

Finals Process for Let Project Closeout

Project Administration Tools

February 9, 2015

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BACKGROUND

The Wisconsin Department of Transportation (WisDOT), Division of Transportation Systems Development (DTSD) contracted the University of Wisconsin-Madison, Department of Engineering Professional Development (UW-EPD) to facilitate six work groups and two lean project teams using lean and six sigma tools and techniques to plan, design, develop and advance process improvements to achieve the six-month lead time goal for closing out regional and local program projects.

The work groups and lean project teams composition were multiregional with expertise related to the work group or lean topic being addressed. They included representatives of DTSD staff and construction contractors. Using the products the work groups and the lean project teams, this user guide was developed to provide step-by-step guidance for staff involved in the Final Process for Let Project Closeout.

Overall success of the Let project closeout effort will be an increase in the number of regional and local program projects that closeout within six months.

PROCESS DEFINITION

The Finals Process includes the process steps required to close out a construction contract within 6 months, beginning when the department determines that work under the contract is Substantially Complete and ending on the date the department approves the Final Estimate for payment.

ROLES AND RESPONSIBILITIES

The owner of the Finals Process is the PDS Chief. The responsibilities of the Process Owner include:

- Responsible for end-to-end process performance for all project closeout timelines and encourage continuous improvement.
 - Reviews region project closeout performance on a monthly basis. Follow up with the Process Lead and when necessary the project teams (including all section's team members) on projects that are at risk of not meeting the closeout timelines.
 - Allocates the resources to meet project closeout goals.
 - Communicates with the other regional sections the expectations in meeting the closeout goals.
 - Provides annual region updates to management and staff on let project closeout results.
 - Ensures that overall closeout timeline goals are attained and sustained by the department.

The lead for the Finals Process is the Contract Specialist. The responsibilities of the Process Lead include:

- Monitors the status of region closeout process and communicates that status to the Process Owner and project team. Works with the program control unit in monitoring the effectiveness of the closeout process.
 - Promotes the flow of information, records, and paper work in meeting closeout timeline goals.

- Reviews “Construction Status and Finals Report” on a weekly basis for project milestones and follows up with the project managers on projects at risk of not meeting timeline goals.
- Informs the appropriate project team members when the time goal of any major process step within the closeout process is in jeopardy of not being met.
- Notify the Process Owner on recurring issues and make recommendations to help streamline and improve the closeout process.
- Works with the program control unit to keep region closeout guidance documentation up-to-date and formally/informally train project staff in the closeout process.

The following individuals participate in the Finals Process for Let Project Closeout and have Roles, Responsibilities, and Tasks as described.

Role = Contract Specialist (CS) – Process Lead – Monitors the status of all region projects within the closeout process and communicates that status to the Process Owner and project team. Ensures that information in the closeout process is accurate.

Responsibilities/Tasks:

- Will notify closeout team members project is starting project closeout process after being notified by the Project Leader (*note: process is being automated*).
- Work with Project Leader/Project Manager to enter late reason codes into Project Tracking.
- Communicate with closeout team members and other WISDOT staff the status of all projects in the closeout process using AASHTOWare, Project Tracking and the Construction Finals Status Report.
- Work with Supervisor/Project Manager to determine what type of acceptance and issue acceptance letter, track and distribute.
- Receive construction records, track and distribute required documents (including but not limited to explanation of variation/performance measure reports/as-built plan) from the Project Leader.
- Work with Project Manager/Supervisor/Records Reviewer to complete office review.
- Compile all documents (The reports from CAS; Explanation of Variation, Statement of Contract Time, filing or sending what is included in the “Final Records”) contained in the Semi-Final Estimate.
- Monitor and update fields in Project Tracking and PrCA (formerly CAS).
- Reduce retainer after receiving direction from the Project Manager.
- Prepare and distributes Completion Certificate.
- Send reminder letter to Contractor if semi-final is past 30 Calendar Days.
- Inform Project Leader/Project Manager Final Estimate is ready to send.

Role = Project Leader (PL) – responsible for success of their individual project. Completes many of the individual tasks in closing out projects. This requires significant coordination with closeout team members.

Responsibilities/Tasks:

- Create Punch-List and distribute to Contractor; when complete, enter “Punch-List Complete” date in [Field Information Tracking](#) (FIT).
- Consult with the Project Manager to determine “Time Charges Stopped date” (Substantially Complete) and enter date in [FieldManager](#)[®].

