





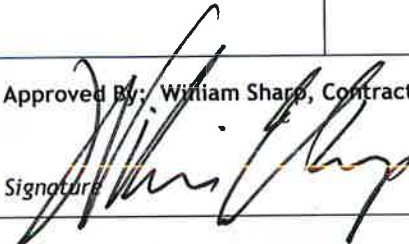
District Department of Transportation

# Standard Operating Procedure

FHWA Federal-Aid Project Closeout





<b>District Department of Transportation</b>		<b>Standard Operating Procedure</b>	
<b>Title: FHWA Federal-Aid Project Closeout</b>		Revision Number: <b>01</b>	Implementation Date: <b>6/20/19</b>
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# Standard Operating Procedure

## *FHWA Federal-Aid Capital Project Closeout*

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## 1.0 Summary

The District Department of Transportation (DDOT) has developed a Standard Operating Procedure (SOP) to ensure the uniform, efficient, effective, and transparent execution of Federal Highway Administration (FHWA) Federal-Aid Project Closeout. The purpose of this SOP is to ensure DDOT meets FHWA's performance metrics to close out a Federal-aid construction project that has reached substantial completion within 90 days (or within 90 days of receiving a final invoice for a non-construction project). This SOP provides DDOT program staff procedures to close out Federal-aid projects in a timely manner, thus allowing more efficient utilization of project fund balances and remaining budget authority.

### 1.1. Purpose

The purpose of this SOP is to direct the process for the closure of Federal-aid projects. The procedures outlined in this SOP facilitate the following:

1. Establish uniform and standardized procedures for closing out Federal-aid projects agency-wide;
2. Ensure DDOT adheres to FHWA performance metrics regarding closing out Federal-aid projects; and
3. Provide staff with procedures that will enable them to perform their respective closeout functions efficiently and effectively.

### 1.2. Applicability

This SOP applies to all DDOT staff, Office of the Chief Financial Officer (OCFO), Office of Contracting and Procurement (OCP), and contractors engaged in the FHWA Federal-aid project closeout process.

### 1.3. Background

FHWA's DC Division Office is required to exercise financial management and oversight of DDOT's Federal-aid portfolio. One of the ways this is done is through the execution of a risk-based financial management and oversight program, titled *Financial Integrity Review and Evaluation (FIRE)*. The objectives of the FIRE Program are to:

- 1) Consistently apply sound financial management and accountability within FHWA's programs;
- 2) Provide a basis for the approval and certification of claims for Federal reimbursement;
- 3) Continuously promote improvements and provide for the effective risk-based management of Federal funds;

- 4) Provide for a systematic and verifiable means of testing internal controls, and administrative, grantee, and sub-grantee compliance with pertinent laws, regulations, and contract provisions; and
- 5) Provide management with a basis for the necessary assurances required by the Federal Manager's Financial Integrity Act (FMFIA) and government-wide financial reporting requirements.

The FIRE measure relevant to this SOP is the **Prompt Closeout** measure. This measure tracks the percentage of projects with an unexpended balance of 10% or less and with no expenditures within the last 15 months. This measure assists in identifying States with a high percentage of projects that are substantially complete, but have not yet been closed. This measure is designed to provide the agency a method to identify financial and project management risks that should be addressed.

*(Please note that this SOP directs closeout procedures for the project **only**, from the programmatic and financial perspective, to comply with the Prompt Closeout FIRE measure referenced above. This SOP does not detail or provide guidance regarding closeout of the project's contract. For direction about contract closeout, please consult OCP.)*

## 1.4. Summary of Method

This SOP is based on the following inputs:

1. 9-month Lean Six Sigma Engagement
2. Suppliers, Inputs, Process, Outputs and Customers (SIPOC) Diagram
3. Construction/Non-Construction Process Maps
4. Root Cause Analysis
5. Data Collection Analysis
6. Interviews with DDOT staff, Steering Committee, and Project Sponsor
7. FHWA 3-day Process Mapping Workshop and Materials

## 1.5. Definitions: Roles, Responsibilities, and Terms

**Change Orders** - Work that is added to or deleted from the original scope of work of a contract; however, depending on the magnitude of the change, it may or may not alter the original contract amount and/or completion date.

**Construction** - The process of constructing, rehabilitating or maintaining an infrastructure asset.

**Contract Administrator** - DDOT employee formally assigned to manage and oversee a contract. This employee is typically the Project Manager (see below).



**Contractor** - A person or entity that enters into a contract with the District. The person may take the form of a corporation, partnership, individual, sole proprietorship, joint stock company, joint venture, or any other legal entity through which business is conducted; may also be referred to as “Vendor” or “Consultant”. There may generally be two types of contractors: Prime Contractor (holder of Prime Contract with the District) and Sub Contractor (subsequently engaged by Prime Contractor to support execution of the contract the Prime Contractor entered into with the District).

**DC Water** - *[External to DDOT and DC Government- Independent Utility/Agency]* DC Water distributes drinking water and collects and treats wastewater for the District of Columbia. Due to the overlapping nature and scope of roadway projects with water-related infrastructure, DDOT regularly works in conjunction with DC Water to complete projects in the District.

**Federal Highway Administration (FHWA)** - *[External to DDOT- Independent Agency within Federal Government- part of the US Department of Transportation]* The Federal Highway Administration provides stewardship over the construction, maintenance, and preservation of the nation’s highways, bridges, and tunnels. FHWA also conducts research and provides technical assistance to state and local agencies in an effort to improve safety, mobility, and livability, and to encourage innovation.

**Form PR-20** - *[External FHWA form]* Form PR-20 is a form used by FHWA to verify if all FHWA closeout requirements have been met for a project to be closed in FMIS. It is completed by the OCFO Closeout Auditor and must be submitted to FHWA for each project at the time of requesting closeout.

**Invoice** - Commercial document issued by a contractor relating to a transaction and indicating the products and services, quantities, and agreed prices.

**Non-Construction** - General repair work, service or maintenance, as well as designs, studies, research, training, civil rights, information technology, etc., not involving construction.

**Office of Chief Financial Officer (OCFO)** - *[External to DDOT- Independent Agency within DC Government]* Responsible for maintaining the fiscal and financial stability, accountability, and integrity of the District of Columbia.

**Office of Contracting and Procurement (OCP)** - *[External to DDOT- Independent Agency within DC Government]* Responsible for ensuring the agreement with contractors and District agencies result in purchasing quality goods and services in a timely manner and at a reasonable cost, while assuring that all purchasing actions are conducted fairly and impartially and meet all legal requirements.

**Projects of Division Interest (PoDI)** - PoDIs are DDOT’s Federal-aid projects (FAPs) that have full oversight from FHWA (as opposed to FAP projects that are under DDOT

oversight- referred to as “State Assumed”). PoDIs are projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement to enhance meeting program or project objectives.

**Project Manager (DDOT)** - Manages all phases of a Federal-aid project, from formulation to execution, completion, and close out.

**Purchase Order (PO)** - A vehicle for the District to purchase certain supplies, services, or other items from commercial sources, upon specified terms and conditions. Funds tied to Purchase Orders are also referred to as “encumbered”.

**Requisition (RQ)** - A request in PASS to encumber funds (i.e. - to put funds on a PO). Funds tied to RQs are also referred to as “pre-encumbered”.

**Resource Allocation Division (RAD)** - *[Internal Division within DDOT]* Responsible for managing Federal-aid and local transportation funds to ensure the funds align with District and agency transportation priorities. Prepares, monitors, analyzes, and executes the agency’s annual budget and Federal-Aid highway program, including operating, capital, and intra-District funds, in a manner that facilitates fiscal integrity and maximizes resources.

**State Assumed Project** - FHWA authorizes DDOT to assume oversight responsibilities and approval of specific projects. DDOT can take the lead on inspecting projects (as needed) and approving paperwork to closeout such projects, whereas FHWA involvement in inspections and sign-off of closeout paperwork is necessary for projects whose oversight is retained by FHWA.

**Substantial Completion** - When all project work (or work for a specified phase of the project) requiring lane or shoulder closures or obstructions is completed, and traffic is following in the lane arrangement as shown on the plans for the finished roadway (or the specified phase of work). All pavement construction, resurfacing, traffic control devices, and pavement markings shall be in their final position (or as called for in the plans for the specified phase of work) at this time.

**Vendor** - A person or company that has been approved by OCP to provide goods or services for the District. This term is sometimes used interchangeably with Contractor, particularly when referring to construction projects.

## 1.6. Definitions: Systems

**Fiscal Management Information System (FMIS)** - FHWA financial system of record. All financial information regarding DDOT’s federally-funded capital projects is housed in FMIS. (Note: Access to FMIS is limited and subject to permissions. For questions regarding FMIS informational updates or access, contact DDOT RAD.)

**Packet Tracker** - Packet Tracker is a DDOT application that was developed to track financial documents moving through the approval process. The types of documents that are tracked include Obligations, Change Orders, Proposed Change Orders, Article 3 Directives, Capital Project Close-Out, Reprogrammings, and Memorandums of Understanding. Through the use of this application, the approval flow of each document is tracked including the person responsible for the next approval and timelines. Each record contains approver comments and decisions. The application automatically sends email notifications at each approval step. Packet Tracker also provides an application document library and document upload/attachment for each record. Packet Tracker is available through ProTrack+.

**Procurement Automated Support System (PASS)** - PASS is the District-wide contracting and procurement system used to track the procurement of goods and services, and to issue and approve purchase orders. PASS is managed by the OCP and is the system of record for the District for all information relating to contract matters, including approvals of POs and RQs.

**PROMPT** - PROMPT is an internally developed, web-based financial management and project tracking application that is available through DDOT's intranet. It tracks project status information and provides managers with current financial information of each DDOT capital project by "pulling" data from SOAR, PASS, PeopleSoft, and FMIS. (Note: PROMPT does not "push" updates to any system.) PROMPT is available through ProTrack+.

**ProTrack+** - ProTrack+ is an internally developed, enterprise application that assists with the management of agency projects through the entire project life cycle, including but not limited to: funding obligation, contracting and procurement, construction management, and project closeout. This system will also serve as a central repository for all project-related information, as well as a web-based, geographic information system-centric application that captures the geographic extent of all roadway projects. ProTrack+ houses both Packet Tracker and Prompt as individual modules within the system.

