Chapter 10 - Contract Completion

1-1000 General

This Chapter contains guidelines that are followed on projects inspected and administered by the Department and its construction engineering and inspection Consultants.

The project inspection staff should begin to prepare for the end of the project as early as possible by completing quantity computations, materials testing, and other administrative requirements shortly after the physical work on an item (or group of related items) is complete in the field. Any problems or deficiencies during item closeout should be noted and resolved while the contractor is still on site. As the work on the project nears completion the requirements to accept the work, including any administrative requirements, should be regularly discussed. A standing item should be included at the job site Progress Meetings to address these issues.

Generally, the following sequence should be followed by projects as they near completion:

- Contractor’s request for semi-final inspection.
- Semi-Final Inspection
- CON-100 Substantial Completion
- Final Inspection
- CON-502s
  - Contractor Certificate of Compliance (CON-502D)
  - Inspector Certificate of Compliance (CON-502B/C)
  - Project Engineers Certificate of Compliance (CON-502A)
- CON-500 (Relief of Responsibility)
- Final Material Certification (and other close-out activity)
- CON-501

These forms shall be included in the Finals Package.

For projects that are administered by municipalities refer to the Municipality Manual and updates.

1-1001 Project Retainage

Project retainage is withheld from the payments due the Contractor in accordance with the terms of the contract. The retained amount protects the Department in the event of a default by the Contractor and can also be used as an offset of various items at the end of the project. The specifications allow for the amount of the retainage to be reduced when in the best interests of the State. Project retainage may only be reduced or released with the approval of the Assistant District Engineer. Each of the following items must be satisfied before considering a reduction in the retained sums held under the contract.

A. The Contractor has earned at least 95% of the revised contract value.
B. The semi-final inspection has been held.

C. The amount of retainage held (after reduction) exceeds the estimated value of all punchlist/corrective work plus the value of any credits or sanctions that might apply to the contract. Including but not limited to: liquidated damages, sanctions (i.e. DBE, SBE, Labor, etc.), quantity or payment adjustment provisions from the Contract, rejected materials, non-compliance notices, punchlist work, and any outstanding credits due the Department.

D. Consent of the Surety has been obtained for any project that the Department has contacted the holder of the Performance Bond as a result of Contractor performance issues.

The District shall be guided by the following requirements (1 thru 5 below) when considering a reduction in retainage. It is not necessary for all projects to follow the four-step progression, but the requirements below must be achieved prior to reduction or release. If the District feels that a lower retainage amount is appropriate, it shall be discussed with the Office of Construction Division Chief or Construction Administrator.

1. The District may reduce retainage to 2.0% when A thru D (above) have been satisfied.

2. When the contract work is substantially complete as defined hereinafter (refer to section 1-1004) and items B thru D have been satisfied, the retainage may be reduced to 1.5%.

3. When the CON-500 has been issued and items C and D have been satisfied, the retainage may be reduced to 1.0%.

4. When the CON-500 has been issued, the apparent final quantities have been reviewed and approved by the District Finals Section, and the Contractor has satisfied all the administrative requirements of the Contract, the retainage may be reduced to 0.5%.

5. When the headquarters final audit is complete, the material certification has been received and all the final papers have been submitted by the Contractor, and items C and D have been satisfied, the remaining retainage may be released.

Refer to 1-905 for further guidance on the reduction or release of project securities/retainage.

1-1002 Opening to Traffic or Occupancy

The Inspector must record the date the project is opened to traffic or occupancy in the job records. On Interstate projects, the Assistant District Engineer must notify the Construction Division Chief of the opening date.

On occasion, the Department and or other interested agencies/parties may want to publicize the opening of a transportation facility to the public. When it is anticipated that a transportation facility, or major portion thereof, will be opened to the public, the District should notify the Office of Construction Liaison Engineer at least 14 days prior to the anticipated opening. Examples of events requiring notification include opening of:

- New or reconstructed roadways
- Additional travel lanes or new operational lanes
- Completed structures
- New or reopened highway ramps
• Facilities reopened after emergency events
• Opening parking, rail or other transportation facilities

Notification should be as far in advance as possible preferably two weeks ahead of the tentative opening date, so that arrangements can be made with the Director of Communications, the FHWA and other interested agencies regarding ceremonies for the opening.