- Complete performance measure reports (DQI, [DT2510](#), Contractor's performance evaluation), forms and all documents with required personnel and complete automated entries in construction software programs.
- Collect, compile and organize records.
- Consult with Project Manager in determining "All Contract Work Complete" and enter date in [FieldManager®](#).
- Submit completed records, forms, and required reports.
- Works with records and materials reviewers to resolve issues.
- Resolve remaining materials issues with Contractor.
- Sign the materials certification ([DT1310](#)) or verify that the WisDOT Project Materials Coordinator signs it prior to handing the final materials documentation to the review team.
- Coordinate with Equal Rights Officer on the progress of Payroll Clear Date.
- Resolve records and quantity issues once the final review is complete by the records reviewer.
- If needed make updates to records, reports, or forms and update construction software systems.
- Enter Semi-Final Estimate into [FieldManager®](#) and inform Project Manager.
- Resolve Semi-Final Estimate issues with the prime Contractor.
- Enter Final Estimate information into [FieldManager®](#) and inform Project Manager.

Role = Project Manager (PM) – Responsible for overall success of their multiple projects; let through Final Estimate. Monitor their team's project's closeout by communicating with all closeout team members. Help resolve significant closeout issues with the closeout team members. Work with the supervisor in making sure there are adequate resources to meet timeline goals.

Responsibilities/Tasks:

- Approve/resolve contract changes (can be related to material or other issues).
- Request Contract Specialist to compose Final Acceptance letter.
- Review and sign required closeout documents including performance measures.
- Review, sign and return Final Acceptance letter to Contract Specialist.
- Complete or delegate finals check and review.
- Sign materials certification ([DT1310](#)) once finals materials review is completed (Last to sign [DT1310](#)).
- Approve Semi-Final Estimate and inform Contract Specialist and Project Leader once approved.
- If contractor requests that a portion of the retainer be released, verify materials review is complete and no payroll issues to resolve, then verify with the Project Manager/Supervisor and then notify Contract Specialist to reduce the retainer.
- Approve Final Estimate and inform Contract Specialist and Project Leader once approved.
- Set up meeting/teleconference throughout the finals process to discuss the current project closeout status.

Role = Contractor – responsible for communication with the project leader and ensuring final documentation/information is provided in timely manner

Responsibilities/Tasks:

- Submit any missing records to Project Leader upon request.
- Submit report of TrANS graduate and apprentices that worked on the project to Project Leader/Equal Rights Officer for processing.
- Verify/Resolve Quantity Issues.

- Work with Equal Rights Officer on outstanding payroll/wage issues.
- Reconcile data in CRCS on a weekly basis.
- Review, resolve, sign and return semi-final within 30 Calendar Days.
- Complete DQI with the Project Leader.
- Complete review ([DT2509](#)) of DOT staff or send the region written notice they will not be completing the form.
- Participate in project meetings/teleconference during the finals process to discuss project close-out status.

Role = Equal Rights Officer (ERO) – Responsible for monitoring contractor payrolls for adherence to prevailing wage regulations as defined in the contract.

Responsibilities/Tasks:

- Continue to monitor CRCS for missing payrolls/unconfirmed payments and once issues resolved, verify against project diary, and certify payrolls.
- Verify DBE commitments versus payments when required and report issues to Project Leader/Project Manager.
- Verify TrANS graduate and apprentice hours of On the Job Training on ASP1 – TrANS projects and provide Project Leader with eligible participant reimbursement amounts reported on a TrANS Graduate Payroll Report.
- Notify Project Leader/Project Manager/Contract Specialist of Payroll, Labor, or Payment Issues that would require withholding estimates and inform Project Leader/Project Manager/Contract Specialist when issues resolved and estimates can be released.
- Enter late finals reason codes and finals remarks in PT when payroll issues delay closeout process.
- Complete final payroll audit and enter Payroll Clear Date into Project Tracking and notify Contract Specialist/Project Leader/Project Manager/Contractor.
- Submit all payroll files to Contract Specialist. Record Payroll Clear Date on payroll file and distinguish between on-system and local program projects.

Role = Materials Engineer/Specialist – Responsible for reviewing both the Contractor Project Materials Coordinator and the WisDOT Project Materials Coordinator to ensure that they adhere to the contract materials documentation and testing requirements.

Responsibilities/Tasks:

- Enter date in Materials Tracking System (MTS) that Materials Records have been submitted for materials review.
- Review final Materials Records which includes:
 - Last verification that the materials meet specifications, approved lists, certifications; pass testing requirements, etc.
 - Confirm that material test records have been printed and “verified” for MTS.
 - Ensure that contractor has entered required test data and Project Leader has reviewed test data in MRS.
- Resolve any issues and/or missing documentation with the Project Leader.
- Notify Contract Specialist to enter Late Finals reason codes and finals remarks in Project Tracking when material issues delay closeout process.
- Ensure materials certification ([DT1310](#)) is signed by Project Leader or WisDOT Project Materials Coordinator and entered in MTS.