**System of Accounting and Reporting (SOAR)** - SOAR is the District-wide financial management system. SOAR is managed by the OCFO and is the system of record for all agency financial information, including up-to-date expenditures, POs, and RQs.

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## 2.0 Preparing a Project for Closeout

### 2.1. Final Invoices and Invoice Processing

It is the responsibility of the Project Manager to get the final invoice(s) for each Purchase Order(s) on a Federal-aid project.

For construction projects, once a final invoice for each PO has been received, the 90-day “clock” begins for the project to be closed out.

For design projects, the receipt of a final invoice may not start the 90-day clock for project closeout. In many cases, the design project can be closed as soon as construction begins, and the 90-day ‘closeout clock’ would begin at this point. This allows staff to charge the design project, as appropriate, prior to the start of construction. (Note: When the designer is the Engineer of Record, the EOR may be required to review ATCs or other submittals during the term of the construction.)

All invoices must be paid according to the e-Invoicing standards that are in place for the District. Please make note of vendors that are exempted from e-Invoicing, such as DC Water. OCFO Accounts Payable must provide direction for how an invoice is paid, in the case of exempted vendors.

### 2.2. Moving to Closeout

The receipt of the final invoice starts the 90-day clock for closeout. However, there are several early indicators that a Project Manager should request final invoices and/or begin the closeout process. These indicators may vary for each project, according to the specific context and background of the project. The Resource Allocation Division (RAD) will have the discretion to determine if a project should be in closeout status. These indicators are:

- Unexpended balance left on project is at 10% or less, and
- Project has no charge activity within the past 9-12 months.
- Potentially: “Days since Last Invoice” is greater than 90 days
- Potentially: “Days since Last Update” is greater than 90 days

RAD monitors these indicators through PROMPT. Once a project has been deemed ready for closeout, RAD denotes this in PROMPT as shown in Figure A1 and the project will then appear on the closeout table in PROMPT.

At this point, the Project Manager is required to report updates every month at the “Monthly Closeout Meeting” until the project is closed.



Figure A1: Prompt Project Status Screenshot

**PROMPT 2.1** Hello DDOT\jhea

Dashboard Projects Operating Vendor Contracts Policy

**General Information** last updated: 1/14/2016

**Project Title:** Pavement Skid Testing

**Dc Number:** CB045A **Project Contact:** Anderson, Leon Change Contact ... History...

**OCFO Contact:** Telesford, Tyler

**Admin:** OPS Safety **Team:** CW

**Description:**  
 The District Department of Transportation (DDOT) annually implements a skid testing sub-program under the Highway Safety Improvement Program (HSIP). Under this sub-program, consultants conduct pavement skid resistance testing at thirty (30) wet - pavement, high crash locations as identified by the DDOT staff through recent crash data.

Show More Data ...

**Project Status** last updated: 2/29/2016 [Status History...](#)

<b>Design Status:</b> Close-Out	<b>Percent Complete:</b> 0 %		
<b>FAP Number</b>	<b>Status</b>	<b>Oversight</b>	
8888291	Close-Out	FHWA <a href="#">Details...</a>	
	<b>Original Planned</b>	<b>Current Projection</b>	<b>Actual</b>
<b>Design Start:</b>		3/15/2016	
<b>Design Complete:</b>		3/15/2017	
<b>Close-Out:</b>			
<b>Design Status Text:</b>			
<small>All signatures have been provided and NTD should be awarded within the next week.</small>			

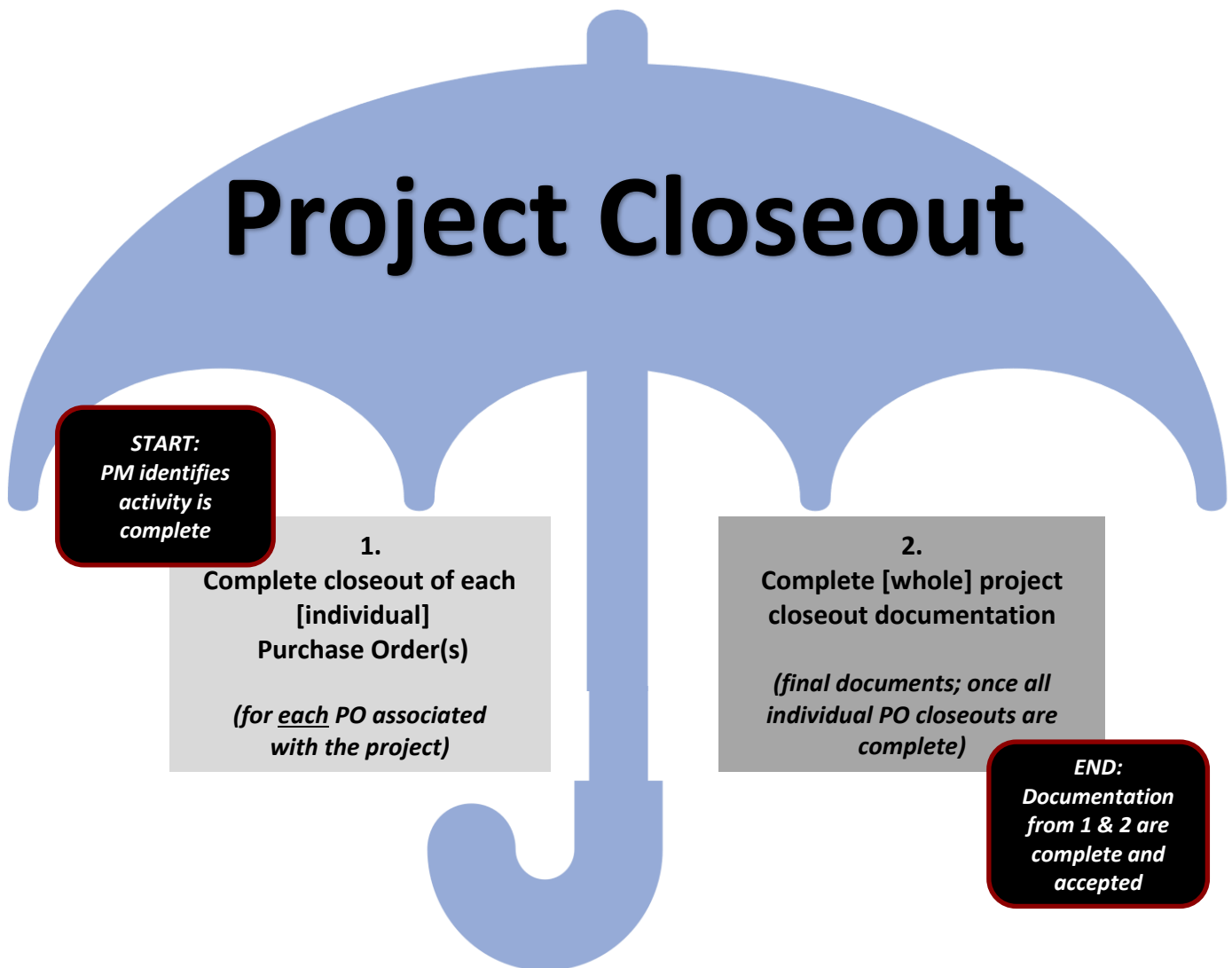
Standard Operating Procedure

### 3.0 Project Closeout Process Flow

Once the Project Manager assesses that all work or activity for the project is complete, the next step is to complete the administrative actions necessary to formally “close out” the project.

It is critical to understand that the total Project Closeout consists of two actions: Purchase Order (PO) closeout for each individual PO associated with the project, followed by completion of the ‘whole-project’ closeout documentation.

**Figure A2: Project Closeout Elements (and PO Closeout as a subset)**



To close a project, the following actions must occur:

1. Project Manager must ensure that all final invoices for the project have been received by contractors/vendors. There must be a final invoice for each purchase order (PO) associated with the project.
2. Project Manager must then close out each individual PO associated with the project--if not already done--following the steps identified in the Purchase Order Closeout Standard Operating Procedure (“PO Closeout SOP”).
  - a. Please note that POs can be closed out anytime during project management, if the Project Manager identifies that all activity under that PO has been completed, and that all invoices have been received and paid and that no additional invoices are expected to be received. At the time of “total” project closeout, if POs have not yet been closed, they must now be closed as part of the project closeout process.
3. Project Manager must request and receive approval for Final Inspection and/or Final Acceptance documents as part of the project closeout as shown in Figure B2.

If the project is a Construction project, an approved (signed) Final Inspection, Materials Certification, and Final Acceptance document are required. If the project is a Non-Construction project, only a Final Acceptance form is required (as Inspection is not applicable).

The party that must provide Final Inspection, Final Acceptance, and/or Materials Certification documents depends on whether it is a State Assumed project or a Project of Division Interest (PoDI). If the project is State Assumed, these documents must be signed by DDOT, from the applicable Chief or Designee. If the project is a PoDI project, the Final Acceptance document must be signed by FHWA (who will have already performed the Final Inspection and Materials Certification to issue the Final Acceptance. FHWA should provide all three (3) documents.)

The determination of whether a project is State Assumed, or a Project of Division Interest is made by FHWA. This information can be found for each project in Prompt, in the “Project Status” section as shown in Figure B1. If the project is a Federal-aid project, it will have a FAP Number listed. The “Oversight” will reflect the project type: If State Assumed, the Oversight will be listed as “DDOT”, and if a PoDI, the Oversight will be listed as “FHWA”.

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**Figure B1: Prompt Project Status**

**PROMPT 2.1** Hello **DDOT**jh

Dashboard | Projects | Operating | Vendor | Contracts | Policy

**General Information** last updated: 2/20/2018

**Project Title:** Tree Asset Management

**Dc Number:** MNT03A **Project Contact:** Eutsler, Earl Change Contact ... History...

**OCFO Contact:** Telesford, Tyler

**Admin:** UFD Operations **Team:** CW

**Description:**  
 Asset Management for right of way vegetation and trees, to reduce safety issues related to dead, dying and diseased trees as well as treatment of plant health issues and vegetation management programs along the STP and NHS system. Contract awarded 12/17/2015. Initial task order being compiled currently (12/28/2015) As of 3/28/2016, over 2500 new trees have been installed. By the end of spring, UFA will have installed close to 6,000 new trees using this vehicle. Task Order # 2 issued August 2016 obligating the remaining funds.