For roadways and bridges, all traffic-control devices must be in place prior to the scheduled opening date—all safety devices installed, all pavement markings in place, and all temporary and permanent signs erected. For other transportation facilities, the facility must be ready and approved for occupancy. If for any reason this work cannot be completed prior to the scheduled opening, the District Office and the Office of Construction Liaison Engineer should be notified immediately and advised of the revised opening date.

1-1002A Post Construction Review

In an effort to improve the quality of the contract documents and to prevent recurring problems on our projects, the Office of Quality Assurance, Constructability Review Unit conducts post construction reviews for all projects. The information obtained is disseminated as “Lessons Learned” semi-annually to the pertinent units throughout the Department.

Shortly before the semifinal inspection or three months prior to the anticipated completion of the project, whichever occurs earlier, a Post Construction Review Form, Figure 1-10.13, will be completed by the Chief Inspector, reviewed by District Management and sent to the Office of Quality Assurance, Constructability Review Unit. They will determine if a formal meeting should be scheduled for the Project to discuss the issues further with the project personnel, including the contractors.

1-1003 Semifinal Inspection

When the project is nearing completion and all structures and other elements of the project have been constructed, the Project Engineer will notify the Transportation Supervising Engineer that the project is ready for a semifinal inspection. The Project Engineer will coordinate with the Transportation Supervising Engineer to determine the date of the semifinal inspection and notify the involved participants. Representatives of the following offices usually participate in the semifinal project review. See Figure 1-10.1 for the list of potential invitees. Projects may vary in scope and additional units or agencies may need to be invited.

• the Contractor
• District Construction
• Traffic
• Highway and Bridge Design
• Environmental Planning
• Surveys and Plans
• Roadside Development
• Maintenance
• Bridge Safety
• Bridge Maintenance
• Highway Operations
• Federal agency on federal-aid projects
• Town officials, if appropriate
• Utility companies, if applicable
Other parties invited to the preconstruction meeting
Other involved parties, if applicable

All details of the work completed to date must be carefully reviewed by the semi-final inspection party to determine the remaining work that must be done by the Contractor to fulfill the obligations of the Contract as well as any extras or additions that may be required to satisfactorily complete the Project.

All findings of the semi-final inspection must be carefully documented. Questions relating to the status or acceptability of the completed work, the work required on the remaining items, and any additional work required should be positively resolved at this time. Should the Design Unit, Bridge Maintenance, Bridge Safety, Traffic, Maintenance, etc. not provide punch list comments during the scheduled semifinal they shall be required to provide their comments within two weeks after the semifinal is held in order to ensure timely completion of the Project. After the project has received all the comments, a letter documenting the semi-final inspection report is sent to the Contractor.

The semi-final inspection of the physical work on the project shall also be a trigger for an assessment of the administrative contract requirements. At the time of the semi-final inspection the Chief Inspector shall complete a review of the project records and provide an assessment to the Project Engineer. The purpose of this assessment is to evaluate the overall condition and completeness of the records and to estimate the work effort required to close out the project. A punchlist of administrative requirements shall be developed at the conclusion of the evaluation of the project records a copy of which shall be provided to the contractor. (See sample transmittal letter in the Approved Forms folder). The Chief Inspector and Project Engineer shall also develop a work plan to complete the administrative requirements of the contract within the closeout period allowed by the Department.

The Chief Inspector will record the dates that the remaining contract work and any corrective work noted on the semi-final inspection report were completed. The Chief Inspector will also notify the Project Engineer when all items noted on the report have been satisfactorily addressed and the Project is ready for a final inspection. A similar tracking procedure should be developed for the resolution of the administrative requirements of the contract.

1-1004 Notice of Substantial Completion and Stopping Contract Time

The project work is considered complete when all items of work under the Contract have been accomplished and all items noted in the semi-final inspection report have been satisfactorily addressed; however, under certain conditions the Project may be deemed substantially complete and the time charges under the Contract stopped in advance of the completion of all aspects of the work. A project may be considered substantially complete when the improvements called for in the Contract are safe and convenient for use by the Department and the Public, and all of the following conditions have been met:

- A semi-final inspection has been conducted documenting all the remaining work required on the Project.
- All traffic lanes including shoulders and ramps are in their final alignment and the final wearing surface has been installed.
- All operational and safety devices have been installed in accordance with the contract documents.
- Only a minor amount of work remains to be completed on the project. The value of the remaining work (contract work plus punchlist work) should be less than one percent (1%) of the total final contract price.
- The incomplete work will not affect the safety or operations of the transportation facility.
- The incomplete work will not affect the terms or conditions of any environmental permits.
The actions required to complete the remaining work will not significantly impact the Public or the operations of the facility.