- Sign materials certification ([DT1310](#)) once final materials review is complete and send to Project Manager for final signature.
- Enter date in MTS that Materials Records have been reviewed.

Role = Records Reviewer- Responsible for the review of Contract Items and quantities for accuracy with contract requirements and ensure all documentation is included in the project finals.

Responsibilities/Tasks:

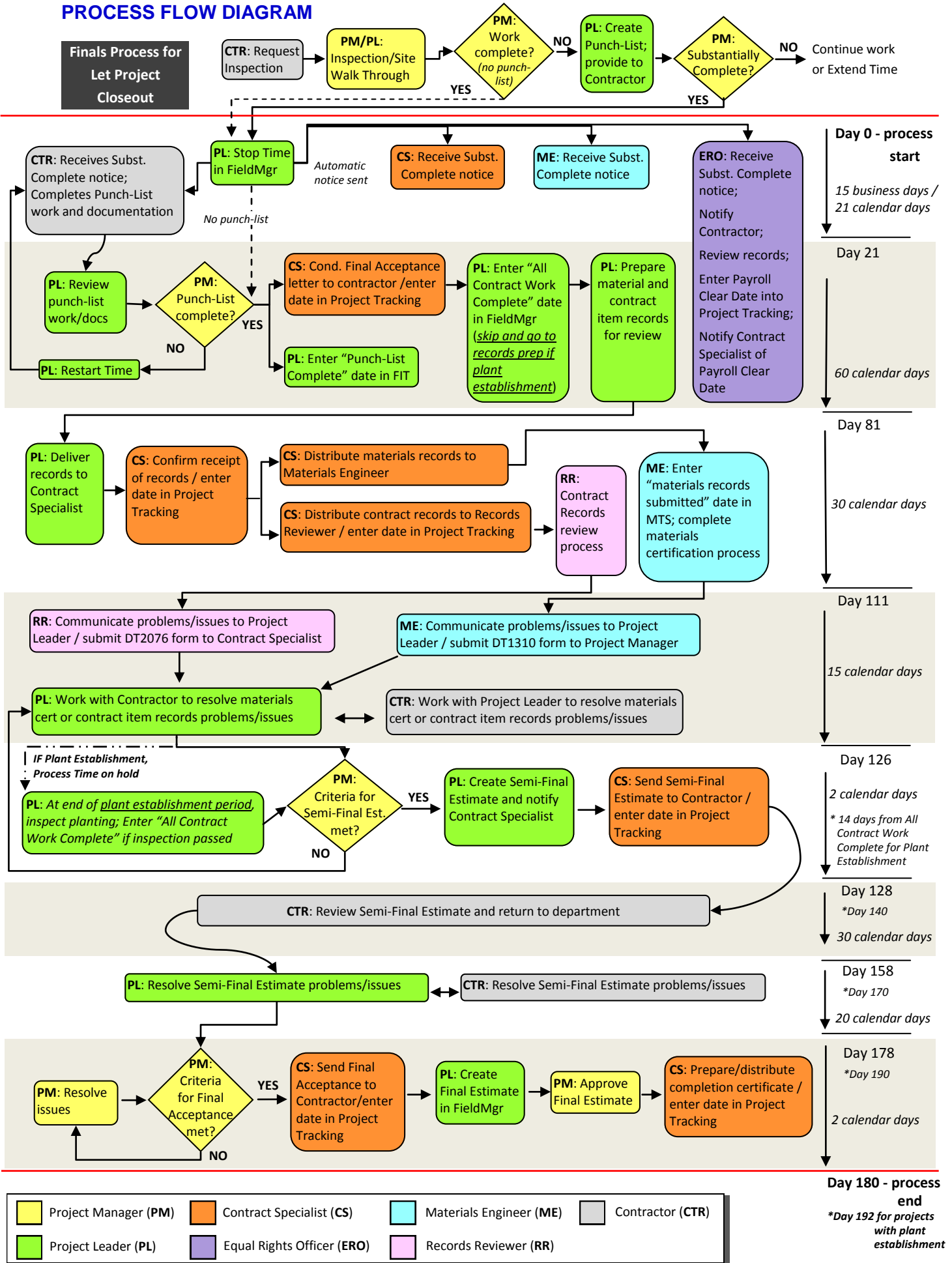
- Spot check project records/and specific Contract Items that are predetermined by the Project Manager or supervisor.
- Create list of issues with records.
- Work with Project Leader to resolve issues.
- Notify Contract Specialist/Project Leader/Project Manager when review is complete.