[Show More Data ...](#)

**Project Status** last updated: 8/24/2018 [Status History...](#)

<b>Construction Status:</b> Active	<b>Percent Complete:</b> 65 %
<b>FAP Number</b> 8888412	<b>Status</b> Active
<b>Oversight</b> DDOT	<a href="#">Details...</a>
<b>Original Planned</b>	<b>Current Projection</b>
<b>Actual</b>	
<b>Construction Start:</b> 5/15/2014	<b>Actual</b> 2/10/2016

**Figure B2: Final Inspection/Acceptance and Materials Certification Matrix**

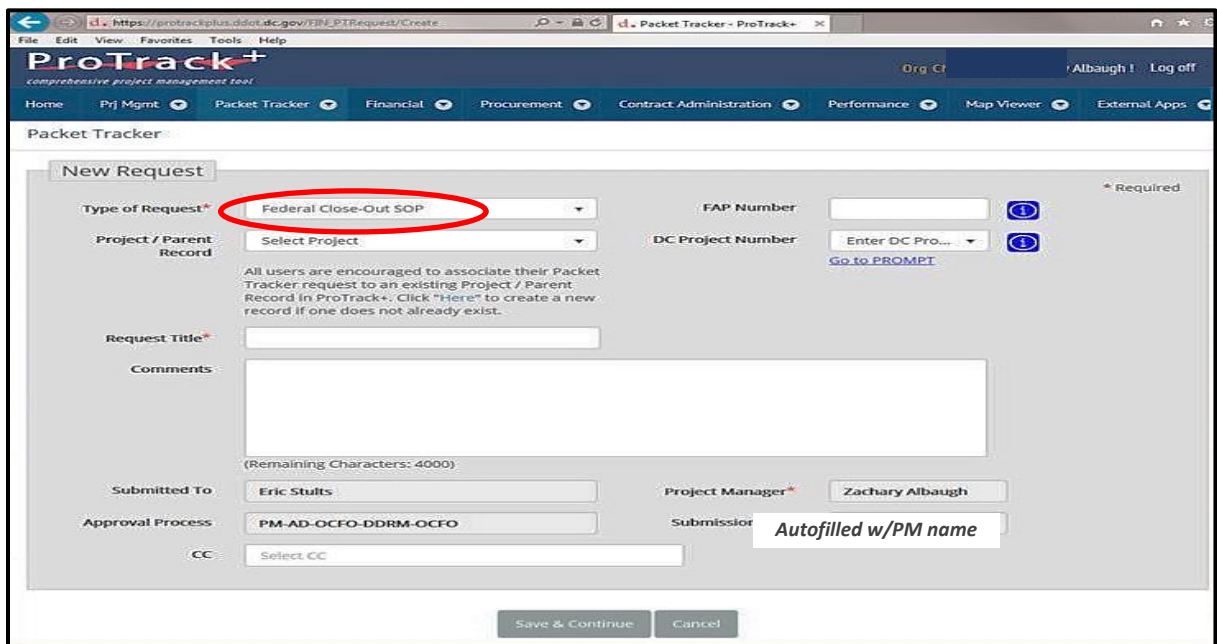
	State Assumed (DDOT)	Project of Division Interest ("PoDI") (FHWA)
Construction	DOCUMENTS NEEDED: Final Acceptance, Final Inspection, and Materials Certification	DOCUMENTS NEEDED: Final Acceptance, Final Inspection, and Materials Certification (*Issued by FHWA)
	SUBMITTED TO: DDOT Chief Engineer or Designee	RECEIVED FROM: FHWA
Non-Construction	DOCUMENTS NEEDED: Final Acceptance (only)	DOCUMENTS NEEDED: Final Acceptance (only)
	SUBMITTED TO: DDOT Chief or Designee	RECEIVED FROM: FHWA

4. Once the applicable Final Inspection and/or Final Acceptance documents are completed and received back by the Project Manager, the Project Manager must complete two parallel actions:
  - a. Email your OCFO [project-specific] Analyst, to document confirmation that:
    - i. No additional activity is expected under the applicable POs, and
    - ii. Request that all charge codes for the project be turned off in PeopleSoft.

At this time, the OCFO will turn off the charge code in PeopleSoft, document this deactivation in Packet Tracker, and proceed to reduce any surplus balance on PO(s) in SOAR, as applicable, and return the balances back to the specific project.

- b. In Packet Tracker, the PM selects “Federal Close-Out” as Type of Request, completes the associated fields, and uploads the full closeout documentation package as shown in Figure B3. This is done as follows:
  - i. In Packet Tracker, select “New Request” (you will be taken to the New Request screen)
  - ii. Under “Type of Request”, select “Federal Close-Out” from the drop down, and fill in all other applicable fields
  - iii. Select the “Save & Continue” button (you will be taken to the next screen)
  - iii. Upload (and title appropriately) all applicable closeout documents (which must include the applicable Closeout Checklist as a cover page- as described in Section 4 and in Appendices 5.4 and 5.5.)

**Figure B3: Packet Tracker Approval Flow Screenshot**



**Standard Operating Procedure**

This project closeout package will then receive review and move through an approval flow in Packet Tracker as follows:



If any of the approvers within this workflow do not approve the closeout package, they will select “Revise and Resubmit” in Packet Tracker, to return the closeout package back to the Project Manager to complete any missing or incomplete information and resubmit via Packet Tracker.

5. Once the OCFO Closeout Auditor reviews the Project Closeout checklist documents uploaded by the Project Manager into Packet Tracker, they will review the package for accuracy and completeness.
  - a. If the OCFO Closeout Auditor has questions about any of the documentation or finds it to be incomplete, the OCFO Closeout Auditor will follow up with the Project Manager directly to resolve any issues. This information clarifying or gathering cycle (directly between the Project Manager and the OCFO Closeout Auditor) must continue until the closeout package is found to be complete and accepted by the OCFO Closeout Auditor.
  - b. If the OCFO Closeout Auditor does not have questions about the documentation and (or once) they find it to be complete, they will perform an audit to ensure all costs billed to FHWA are reasonable. Once all costs that were billed to FHWA are deemed reasonable, the OCFO will submit all documentation (along with FHWA Form PR-20) to FHWA. (A sample of Form PR-20 can be found in Appendix 5.1.)
6. FHWA will review the PR-20 Form and closeout documentation package.
  - a. If approved: FHWA will formally approve closeout action, via providing three (3) signatures in FMIS. At this time, RAD will provide approval in the Packer Tracker approval flow and send a closeout confirmation email to all users in this project’s closeout process.
    - i. NOTE: The date of this completed closeout action in FMIS serves as the official project closeout date.
  - b. If not approved: FHWA will reject the closeout action in FMIS and the OCFO Closeout Auditor will be notified of this rejection. This will trigger the OCFO Closeout Auditor to circle back to the Project Manager to resolve the applicable issues, and the process reverts to the process as described in Step 5a; where the Project Manager must work with the OCFO Closeout Auditor to clarify or gather information until the closeout package is found complete and accepted by the OCFO Closeout Auditor. Once complete, the OCFO Closeout Auditor will then submit the new updated package and new PR-20 form to

FHWA. This cycle continues until FHWA formally approves and provides the three (3) signatures in FMIS.

7. OCFO will provide the final Packet Tracker approval and move any remaining Budget Authority in SOAR, as appropriate.
  - a. If yes: OCFO will move (return) budget authority from the closed Sub Project back to the Master Project in SOAR. This action provides formal closure of the project.
  - b. If no: There is no further action needed and the project is closed.