If all the conditions described above have been met, the Project Engineer should notify the Supervising Engineer that the Project may be substantially complete. The Supervising Engineer will then review the Project and the remaining work. If the Supervising Engineer is in agreement with the Project Engineer’s assessment, then a CON-100, Contract Status Form, will be prepared noting the date on which the Project was substantially completed. Please refer to Figure 1-2.1 of Volume 1, Chapter 2 for a copy of the form. The form must be prepared within 7 days after the date of substantial completion and forwarded to the Assistant District Engineer for signature. The original CON-100 will be signed by the Assistant District Engineer and distributed to all concerned. The Contractor will also be notified by letter of this substantial completion date and be provided a copy of the consolidated Semi-Final Inspection Report. Together these two documents constitute the Notice of Substantial Completion.

1-1005 Final Inspection

When all work on the project is complete and the Contractor requests a Final Inspection, the District will schedule the final or partial final inspection as soon as practical. The Supervising Engineer (or designee) will notify the Liaison Engineer in the Office of Construction of the date to afford them the opportunity to attend the final inspection. The person conducting the inspection will be at the Supervising Engineer level or higher. Upon completion of the inspection, the District will furnish a copy of the inspection report to the Liaison Engineer. If there are exceptions noted at the final inspection, then a subsequent inspection will be scheduled when the exceptions have been addressed. The Chief Inspector will record the dates the remaining contract work or corrective work noted on the final inspection report were completed for inclusion in the Project records. Also after the remaining or corrective work has been completed a supplemental final inspection must be performed and a report prepared. At the Supervising Engineer’s discretion this supplemental may be performed by the Project Engineer.

At the conclusion of the final inspection and after all remaining corrective work has been completed; a final inspection letter will be transmitted to the Contractor. Shortly after the final inspection the Chief Inspector should provide the contractor with a complete list of outstanding administrative items which must be resolved to closeout the contract. This administrative punchlist must be formally transmitted to the contractor and include a deadline for submission of the required information. A sample letter is included in Appendix C.

1-1005A Partial Final Inspection and Partial Relief of Responsibility:

On projects consisting of two or more individual, geographically separated sections of roadways, a final inspection of individual, fully completed sections will be arranged in response to a specific request by the Contractor. A Contractor’s request will only be considered when:

- A significant portion of the work has been completed for which the Department can take unconditional ownership.
- Traffic is in final alignment.
- Subsequent work on the Project will not impact the completed section.
If the Contractor’s request meets the above requirements, then a semi-final inspection as described in Section 1-1002 will be scheduled for that portion of the work. When all work identified in the semi-final inspection has been satisfactorily completed as determined by the Chief Inspector and Project Engineer, then a partial final inspection will be scheduled for the work in question. Upon successful completion of the partial final inspection, the District Engineer will notify the Contractor that the specific portion of work is acceptable and that the Department accepts responsibility for the completed work. The appropriate Department offices including the responsible maintenance officials (municipal or state), the Bridge Safety and Evaluation Unit, and the Office of Construction shall be copied on this relief of responsibility letter. Such partial acceptance of the work does not affect any other requirements governing the completion and acceptance of the Contract as a whole.

1-1005B  Semifinal and Final Pavement Inspections

Semi-final pavement inspections and final pavement evaluations are required on all projects that have 2,500 tons or more of final course, which include final courses made up of multiple lifts of the same class of material. These inspections can, however, be performed on any project the District deems appropriate. The Pavement Advisory Team (PAT) will perform the semi-final pavement inspections and final pavement evaluations with the assistance of the Project Engineer and/or the Chief inspector.

All required corrections are the contractor’s responsibility, and no payment should be made for the material, labor and equipment used.