Role (Still being defined) = Program Control unit (Program Control engineer and PPA) – a resource for the closeout team members. Monitor trends in the closeout process and suggest areas of improvement to the Process Owner.

Responsibilities/Tasks:

- Develop and distribute closeout reports (Construction Finals Tracking Report which reflect where each project is in the closeout process).
- Work and coordinate with Process Owner and Process Lead to interpret data and to monitor trends.
- Provide specific information and analysis for Close-out team members when necessary.
- Program control engineers will work with the Contract Specialist in training and monitoring the closeout process in the regions.

PROCESS FLOW DIAGRAM



GLOSSARY

Term	Definition
All Contract Work Complete	The date that all Punch-List items and contract work are completed in the field, the last Inspection is passed and all required contractual documentation submitted.
Business Day	Every day the calendar shows, except Saturdays, Sundays, and department-specified holidays.
Calendar Day	Every day the calendar shows, including Saturdays, Sundays, and department-specified holidays.
Certification of Materials	Signed document (DT1310) stating that all the materials in the contract either meet specifications or exceptions to specifications are explained.
Civil Rights Compliance System (CRCS)	The Department’s web-based software application used for labor and Disadvantaged Business Enterprise (DBE) compliance, and first tier and DBE subcontractor payments tracking. This system is used to submit Certified Weekly Payrolls electronically as required by Additional Special Provision 9 (ASP 9); track 1st tier and DBE subcontractor payments as required by Additional Special Provision 7 (ASP 7) and is designed to fulfill and streamline various federal and state reporting and monitoring requirements.
Completion Certificate	Department form (DT1582) issued at the completion of the contract to release the contract bond.
Completion Date	The calendar date shown in the proposal on or before which the work included in the contract shall be completed.
Conditional Final Acceptance	Granted when all Contract Items have been completed and Punch-List is verified as complete by the engineer including the submission of all missing documentation. Conditional Final Acceptance will relieve the contractor of maintenance responsibility for the completed work.
Contract Items	All bid items of work in the original contract and those added by a contract change order.
Contract Records	All records generated or required during the duration of the contract. See Final Construction Project Record Checklist form DT2075 .
Contract Records Reviewed	The date when the regional staff completes the review of completed Contract Item records.
Contract Records Submitted	The date that the engineer submits Final Records to contract specialist from the field.
Final Acceptance	Final Acceptance is granted when all contract work is satisfactorily completed, all Contract Records have been reviewed and approved, and upon the return date of Semi-Final Estimate from the contractor.
Final Estimate	Final payment made between the department and the contractor, of final contract work and final Contract Item quantities, releasing all remaining Retainage.

Term	Definition
Final Records	Documents that are identified as a part of the finals process as designated on the standard checklist DT2075 .
Final Records Submitted	The date that the engineer submits Final Records to contract specialist from the field.
Inspection	Engineer's review of contract work and decision to categorize it as one of the following: <ol style="list-style-type: none"> 1. Unacceptable or not complete. 2. Substantially Complete. 3. All Contract Work has been satisfactorily completed.
Material Records	All materials records and documentation required by the contract.
Material Records Submitted	The date that all Materials Records are submitted to the materials reviewer.
Materials Certificate of Compliance	A document, provided by a manufacturer, producer, or supplier of a product to WisDOT by the contractor, stating that the product as furnished to the contractor complies with the pertinent specifications and contract requirements.
Materials Records Reviewed	The date that the Materials Records review is completed by materials reviewer.
Partial Acceptance	Partial Acceptance is granted when a portion of the work under the contract has been completed and accepted. Partial Acceptance relieves the contractor of maintenance responsibility for the designated portion of the work under the contract.
Payroll Clear Date	The date upon which all certified payroll reports have been submitted and accepted and labor compliance issues including formal wage complaints have been resolved.
Process Lead	Person who monitors the status of the Finals Process for Let Project Closeout and communicates that status to the Process Owner and project team.
Process Owner	Person responsible for end-to-end process performance for all project closeout timelines and encourage continuous improvement in the Finals Process for Let Project Closeout.
Project	The designated physical area together with improvements to be constructed under the contract.
Proving Period	The period of time that a Contract Item is subjected to environmental conditions for evaluation of the performance according to the standards of acceptance.
Punch-List	Document listing required contract documentation, minor corrective work, and clean-up work that is to be completed in order a project to receive Conditional Final Acceptance.