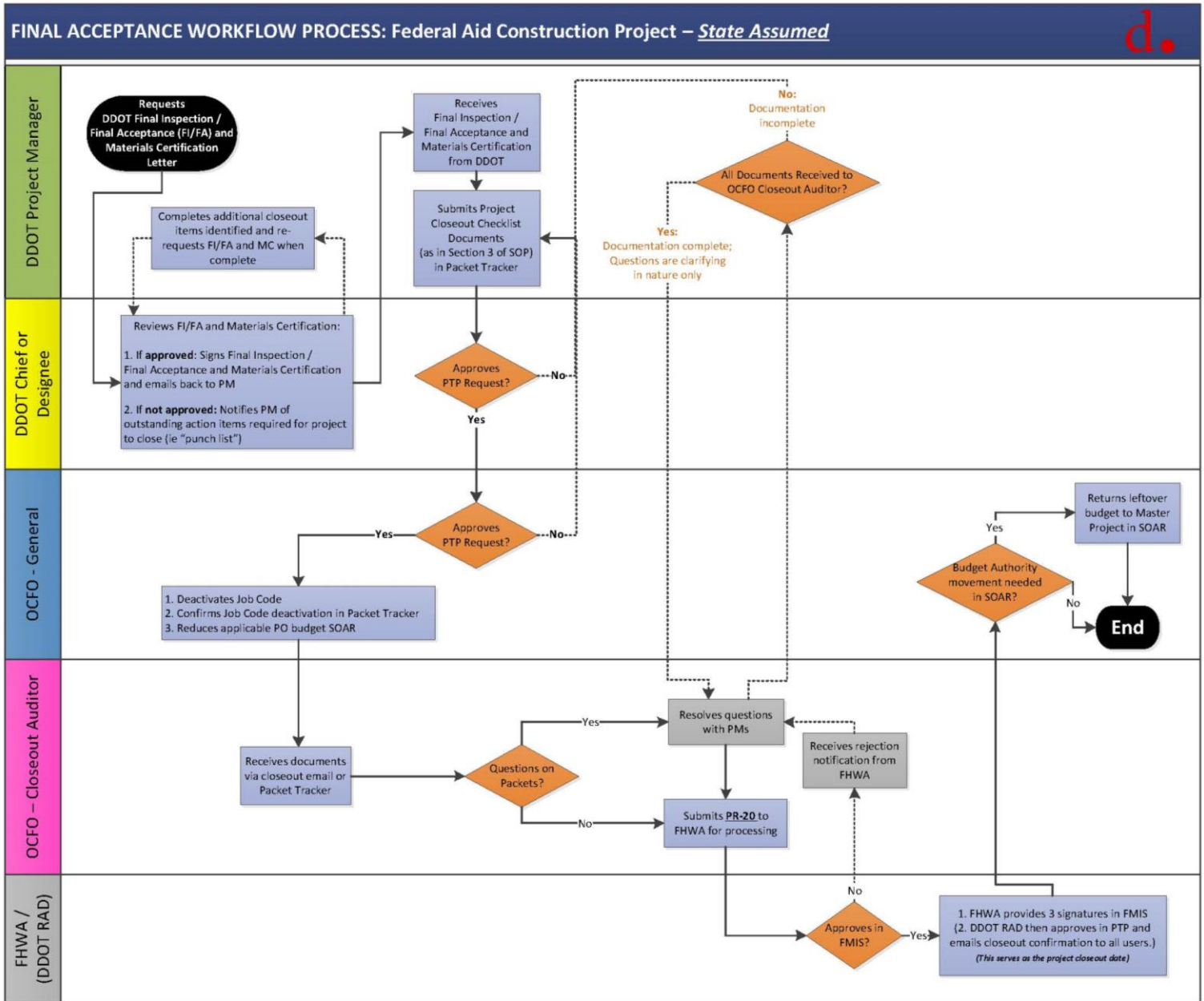
## End of Project Closeout Process

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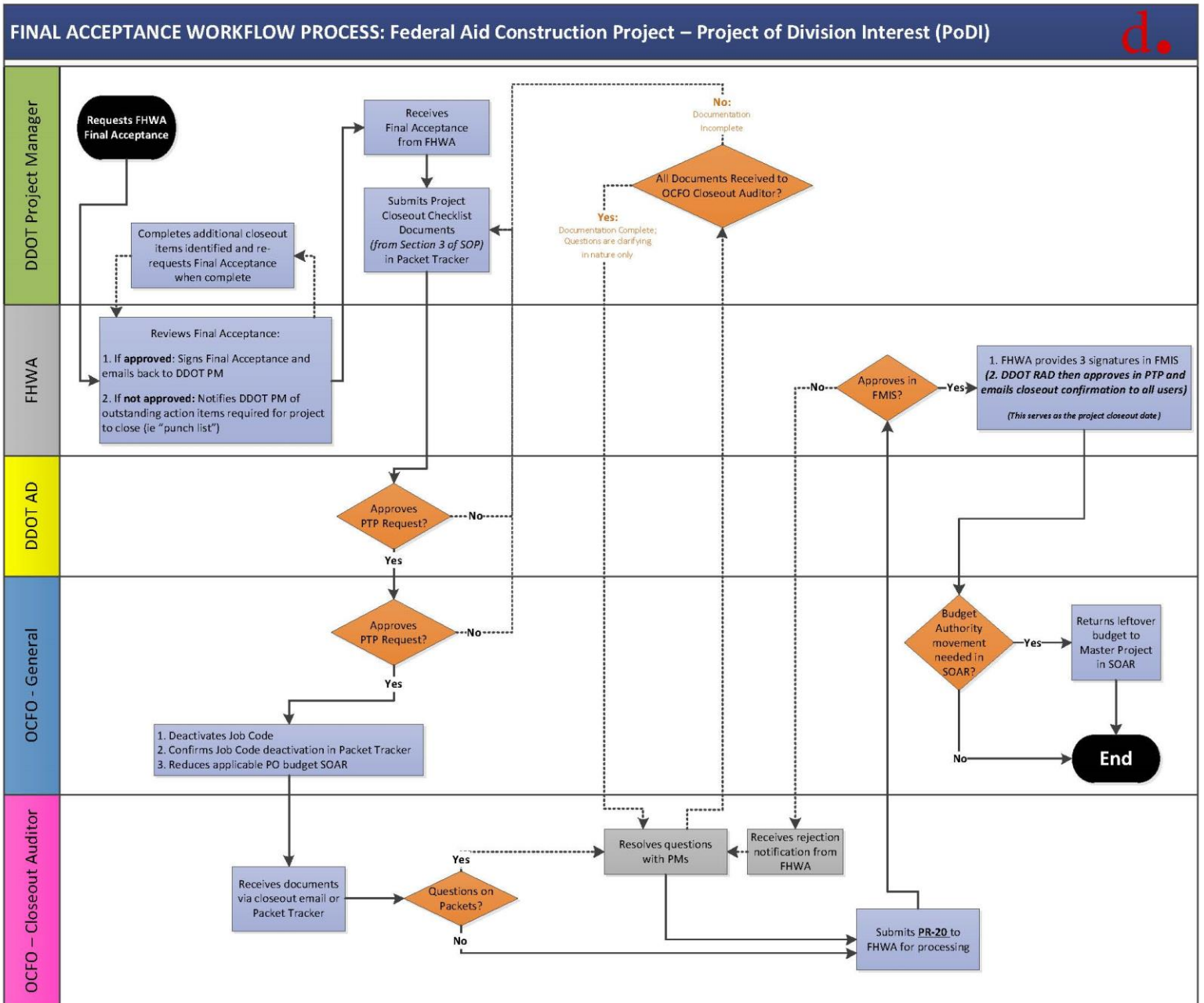


**Figure C1: Federal-Aid Construction Project - State Assumed Projects**  
(Also found in larger format on Appendix 5.6)



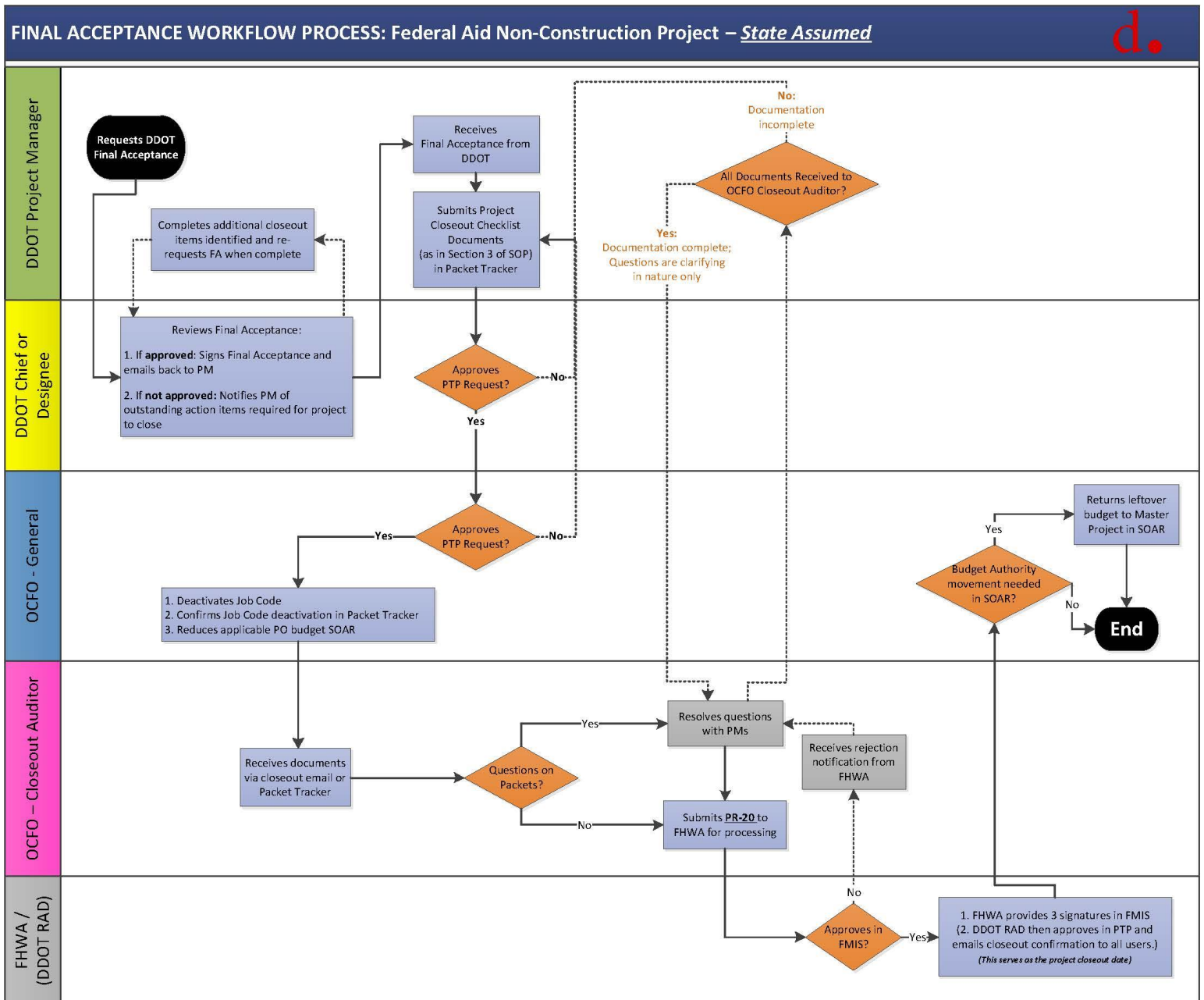


**Figure C2: Federal-Aid Construction Project - Projects of Division Interest (PoDI)**  
(Also found in larger format on Appendix 5.7)