See Figures 1-10.10a and 1-10.10b for sample Final Pavement Evaluation Report.
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<td>*Full Federal Over-sight only.</td>
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<td>F.A.P. Rail Projects</td>
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<td>FAA – Division Administrator</td>
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<td>F.A.P. Airpots Projects</td>
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<td>cc: Engineering Administrator on all Semi-Final Inspection Reports (CA 25-96)</td>
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<td>cc: Engineering Administrator on all Semi-Final Inspection Reports (CA 25-96)</td>
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<td>PROPERTY AND FACILITIES SERVICES – Director</td>
<td>X</td>
<td>Facilities Construction</td>
</tr>
<tr>
<td>OCCUPYING UNIT / AGENCY – Representative</td>
<td>X</td>
<td>Facilities Construction</td>
</tr>
<tr>
<td>OFFICE OF CONSTRUCTION – Administrator, Manager, TSE (Facilities)</td>
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<td>Facilities Construction</td>
</tr>
<tr>
<td>TRAFFIC ENGINEERING – Manager</td>
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<td></td>
</tr>
<tr>
<td>ENVIRONMENTAL PLANNING – Director</td>
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<tr>
<td>CONTRACT COMPLIANCE – Director</td>
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<td>OFFICE OF MAINTENANCE – Maintenance Operations Principal Engineer</td>
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<td>BRIDGE MAINTENANCE</td>
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<tr>
<td>BRIDGE SAFETY</td>
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<td>Bridges and New Overhead Signs (CA 6-96)</td>
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</tr>
<tr>
<td>LOCAL AUTHORITIES</td>
<td>X</td>
<td>Facilities Construction</td>
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<td>CONTRACTOR/SUBCONTRACTOR</td>
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<td>PAVEMENT ADVISORY TEAM</td>
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<td>Also Final Pavement Evaluation required – 2,500 tons or greater surface course</td>
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</table>
Figure 1-10.2A  Certificate of Compliance – Project Engineer (CON-502A)

CON-502A REV. 10007
STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION
CERTIFICATE OF COMPLIANCE

Project No: ________________
Project Location: ________________
Project Name: ________________

This is to certify that to the best of my knowledge, information and belief, the completed Project, as identified above, has been constructed in substantial compliance with the Contract plans, specifications and all approved Change Orders.

DOT Project Engineer:

__________________________
Signature

__________________________
Print Name

__________________________
Title

__________________________
Date
Figure 1-10.2B Certificate of Compliance – DOT Inspector (CON-502B)

CON-502B REV. 10/07
STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION
CERTIFICATE OF COMPLIANCE:
STATE INSPECTION

Project No: ___________________
Project Location: ______________
Project Name: ________________

This is to certify that to the best of my knowledge, information and belief, the completed Project, as identified above, has been constructed in substantial compliance with the Contract plans, specifications and all approved Change Orders.

DOT Inspector:

Signature

Print Name

Title

Date
Figure 1-10.2C Certificate of Compliance – Consultant Inspector (CON-502C)

CON-502C REV. 19/07
STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

CERTIFICATE OF COMPLIANCE:
CONSULTANT INSPECTION

Project No: ____________________
Project Location: ____________________
Project Name: ____________________

This is to certify that to the best of my knowledge, information and belief, the completed Project, as identified above, has been constructed in substantial compliance with the Contract plans, specifications and all approved Change Orders.

Consultant Inspector:

______________________________
Signature

______________________________
Print Name

______________________________
Date

______________________________
Name of Firm

Sworn and subscribed by me on this ___________ day of ____________, 200__.

______________________________
Commissioner of the Superior Court/Notary Public
Figure 1-10.2D Certificate of Compliance – Contractor (CON-502D)

CERTIFICATE OF COMPLIANCE

Project No: ____________________________
Project Location: ____________________________
Project Name: ____________________________

This is to certify that to the best of my knowledge, information and belief, the completed Project, as identified above, has been constructed in substantial compliance with the Contract plans, specifications and all approved Change Orders.

General Contractor:

Signature ____________________________

Print Name ____________________________

Title ____________________________

Name of Company ____________________________

Date ____________________________

Sworn and subscribed by me on this ______ day of ________, 200__.

______________________________
Commissioner of the Superior Court/ Notary Public
1-1006 Final Certifications and Acceptance of the Work

Upon completion of the project, the applicable Certificate of Compliance Statement must be completed and incorporated into the project records. One form must be completed and signed by each of the following: Project Engineer (CON-502A), Chief Inspector (State Inspected) (502B), the Resident Engineer or Project Manager (Consultant Inspected) (CON-502C), and the Contractor’s Project Superintendent or other authorized representative (CON-502D). (Refer to Figures 1-10.2A, 1-10.2B, 1-10.2C and 1-10.2D).