Term	Definition
Retainage	Portion of the contract payment withheld by the department from progress payment estimates.
Semi-Final Estimate	An estimate indicating the engineer has measured and reported all contract quantities and materials requirements.
Semi-Final from Contractor	The date which the department received the signed Semi-Final Estimate from the contractor.
Semi-Final to Contractor	The date when the region sent the Semi-Final Estimate to the contractor.
Substantially Complete	Substantially Complete is granted when the contractor has made the facility available for use by the general public and completed Contract Items and change order work, except Punch-List items, plant establishment, and required documentation. This is the start of the Finals Process for Let Project Closeout.
Time Charges Stopped	The date when the engineer declares work under the contract is Substantially Complete.
Work	The furnishing of all labor, materials, equipment, and incidentals and the performing of all tasks needed to complete the project or a specific part of the project as specified in the contract, together with fulfillment of all associated obligations and duties required under the contract.
Working day	A Calendar Day, except Saturdays, Sundays, department-specified holidays, and the period from November 16 to March 31, both dates inclusive, on which weather or other conditions not under the control of the contractor will allow construction operations to proceed for at least 8 hours of the day with the normal working force engaged in performing the controlling item of work which would be in progress at this time.

PROCESS STEPS

Prior to beginning the Finals Process for Let Project Closeout, it should be noted that a claim may be submitted by the Contractor at any time during a project. If a claim has been submitted, the date should be entered in the “submission of claim” field in Field Information Tracking (FIT). Depending on the nature of the situation, an unresolved claim may delay the Finals Process.

The Finals Process as described in this document should be followed for all Let projects including those projects with items that have an associated proving period [[standard spec 646.3.3.4](#)]. A slight variation in the process for projects with a plant establishment period is articulated in this document [[standard spec 632.3.18.1.1](#)].

1. Inspection / Punch-List

The contractor notifies the Project Leader that the work under the contract is presumptively complete. The Project Manager and Project Leader jointly conduct an Inspection (site walk through) of the contract work. Upon Inspection, the Project Manager will categorize the work as one of the following [[standard spec 105.11.2.1](#)]:

- 1) Unacceptable or not complete.
- 2) Complete except for Punch-List (see Punch-List below).
- 3) Complete and no Punch-List work is required.

If the department determines that the work is unacceptable or not complete, the Project Leader should take one of the following actions with the approval of the Project Manager:

- A. Direct the contractor to continue work on the project in order to complete all work or remedy unacceptable work.
- B. If there is no time left under the contract and if the department determines that liquidated damages are not going to be assessed, write a change order to extend time.

Punch-List [15 Business Days]

The Project Leader creates a Punch-List for the contractor if the contract work is complete except for the following:

- Minor corrective work.
- Cleanup of the job site.
- Any documents required under the contract that are due and have not been submitted.

The contractor must complete Punch-List work within 5 Business Days of receipt of the Punch-List and submit required documentation within 15 Business Days of receipt the Punch-List. While not encouraged, it is possible for the Punch-List deadlines to be extended by mutual agreement between the Project Manager and the contractor [[standard spec 105.11.2.1.3](#)].

During the initial inspection/site walk through, if the Project Leader verifies all contract work is complete and there are no punch list items, the Project Leader should enter the date of the inspection in the FIT “Punch–List Complete” date field.

2. Time Charges Stopped / Substantially Complete

Substantially Complete status is granted in order to stop contract time charges to the contractor and to begin the Finals Process for Let Project Closeout [[standard spec 105.11.2.1.3](#)].

The Project Leader can stop assessing contract time charges on the project and issue a Substantially Complete notice to the contractor if:

- 1) The Project Manager or Project leader has completed a site walk through and a Punch-List has been composed.
- 2) All Contract Items have been completed except for the Punch-List and Contract Items associated with plant establishment periods.
- 3) All lanes of traffic are open on a finished surface.
- 4) All signage and traffic control devices are in place and operating.
- 5) All drainage, erosion control, excavation, and embankments are completed.
- 6) All safety appurtenances are completed.

For projects with Contract Items that involve a proving period, the start of the Finals Process should not be delayed in order to reach the end of a proving period. The Project Leader and the Project Manager should grant Substantially Complete status if the above criteria are met even if the proving period is not complete for some items. Issues with Contract Items that involve proving periods should be dealt with as outlined in the contract [[standard spec 646.3.3.4](#)].