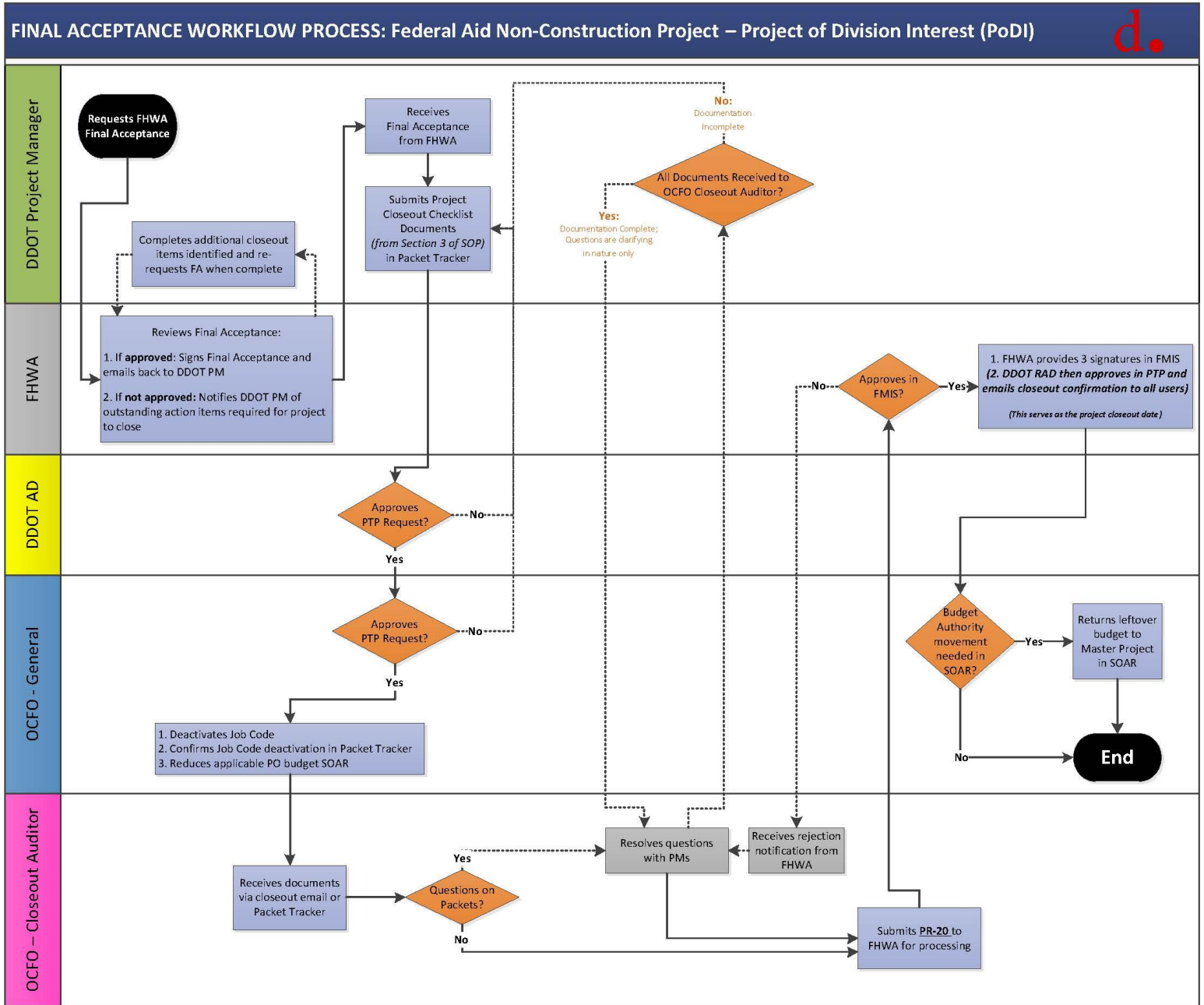
**Figure C3: Federal-Aid Non-Construction Project - State Assumed Projects**  
(Also found in larger format on Appendix 5.8)





### Figure C4: Federal-Aid Non-Construction Projects - Projects of Division Interest (PoDI)

(Also found in larger format on Appendix 5.9)



## 4.0 FHWA Federal-Aid Project Closeout Checklists

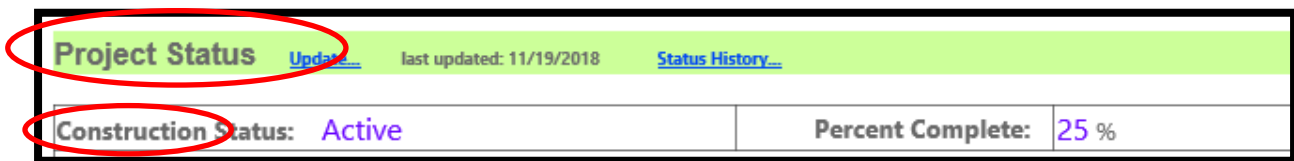
The purpose of the FHWA Federal-Aid Project Closeout Checklists as shown in Figures D2 and D3 is to create a job aid that can be used by project managers to assist in the closeout process to ensure consistency, completeness, and timeliness in closing out Federal-aid projects.

The procedures provide for the coordination of DDOT project managers, the Resource Allocation Division, as well as the Office of the Chief Financial Officer and the Office of Contracts and Procurement. Each checklist and the relevant forms can be found in the Document Library of Packet Tracker.

There are two different checklists: one for each project type--State Assumed (Figure D2) and Project of Division Interest (Figure D3). Each checklist contains a column to delineate what is needed for a Construction project vs Non-Construction project. Note that the designation of Construction or Non-Construction can be found in PROMPT under “Project Status” section on the Details page of the Project as shown in Figure D1. **NOTE: The completed Closeout Checklist must be included as the cover page of the closeout documentation package that is uploaded into ProTrack+.**

A quick way to identify if a project is designated as Construction or Non-Construction: If a project status says “Construction”, then it is such; however, if there is a different type of status listed, then it is a Non-Construction project.

**Figure D1: Prompt Status Bar Screenshot**



(Checklists can be found on the following two pages.)

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Figure D2: Federal-Aid Project Closeout Checklist: State Assumed Projects  
(Also found in larger format on Appendix 5.4)

## Federal-Aid Project Closeout Checklist

### State Assumed Project

**Federal Aid Project (FAP) Number:** \_\_\_\_\_

**DC Project Number:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

**Construction – State Assumed**

- Final Invoice(s) Received (All)
- All** Project POs closed out (via PO Closeout SOP)
  - PO Closeout Doc 1: Letter to Vendor
  - PO Closeout Doc 2: Final Payment & Release of Claims
  - PO Closeout Doc 3: Unresponsive Vendor (if applicable)
- DDOT Final Acceptance (Final Inspection)
- DDOT Materials Certification **(QA/QC)**
- Job Code Deactivation request sent to OCFO by PM
- DBE Certification Letter & OJT Compliance Letter **(OCR)**
- Construction Retainage Release Letter **(OCP)**
- Final Punch List
- Final Signal and Streetlight Certification Letter
- Substantial Completion Certification
- Sub-Contractor Final Payment Acceptance and Release of Claims
- Contract Close-Out Notification Letter **(OCP)**
- All Approved Modifications  
*(Change Orders, Tasks Orders, and/or Time Extensions)*
- If Applicable Only:**
- DC Water Final As-Built Certification
- Utility Company (non-DC Water) Certification
- Final Certification of Rights of Way

**Non- Construction – State Assumed**

- Final Invoice(s) Received (All)
- All** Project POs closed out (via PO Closeout SOP)
  - PO Closeout Doc 1: Letter to Vendor
  - PO Closeout Doc 2: Final Payment & Release of Claims
  - PO Closeout Doc 3: Unresponsive Vendor (if applicable)
- DDOT Final Acceptance
- Job Code Deactivation request sent to OCFO by PM
- DBE Certification Letter & OJT Compliance Letter **(OCR)**
- Sub-Contractor Final Payment Acceptance and Release of Claims
- Contract Close-Out Notification Letter **(OCP)**
- All Approved Modifications  
*(Change Orders, Tasks Orders, and/or Time Extensions)*

**Team Leader or Designee**

**Date**



### Figure D3: Federal-Aid Project Closeout Checklist: Projects of Division Interest (PoDI)

(Also found in larger format on Appendix 5.5)

## Federal-Aid Project Closeout Checklist

### Project of Division Interest ("PoDI")

**Federal Aid Project (FAP) Number:** \_\_\_\_\_

**DC Project Number:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

Construction – PoDI

- Final Invoice(s) Received (All)
- All** Project POs closed out (via PO Closeout SOP)
  - PO Closeout Doc 1: Letter to Vendor*
  - PO Closeout Doc 2: Final Payment & Release of Claims*
  - PO Closeout Doc 3: Unresponsive Vendor (if applicable)*
- FHWA Final Acceptance (Final Inspection)
- FHWA Materials Certification (**QA/QC**)
- Job Code Deactivation request sent to OCFO by PM
- DBE Certification Letter & OJT Compliance Letter (**OCR**)
- Construction Retainage Release Letter (**OCP**)
- Final Punch List
- Final Signal and Streetlight Certification Letter
- Substantial Completion Certification
- Sub-Contractor Final Payment Acceptance and Release of Claims
- Contract Close-Out Notification Letter (**OCP**)
- All Approved Modifications  
*(Change Orders, Tasks Orders, and/or Time Extensions)*

If Applicable Only:

- DC Water Final As-Built Certification
- Utility Company (non-DC Water) Certification
- Final Certification of Rights of Way

Non- Construction – PoDI

- Final Invoice(s) Received (All)
- All** Project POs closed out (via PO Closeout SOP)
  - PO Closeout Doc 1: Letter to Vendor*
  - PO Closeout Doc 2: Final Payment & Release of Claims*
  - PO Closeout Doc 3: Unresponsive Vendor (if applicable)*
- FHWA Final Acceptance
- Job Code Deactivation request sent to OCFO by PM
- DBE Certification Letter & OJT Compliance Letter (**OCR**)
- Sub-Contractor Final Payment Acceptance and Release of Claims
- Contract Close-Out Notification Letter (**OCP**)
- All Approved Modifications  
*(Change Orders, Tasks Orders, and/or Time Extensions)*

**Team Leader or Designee**

**Date**

## 5.0 Appendices

The following documents, contained as appendices in this SOP, detail the comprehensive listing of what comprises the Closeout Package, and the workflow detail of the process through each step.

5.1- PR-20 Form	25
5.2- Final Acceptance (State Assumed Project)	26
5.3- Final Acceptance Project of Division Interest (PoDI)	27
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### 5.1.PR-20 Form

This collection of information is Mandatory and will be used to reimburse State Departments of Transportation for costs incurred on Federal-aid projects. Public reporting burden is estimated to average 30 minutes per response, including the time for reviewing instructions searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please note that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this collection is 2125-0507. The expiration date for this OMB number is Nov. 30, 2007. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Office, Federal Highway Administration, 1200 New Jersey Avenue SE, Washington, DC, 20590.