1-1007 Termination of Contractor's Responsibilities and Certificate of Acceptance of Work

The construction work is considered completed when the final inspection has been held, any additional work and the final cleanup have been completed, and all equipment has been removed from within the project limits. When these requirements have been met, the Transportation Supervising Engineer will have the prescribed Certificate of Acceptance, Form CON-500 prepared, and forward it to the District Engineer for signature. The CON-500 is then sent to the Construction Division Chief for final approval. Form CON-500 is shown in Figure 1-10.3. The form must clearly identify all sections of roads or transportation facilities covered by the Contract, as well as all bridges or structures and the maintenance responsibility. If the road is town-maintained, all agreements covering the work (type and date) must be recorded on the CON-500. The Office of Construction will forward the signed Certificate of Acceptance to the Contractor. On projects owned or maintained by a municipality, a copy of the CON-500 should also be forwarded to the designated Municipal Official of the municipality.

1-1008 District and Headquarters Final Review

The District is responsible for ensuring that all final estimates are reviewed to ensure that all source documentation has been compiled in accordance with the Construction Manual and other pertinent directives and that all pay quantities have been measured and paid for in accordance with the Standard Specifications or special provisions of the Contract. The District will conduct sufficient review of the project records to ensure that these requirements have been complied with.

Once the District review of the project records is complete the records will be forwarded to the Office of Quality Assurance for a Headquarters Final Review. Guidelines for performing a Headquarters Final Review of the project records are contained in Volume 1, Chapter 11. The Chief Inspector and Project Engineer are responsible for resolving any problems or deficiencies noted in the report of the Headquarters final review. Any corrections to the project records shall be completed and noted in a response to the Office of Quality Assurance.

Once the final quantities and payments under the contract have been determined, the Chief Inspector should compile a list of any administrative items in the contract that have not been satisfied. A letter should be drafted for the Supervising Engineer’s signature and sent to the Contractor describing the remaining administrative requirements. A deadline should be provided for resolving the remaining issues. If the Contractor fails to meet the prescribed deadline, the ADE should follow up with a letter notifying the Contractor of the manner in which the matter will be resolved (unless the Contractor provides the necessary information). The District Engineer should be notified whenever unilateral actions are required by the District to close out a project.
1-1009 Checks to Final a Project

The timely close out of Department contracts is an important part of project activities and is necessary for a project to be considered a success. The Chief Inspector and Project Engineer should work closely with the District Finals section to complete all the necessary project closeout tasks and coordinate the archiving of project records.

The following are some important points or milestones in closing out a project.

- Records of daily cost-plus work must be checked to the satisfaction of the examiner. Particular attention must be directed to the labor and equipment rates, taking of discounts when available, insurance rates, and taxes on labor. The receipted bills must be checked and correspond with the Daily Reports of Cost Plus. When found satisfactory, the Daily Reports of Cost Plus, receipted bills, equipment rate sheets and representative copies of payrolls are retained in a Volume III book.

- When all deficiencies from the District and Headquarters Final Reviews have been resolved the Contractor should be notified of the “apparent final quantities” for the project.

- A Final Material Certification must be requested from Research and Materials as soon as final quantities have been established. To accomplish this, the District will forward to the Division Chief of Research and Materials, copies of the Federal Voucher Report and the summary of all nuclear density compaction reports. A form for summary of nuclear density reports can be found in the Construction Manual Approved Forms folder (DensitySummarySheets).

- The final Federal Voucher must be checked in its entirety with the original Contract and all Construction Orders to ensure that the final quantities are correct and in order. When checked, the final estimate is initialed by the checker just above the “Examined and Checked” box.

- Contractor Evaluation forms are required for the prime and all subs. See Section 1-1016 for more information.

- The Statement of Working Days, as submitted in detail on the Construction Report, must be carefully checked with existing office records. See Figure 1-10.4a & b.

- The Construction Report is checked for accuracy, completeness and signatures. All lengths of projects are given in horizontal measurements. If found correct, the Construction Report is initialed in the upper left-hand corner.

  - Under “Work Done by Others” in the Construction Report, show the division doing the work with a brief description, service order numbers, and stores requisition numbers. Examples are:
    - “Maintenance forces,”
    - “Materials Furnished by State—SR-G 18632, SR-G 35678,” and
    - “Transfer of Materials—TV-18610, TV-26783.”

  - If the work is performed by subcontractors of utility companies, list the companies and describe the work.

  - Confidential information of value to the Contracts Section in prequalification should be excluded from the Construction Report and should be made available in a separate confidential memorandum.
• The Index of Construction Orders must be checked with the Orders on file.