After the Project Leader, in consultation with the Project Manager, determines that the work under the contract has met the criteria for Substantially Complete status, the Project Leader:

- Provides a copy of the Punch-List to the contractor.
- Enters the “Time Charges Stopped” date into [FieldManager®](#).

Based on the entry of “Time Charges Stopped” in [FieldManager®](#), the Project Tracking system will automatically populate the “Substantially Complete” date and generate an email message to the Contract Specialist, Equal Rights Officer, Regional Records Reviewer, Materials Reviewer, Project Manager, Project Leader, and contractor.

3. Conditional Final Acceptance

[15 Business Days after Substantially Complete]

Conditional Final Acceptance is granted in order to relieve the contractor of maintenance responsibility for completed work other than work under Contract Items with associated plant establishment periods [[standard spec 105.11.2.2](#)].

The Project Leader, in consultation with the Project Manager, can issue Conditional Final Acceptance notice to the contractor if:

- 1) The work under the contract is Substantially Complete.
- 2) The department has verified that the Punch-List has been remedied.
- 3) All missing project and materials documentation have been submitted.

Within 15 Business Days of contract time stop, the Project Leader in consultation with the Project Manager should verify that the project meets the criteria for Conditional Final Acceptance. The Project Leader communicates to the Contract Specialist that the project meets the criteria. The Contract Specialist sends a letter/form notifying the contractor that the project has Conditional Final Acceptance. The Contract Specialist enters the date of Conditional Final Acceptance into the Project Tracking system. The Project Leader enters the "Punch-List Complete" date into Field Information Tracking (FIT).

4. All Contract Work Complete

The Project Leader enters the "All Contract Work Complete" date into [FieldManager®](#) on which the Conditional Final Acceptance notice is issued in order to relieve the contractor of maintenance responsibility. For projects with plant establishment periods, the "All Contract Work Complete" date is entered after the plant establishment period is complete and the work has been inspected. Staff should continue the next step in the Finals Process.

5. Preparation of Material and Contract Records for Review

[60 Calendar Days after Conditional Final Acceptance]

The Project Leader has 60 Calendar Days from the issue date of Conditional Final Acceptance in which to prepare the Material and Contract Records for review. Final Records that should be gathered for review are designated on the Final Construction Project Record Checklist form [DT2075](#) (see [Appendix A](#)).

Upon completion of records preparation, the Project Leader submits the Contract Item and Materials Records to the Contract Specialist. The Contract Specialist confirms that the records on the standard checklist are received and enters the "Contract Records Submitted" date in the Project Tracking system.

6. Certification of Materials Process

[30 Calendar Days from receipt of records]

Following confirmation that all materials records have been received, the Contract Specialist distributes Materials Records to the Materials Engineer/Specialist in the regional office. Upon receipt of the Materials Records, the Materials Engineer/Specialist enters the "Materials Records Submitted" date in the [Materials Tracking System](#) (MTS). The Material Engineer/Specialist verifies that all certified Materials Records have been submitted and are acceptable and that any materials compliance or testing issues are resolved [[CMM 8-45](#)].

Materials certification issues must be identified by the Materials Engineer/Specialist and communicated to the Project Manager, Project Leader and contractor.

7. Contract Items Review Process

[30 Calendar Days from receipt of records]

Following confirmation that all records pertaining to Contract Items on the Final Construction Project Record Checklist form [DT2075](#) have been received, the Contract Specialist distributes the records to the Records Reviewer in the regional office and enters the “Contract Records to Reviewer” date in Project Tracking and the name of the records reviewer in the “reviewed by” field.

The Records Reviewer reviews the records of the project generated or required during the duration of the contract and completes the Contract Items Review form [DT2076](#) (see [Appendix B](#)). Issues or problems with the records must be identified by the Records Reviewer and communicated to the Project Leader.

When the review is complete, the Records Reviewer submits the completed form to the Contract Specialist and enters the “Contract Records Reviewed” date in Project Tracking.

8. Materials and Contract Records Issue Resolution

[15 Calendar Days from completion of review]

The Project Leader and Contractor have 15 Calendar Days from the completion of the materials records and Contract Item records reviews to resolve issues identified during the records reviews.

The Project Leader notifies the Records Reviewer, Materials Engineer/Specialist, and Contract Specialist once the issues have been resolved. The Contract Specialist enters the date upon which all Contract Records issues are resolved in the “Contract Records Issues Resolved” field in the Project Tracking system. Upon resolution of any issues with materials records, the Project Manager signs the Certification of Materials form [DT1310](#) and the Materials Engineer/Specialist enters the Certification of Materials date into MTS.