Office of Management and Budget  
Paperwork Reduction Project 2125-0507  
Washington, D.C. 20503

Federal Highway Administration  
Finance Division HCFM-30  
1200 New Jersey Avenue SE  
Washington, D.C. 20590

<p><b>VOUCHER FOR WORK PERFORMED UNDER PROVISIONS OF THE FEDERAL AID AND FEDERAL HIGHWAY ACTS, AS AMENDED</b></p>		STATE VOUCHER NO.
<p>U. S. Department of Transportation Federal Highway Administration</p>		FHWA VOUCHER NO.
APPROPRIATION		FHWA SCHEDULE NO.
<p>THE UNITED STATES, DR., TO (Insert official or depository named in project agreement)</p> <p>D.C. TREASURER</p> <p>ADDRESS DEPARTMENT OF TRANSPORTATION 55 M STREET, S.E., SEVENTH FLOOR WASHINGTON, D.C. 20003</p>		PAID BY
STATE		(For use of Paying Office)
DISTRICT OF COLUMBIA		VOUCHER TYPE (Check Appropriate Block)
VOUCHER PERIOD		<input type="checkbox"/> CURRENT BILLING
FROM		<input type="checkbox"/> OTHER PROGRESS
TO		<input checked="" type="checkbox"/> FINAL VOUCHER(*)
		FEDERAL AID PROJECT NO.
(*) Use Form FHWA-1447 for Final Voucher for a project constructed under certification acceptance or secondary road procedures (23 U.S.C. 117).		
TOTAL ACTUAL COST	TOTAL PARTICIPATING COST	PRO-RATA OF PARTICIPATING COST CLAIMED FROM U.S.
		TOTAL AMOUNT CLAIMED FROM U.S.
		LESS PREVIOUS PAYMENTS
		NET AMOUNT CLAIMED
I certify that the cost shown in this voucher have been incurred in accordance with terms of project agreements; applicable State and Federal laws or regulations; and that no claim has previously been submitted for costs claimed.		
STATE HIGHWAY AGENCY		DATE
DEPARTMENT OF TRANSPORTATION		SIGNATURE OF AUTHORIZED OFFICIAL
I certify that supporting records for costs claimed, and the referenced project (if applicable), have been subjected to required reviews, approvals and inspections by the Federal Highway Administration and that the amount approve is justly due.		
AMOUNT SUBMITTED		SIGNATURE OF FHWA REPRESENTATIVE
ADJUSTMENTS		DATE APPROVED
AMOUNT APPROVED		


FORM PR-20 (Rev. 8-07) PREVIOUS EDITIONS ARE OBSOLETE

Save Data Only Clear Form Save Data & Form

STATEMENT OF COSTS INCURRED UNDER PROJECT AGREEMENT							
ITEM NO.	ITEM	QUANTITY	UNIT	UNIT PRICE	AMOUNT	NOTATIONS (Payee must not use this column)	



## 5.2. Final Acceptance (State Assumed Project)

 <b>District of Columbia Department of Transportation Final Acceptance</b>			
<b>INSPECTION OVERVIEW</b> (Section 1)			
Inspection Made By: XX, DDOT		In Company With:	
Inspection Date:	5/20/2015	Report Date:	6/25/2015
Administered By:	DDOT	Project Oversight:	Delegated
Report Number:	Final Acceptance	Construction Engineering and Inspection (CEI):	Yes
Findings:	Yes	Number of Findings:	4
<b>PROJECT LOCATION</b> (Section 2)			
State:	District of Columbia	Ward:	7
Quadrant:	NE	Route:	XX
<b>PROJECT DETAILS</b> (Section 3)			
FAP Number:	XXXX-(XXX)	State Project Number:	XXXXXX
Contract Number:	XXXX-XXXX-X-XXXX		
Project Description:	XX		
Contractor:	XX		
Award Date:	XX/XX/XXXX	Completion Date: (original contact)	XX/XX/XXXX
Date Work Began (NTP):	XX/XX/XXXX	Completion Date: (current, including any post-award changes)	XX/XX/XXXX
<b>PROJECT PROGRESS</b> (Section 4)			
Contract Amount: (in original contract)	\$ .00	Contract Amount: (include change orders & supplemental agreements)	\$ .00
Percent Time:	100%	Percent Complete:	100%
Quality of Work:	Satisfactory	Progress of Work:	Satisfactory
<b>TYPE OF INSPECTION (Select All That Apply)</b> (Section 5)			
Contract Administration:	<input checked="" type="checkbox"/>	Civil Rights:	<input type="checkbox"/>
Materials:	<input type="checkbox"/>	Work Zone:	<input type="checkbox"/>
Billings:	<input type="checkbox"/>	Construction Quality:	<input type="checkbox"/>
Environmental:	<input type="checkbox"/>	Pre-Construction Meeting:	<input type="checkbox"/>
<b>PURPOSE &amp; OBSERVATIONS</b> (Section 6)			
Purpose of Inspection: Project Closeout			
Work Complete: All			
Work in Progress: None			
<b>SUMMARY OF FINDINGS</b> (Section 7)			
All work, including punch list items, have been completed and re-inspected as of XX/XX/XXXX.			
<b>REPORT DETAILS &amp; ATTACHMENTS</b> (Section 8)			
Print Name:			
Signature:		Date Signed:	
<p>The project was inspected on 5/20/2015 noting that the project could be accepted pending the following items:</p> <ul style="list-style-type: none"> <li>• Material Certification</li> <li>• Completion of punch list items (done on 6/11/2015)</li> </ul> <p>DDOT has prepared and reviewed all of these items as well as the final invoice. The project is ok to close out.</p>			



### 5.3. Final Acceptance (Project of Division Interest (PoDI))

 <b>FINAL ACCEPTANCE REPORT</b>			
DIVISION	REPORT NO.	DATE OF FINAL INSPECTION REPORT	PROJECT NO.
DATE CONTRACT STARTED	DATE WORK COMPLETED	ACCEPTANCE BY CONTRACT AGENCY.	TIME ELAPSED %
LOCATION			
SCOPE OF PROJECT			
NOTE: FHWA-47 ___ SUBMITTED ___ NOT REQUIRED Materials certification    SUBMITTED    NOT REQUIRED There is compliance with section 1.23 of the Regulations pertaining to encroachments of the right-of-way.			
REMARKS: SHA procedures and controls were sufficient to assure that this project completed in reasonable close conformance with the approved plans and specifications including authorized changes and extra work.			
ACCEPTANCE OF PROJECT IS RECOMMENDED		ACCEPTED BY FEDERAL HIGHWAY ADMINISTRATION	
Signature		Signature	
Title	Date	Title	Date
Form FHWA 1446B (Rev. 3-90)			



### 5.4. Federal-Aid Project Closeout Checklist: State Assumed Projects

## Federal-Aid Project Closeout Checklist

### State Assumed Project



**Federal Aid Project (FAP) Number:** \_\_\_\_\_

**DC Project Number:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

#### Construction – State Assumed

- Final Invoice(s) Received (All)
  - All** Project POs closed out (via PO Closeout SOP)
    - PO Closeout Doc 1: Letter to Vendor
    - PO Closeout Doc 2: Final Payment & Release of Claims
    - PO Closeout Doc 3: Unresponsive Vendor (if applicable)
  - DDOT Final Acceptance (Final Inspection)
  - DDOT Materials Certification (**QA/QC**)
  - Job Code Deactivation request sent to OCFO by PM
  - DBE Certification Letter & OJT Compliance Letter (**OCR**)
  - Construction Retainage Release Letter (**OCP**)
  - Final Punch List
  - Final Signal and Streetlight Certification Letter
  - Substantial Completion Certification
  - Sub-Contractor Final Payment Acceptance and Release of Claims
  - Contract Close-Out Notification Letter (**OCP**)
  - All Approved Modifications  
(Change Orders, Tasks Orders, and/or Time Extensions)
- If Applicable Only:**
- DC Water Final As-Built Certification
  - Utility Company (non-DC Water) Certification
  - Final Certification of Rights of Way

#### Non- Construction – State Assumed

- Final Invoice(s) Received (All)
- All** Project POs closed out (via PO Closeout SOP)
  - PO Closeout Doc 1: Letter to Vendor
  - PO Closeout Doc 2: Final Payment & Release of Claims
  - PO Closeout Doc 3: Unresponsive Vendor (if applicable)
- DDOT Final Acceptance
- Job Code Deactivation request sent to OCFO by PM
- DBE Certification Letter & OJT Compliance Letter (**OCR**)
- Sub-Contractor Final Payment Acceptance and Release of Claims
- Contract Close-Out Notification Letter (**OCP**)
- All Approved Modifications  
(Change Orders, Tasks Orders, and/or Time Extensions)

\_\_\_\_\_  
**Team Leader or Designee**

\_\_\_\_\_  
**Date**



### 5.5. Federal-Aid Project Closeout Checklist: Projects of Division Interest (PoDI)

## Federal-Aid Project Closeout Checklist *Project of Division Interest ('PoDI')*



**Federal Aid Project (FAP) Number:** \_\_\_\_\_

**DC Project Number:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

### Construction – PoDI

- Final Invoice(s) Received (All)
- All** Project POs closed out (via PO Closeout SOP)
  - PO Closeout Doc 1: Letter to Vendor*
  - PO Closeout Doc 2: Final Payment & Release of Claims*
  - PO Closeout Doc 3: Unresponsive Vendor (if applicable)*
- FHWA Final Acceptance (Final Inspection)
- FHWA Materials Certification (**QA/QC**)
- Job Code Deactivation request sent to OCFO by PM
- DBE Certification Letter & OJT Compliance Letter (**OCR**)
- Construction Retainage Release Letter (**OCP**)
- Final Punch List
- Final Signal and Streetlight Certification Letter
- Substantial Completion Certification
- Sub-Contractor Final Payment Acceptance and Release of Claims
- Contract Close-Out Notification Letter (**OCP**)
- All Approved Modifications  
*(Change Orders, Tasks Orders, and/or Time Extensions)*

**If Applicable Only:**

- DC Water Final As-Built Certification
- Utility Company (non-DC Water) Certification
- Final Certification of Rights of Way

