, the Contract needs to be re-opened simply select the **Component Actions Menu**, click **Reopen,** and enter the reason for opening the contract in the comments.

Next Steps:
N/A