9. Payroll Clear Date Process

[begins at Substantially Complete; ends before Final Estimate]

The Payroll Clear Date Process begins upon notification that the work under the contract is Substantially Complete. The process is carried out by the Equal Rights Officer in parallel with other activities in the finals process for construction contract closeout. The Equal Rights Officer verifies that all certified payroll reports have been submitted and are acceptable and that any labor compliance issues (including formal wage complaint) are resolved in order to issue the Payroll Clear Date (see [Appendix C](#)). The Equal Rights Officer enters the Payroll Clear Date into Project Tracking.

Payroll issues identified as part of the Payroll Clear Date process must be communicated to the Project Leader and Project Manager and contractor prior to issuing the Semi-Final Estimate.

The Payroll Clear Date Process must be complete with an issued Payroll Clear Date before the Final Estimate is sent to the contractor.

10. All Contract Work Complete for Projects with Plant Establishment Periods

When the plant establishment period is complete and the work has been inspected, the Project Leader enters the “All Contract Work Complete” date into [FieldManager®](#) in order to relieve the contractor of maintenance responsibility for the work under Contract Items with associated plant establishment periods.

11. Semi-Final Estimate

[within 2 Calendar Days of completion of Materials and Contract Records issue resolution or within 14 days of All Contract Work Complete for projects with Contract Items associated with plant establishment periods]

The Semi-Final Estimate serves to notify the contractor that the engineer has measured and reported all contract quantities and materials requirements [[CMM 2-36.1.3](#)]. In general, the Project Manager can approve Semi-Final Estimate notice if:

- 1) Conditional Final Acceptance has been issued.
- 2) The Certification of Materials process is complete.
- 3) The review of Contract Item records process is complete.
- 4) Any issues related to the Payroll Clear Date process have been communicated to the Project Manager and Contractor.

If the above conditions are met, the Project Manager directs the Project Leader to create the Semi-Final Estimate. The Project Leader creates the Semi-Final Estimate in [FieldManager®](#). The Project Manager reviews and approves the Semi-Final Estimate and notifies the Contract Specialist. The Contract Specialist sends a hard copy of the Semi-Final Estimate to the Contractor and enters the "semi-final to contractor" date in Project Tracking.

Ideally, all issues or problems related to Contract Item records and materials certification should be resolved before the Semi-Final Estimate is issued; however, at the discretion of the Project Manager, the Semi-Final Estimate can be issued with unresolved Contract Records or Materials Certification issues.

12. Contractor Review of Semi-Final Estimate

[30 Calendar Days]

The Contractor has 30 Calendar Days in which to review the Semi-Final Estimate and return it to the department. Fifteen Calendar Days after the “semi-final to contractor” date is entered, an automatic email is sent to the Contract Specialist, Project Manager, and Project Leader indicating that the Contractor has 15 Calendar Days remaining in which to return the Semi-Final Estimate. Upon receipt of the Semi-Final Estimate or if the 30-Calendar Day deadline is not met, the Contract Specialist should confirm with the Project Leader and Project Manager that the project is ready for Final Acceptance. While not encouraged, it is possible for the Project Manager and the Contractor to mutually agree to extend this 30-Calendar Day submission requirement [[standard spec 109.7](#)].

13. Semi-Final Estimate Issue Resolution

[20 Calendar Days from return of Semi-Final Estimate to the department]

The Project Leader and Contractor will work to resolve any issues related to the Semi-Final Estimate. This should be complete within 20 Calendar Days of the Contractor returning the Semi-Final Estimate to

the department. Following notification from the Project Leader, the Contract Specialist enters the date upon which all Semi-Final Estimate issues are resolved in the “Semi-Final Issues Resolved” field in the Project Tracking system.

14. Final Acceptance

[within 2 days of Semi-Final Estimate Issue Resolution]

Final Acceptance of the project can be issued when the following conditions are met [[standard spec 105.11.2.3](#)]:

- 1) The Project Leader and Contractor have successfully resolved any issues or problems with the Semi-Final Estimate identified by the Contractor.
- 2) The materials certification process is complete.
- 3) The records review process is complete.
- 4) The Payroll Clear Date has been issued.
- 5) The contractor has provided written certification that subcontractors at all tiers have been paid in full for acceptably completed work and that no routine Retainage is being withheld.