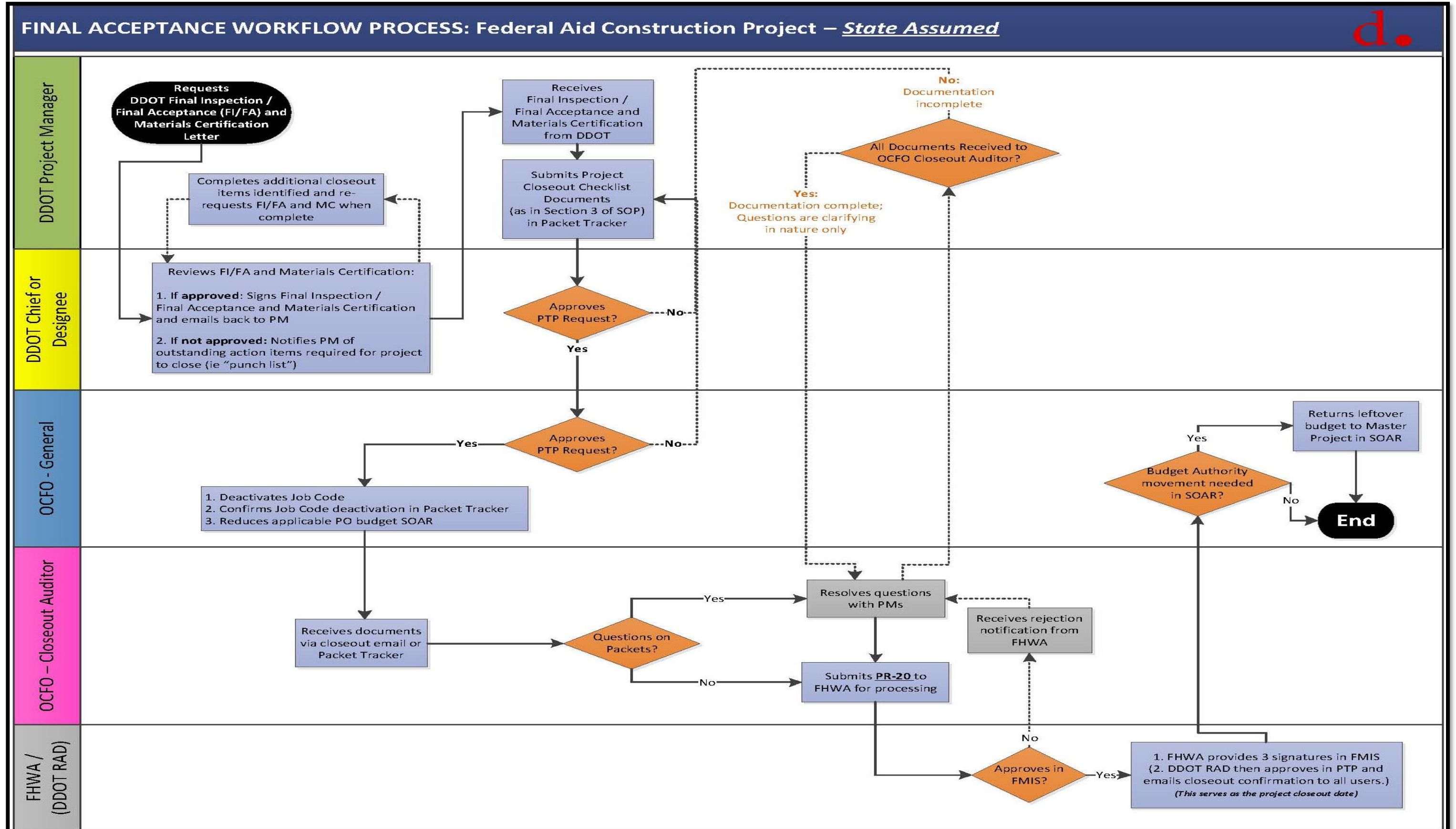
### Non- Construction – PoDI

- Final Invoice(s) Received (All)
- All** Project POs closed out (via PO Closeout SOP)
  - PO Closeout Doc 1: Letter to Vendor*
  - PO Closeout Doc 2: Final Payment & Release of Claims*
  - PO Closeout Doc 3: Unresponsive Vendor (if applicable)*
- FHWA Final Acceptance
- Job Code Deactivation request sent to OCFO by PM
- DBE Certification Letter & OJT Compliance Letter (**OCR**)
- Sub-Contractor Final Payment Acceptance and Release of Claims
- Contract Close-Out Notification Letter (**OCP**)
- All Approved Modifications  
*(Change Orders, Tasks Orders, and/or Time Extensions)*

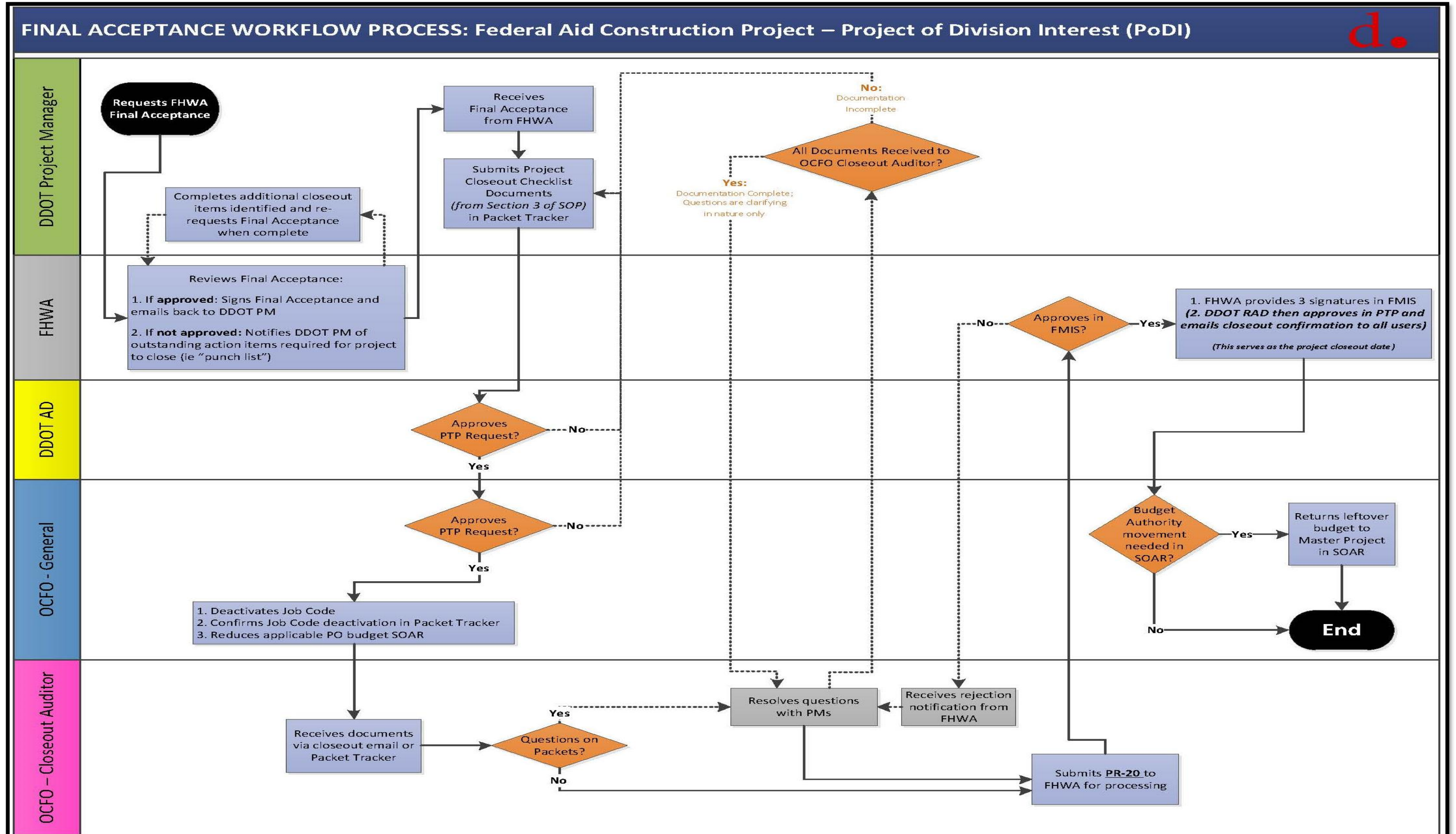
\_\_\_\_\_  
**Team Leader or Designee**