The Contract Specialist notifies the Project Leader and Project Manager that the project is ready for Final Acceptance. If the Project Leader and Project Manager concur, then the Contract Specialist enters the Final Acceptance date and “subcontractor final payment certification” date into Project Tracking. The Contract Specialist prepares and sends the Final Acceptance letter to the Contractor and enters the “Final Acceptance to Contractor” date in Project Tracking.

For projects with Contract Items that involve a proving period, Final Acceptance should not be delayed in order to reach the end of a proving period. Final Acceptance should be granted if the above criteria are met even if the proving period is not complete for some items. Issues with Contract Items that involve proving periods should be dealt with as outlined in the contract [[standard spec 646.3.3.4](#)].

15. Final Estimate Approved

[within 2 days of Semi-Final Estimate Issue Resolution]

The last step in the Finals Process for Construction Contract Closeout is to prepare and approve the Final Estimate which confirms final completed contract work and final Contract Item quantities, and releases all Retainage.

After the Project Manager has granted Final Acceptance, the Project Manager directs the Project Leader to create the Final Estimate. The Project Leader creates the Final Estimate in [FieldManager](#)[®]. The Project Manager reviews and approves the Final Estimate and notifies the Contract Specialist. The Contract Specialist prepares and distributes the Completion Certificate to the bonding company, project files, and FHWA (for federal oversight contracts only). The Contract Specialist enters the “Completion Certificate” date into Project Tracking.

APPENDIX A: FORM DT2075 FINAL CONSTRUCTION PROJECT RECORD CHECKLIST



FINAL CONSTRUCTION PROJECT RECORD CHECKLIST

Wisconsin Department of Transportation
DT2075 12/2013

Project files should include official documents, documentation of all approval actions, documentation that fully supports expenditure of fund, documentation of project decisions, and project correspondence *if applicable*, including but not limited to the following:

- As Built Plan (*electronic & hardcopy*)
- Project Diary (*hardcopy & bound*)
- Item History to Date reports (*hardcopy & bound*)
- IDR Summary & Index
- Estimates (*hardcopy*)
- Contract Proposal
- Contract Modifications
- Explanation of Variation
- Weekly Progress Reports (*Working Day Contracts*)
- Contractors Schedule
- Meeting Notes (*precon, weekly, business, etc.*)
- Correspondence Folder (*email, video, pictures, etc.*)
- Design Quality Index
- Notice to Proceed Letter
- Work Suspension, if applicable
- R/W Commitments
- Request to Sublet
- Erosion Control Implementation Plan
- Report of Contractors Performance
- Project Team Evaluation of Contractor
- Contractor Evaluation of Project Team
- Weekly Site Visit/Meeting Reports
- Piling Records & Driving Data
- Haul Road Logs
- Shop Drawings
- Structure clearances
- Sign Bridge Anchor Rod Record
- Odometer Log/ Locating No Passing Zones
- Tie Sheets for Section Corners
- Property Monument Map
- Materials Folder
 - DT1310
 - Soils Report
 - Test Report Record
 - QA/QC Contract Programs
 - Concrete
 - Plant Inspections
 - Scale Checks
 - Delivery Invoices
 - DT2321
- Releases
 - Borrow Pits
 - Waste Sites
 - Stock Pile Sites
 - Haul Roads & Logs
 - Construction permits
 - Shop drawings
- Source Documents:
 - Delivery Tickets
 - Receipts
 - Survey Records
 - Measurements
 - Computations
 - Final yardage sheets
 - Final cross sections
 - CD with Civil 3D for Borrow
 - Buy America Documentation
 - Buy America Certification Form WS 4567
- Backups
 - Email
 - Supporting Documents
 - Pantry
 - FIT
 - Fieldmanager

APPENDIX C: PAYROLL CLEAR DATE PROCESS

When work under the contract is Substantially Complete and as part of the Finals Process, the Region Equal Rights Officer (ERO) will issue a Payroll Clear Date and enter the date in Project Tracking after the following conditions are met:

- Certified Payroll Reports have been entered and approved in the [Civil Rights Compliance System \(CRCS\)](#) for the Prime Contractor and all Subcontractors performing prevailing wage work on the project.
- All labor compliance issues, including formal wage complaints, have been resolved.
- All Prime Contractor, First Tier Subcontractors and DBE payments are entered and confirmed in CRCS as required by [Additional Special Provision 7 \(ASP 7\)](#) Reporting 1st tier and DBE Payments During Construction.
- All TrANS Graduate and TrANS Graduate Apprentice hours reported in CRCS on the TRANS Grad Payroll Report are confirmed and the information provided to the Project Leader for payment under the ASP.1TOG and ASP.1TOA bid items.