\_\_\_\_\_  
**Date**

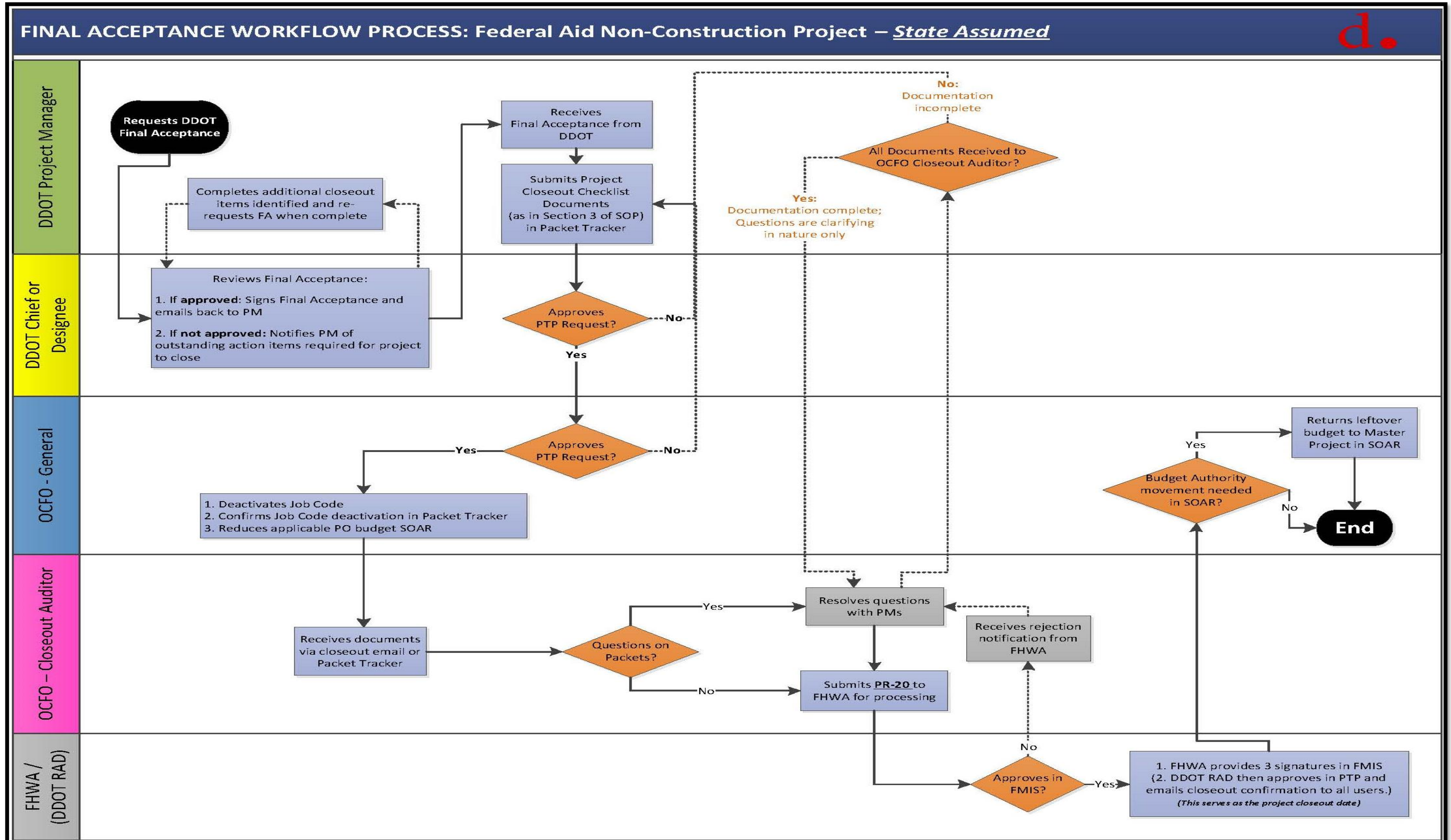
5.6. Federal-Aid Construction Project Workflow: State Assumed Projects



5.7. Federal-Aid Construction Project Workflow: Projects of Division Interest



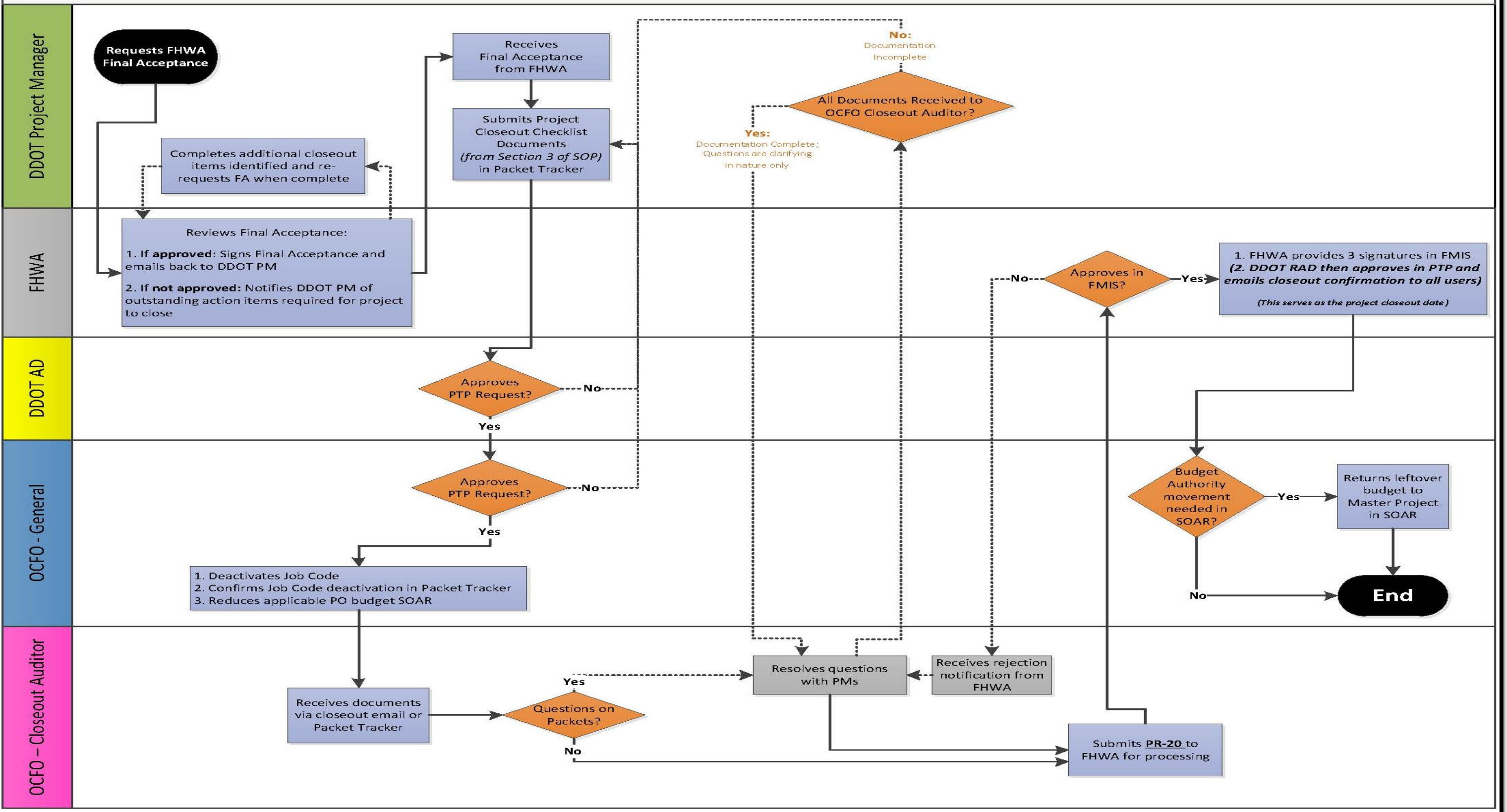
5.8. Federal-Aid Non-Construction Project Workflow: State Assumed Projects





5.9. Federal-Aid Non-Construction Project Workflow: Projects of Division Interest

**FINAL ACCEPTANCE WORKFLOW PROCESS: Federal Aid Non-Construction Project – Project of Division Interest (PoDI)**



## 6.0 Frequently Asked Questions

- **Question: How do I know if my project is a State Assumed or PoDI?**
  - o **Answer:** Project type is determined by FHWA, and this information can be found on your project's page in Prompt (see Figure B1 on Page 12.)
  
- **Question: What is the difference between a Final Inspection, Final Acceptance, and Final Invoice?**
  - o **Answer:** A Final Invoice is the last invoice received for a Purchase Order (PO) associated with a project (a project will likely have more than one PO and will therefore require multiple Final Invoices to be received as part of the total project closeout documentation). Final Invoices for POs should be gathered by the Project Manager throughout the life of the project as a function of regular project management (prior to Final Inspection and/or Final Acceptance). However, if any Final Invoices are outstanding at the time of project closeout, they must be received and submitted at this time.

A Final Inspection and/or Final Acceptance are completed at the end of the project, once the Project Manager has determined that the project is substantially complete. The Final Inspection/Final Acceptance completion signals to the Project Manager that the rest of the project closeout documentation can now start to be gathered and submitted. A project will only have one Final Inspection document and/or one Final Acceptance, which will either be approved by FHWA (for PoDI projects) or DDOT (for State Assumed projects). Construction projects will require both a Final Inspection and Final Acceptance, whereas any Non-Construction project (such as a Design project), will only require a Final Acceptance. (See Figure B2 on Page 12 for a quick reference guide on determining Final Inspection / Final Acceptance documents.)
  
- **Question: How many Final Invoices do I need?**
  - o **Answer:** A Final Invoice for each PO associated with a project is required to closeout that PO. Part of the project closeout package is ensuring that all POs with the project are closed out.

- **Question: What is the difference between PO Closeout and Project Closeout?**
  - o **Answer:** PO Closeout is a sub-process of Project Closeout (see Figure A2 on Page 10). PO Closeout is the close out of each individual PO, as work performed under that PO is completed and the Project Manager has determined that all invoices have been paid and no more are expected to be received.
  
- **Question: How do I close out a Purchase Order (PO)?**
  - o **Answer:** Complete detail on how to close out a PO can be found in the **PO Closeout SOP**, in the Packet Tracker Document Library.

In short, once the Project Manager determines that there will be no additional activity under a specific PO, they must prepare and send to the vendor/contractor the following two forms (found in the Packet Tracker Library):

1. **PO Closeout Letter to Vendor**
2. **PO Closeout Release of Claims**

The Project Manager must then receive back from the contractor/vendor a signed **PO Closeout Release of Claims Form** for each PO.

If the contractor/vendor is unresponsive after multiple contact attempts, the Project Manager may complete a third form--the **[3.] PO Closeout Vendor Unresponsive or Out of Business Form** (also found in the Packet Tracker library) and submit for the project file. It is important to note:

- This option is not preferred and is only for instances where it is not possible or not likely for the contractor/vendor to respond to the PO closeout contact attempts.
- This form requires a hard copy signature from the Project Manager.
- If the Contractor/Vendor does respond to the closeout documents but disagrees or refuses to sign, the **Vendor Unresponsive Form** does not apply and may not be used, and the PO must remain open until the discrepancy is resolved.

- **Question: How/Where do I submit the Project Closeout documents?**
  - o **Answer:** Project Manager must submit all project closeout documents in the Packet Tracker module of ProTrack+. See Section 3 of this SOP for full detail.

- **Question: Where do I find all the documents referenced in this SOP?**
  - o **Answer:** All forms, checklists, workflows, and other documents referenced in this SOP are housed in the Packet Tracker Document Library, which is part of ProTrack+.
  
- **Question: Is the Project Closeout process the same for both federal and local capital projects?**
  - o **Answer:** No. While the processes are similar, local capital projects have a different closeout process, which is detailed in the *Local Capital Project Closeout SOP* (found in the Packet Tracker Document Library).