• A Cost Overrun Report, Figure 1-10.9, must be completed, when necessary, and transmitted to the Office of Construction. This report can be SiteManager generated as long as paragraph classifications were consistently applied and are the same as those shown in the figure.

• As-built drawings are complete and returned to archive storage.

The District Finals Section must maintain a log of all projects in the process of being closed out. The log should show the status of each project and identify the remaining tasks required to close out the contract. The Chief Inspector must therefore coordinate all project closeout activities with both the Project Engineer and the District Finals Section.

1-1010 Final Estimates

The District processes the final estimate to release retainage and any other withholdings, if the releases are authorized. The releases can be made on the semifinal estimate. In most cases, final estimates are zero estimates—they include no payments to Contractors. Once the final payment estimate has been processed, the project is ready to be processed for acceptance.

If the final estimate involves a payment to the Contractor, the final estimate must be processed by the District within six weeks after the District establishes the acceptance date. This allows two weeks for processing payments to the Contractor. Final estimates submitted after the six-week period must contain a full explanation of the delay.
Figure 1-10.3 Certificate of Acceptance of Work (Form CON-500)

CERTIFICATE OF ACCEPTANCE OF WORK

CON-500

STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION
Bureaus of Engineering and Highway Operations

FEDERAL AID PROJECT NO(S):  

STATE PROJECT NO(S):  

DESCRIPTION OF CONTRACT

TOWNS:

NAME OF HIGHWAY / ROUTE NO:

BEGINNING AT (Specific Location - No Station Nos.)

ENDING AT (Specific Location - No Station Nos.)

TO CONTRACTOR (Street Address Only - No PO Boxes)

FINAL INSPECTION DATE

TYPE OF IMPROVEMENT

DISTRICT ENGINEER

MUNICIPAL OFFICIAL  
(Signature in BLUE Ink)

TYPE NAME AND TITLE  
(UE - Name Only)  

DATE

THE ABOVE DESCRIBED WORK IS HEREBY ACCEPTED AS OF

The transfer of improvement —

BY CONSTRUCTION DIVISION CHEF  
(Signature in BLUE Ink)

NAME

Mark D. Rolfe, PE

DATE

CUT LINE

Instructions:

Addresses:
Include street addresses - not PO Boxes.

If municipal project, provide the mailing (street) address below for the municipal official who signed the CON-500, and include this with the CON-500 submitted to Office of Construction:

Location:
BEGINNING AT / ENDING AT
Include a physical description in addition to available Milepoints - Do NOT use stations.

EX: 1

EX: 2

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<td>MP 0.4</td>
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</tr>
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</table>
1-1011 Acceptance of Contract

The Contract may be accepted when the work on the project is completed, the construction signs are removed, and all supporting information, reports and forms are submitted and accepted within established Department procedures.

The following items should be initiated or completed before acceptance of the project is considered:

- All contract work has been completed and Certificate of Acceptance of Work (CON-500) has been issued.
- Headquarters final review (completed);
- Final Change Order (processed);
- Final Estimate (initiated);
- All reports and forms required on federal-aid projects (completed);
- The Final Materials Certificate has been issued;
- The correct submission of all documents required under the terms of the Contract;
- All other contract requirements have been satisfied or resolved (e.g. contract time, DBE set-aside goals, etc.)
- Warranty requirements are met (i.e. all terms and conditions of the warranty must be satisfied). If the project includes an extended warranty that would delay acceptance of the project, the District should notify the Office of Construction.

The Certificate of Acceptance of Project, Form CON-501 shown in Figure 1-10.4, and transmittal letter to the Contractor is prepared in the District Office within 30 days of the Contractor completing all of the contractual requirements. All copies are sent to the Office of Construction for signature by the Construction Division Chief. Normally, the final package documents should be complete by this time; if not, the District still must send the transmittal memorandum for the final packet. This memorandum must identify the missing items and provide an explanation and probable date the items will be forwarded. The Office of Construction will complete the Form CON-501 and send it to the Contractor via letter. The acceptance date is recorded in the Office of Construction’s “Contract Record Database.”

1-1012 Final Papers

To finalize a project, a final package must be put together and forwarded to the Office of Construction. Figure 1-10.5 shows the transmittal memorandum that is used to forward these documents.

The final submittal requirements for each category of project are shown in Figure 1-10.6. The table lists the number of copies that are required to be forwarded to the Office of Construction with the Final Transmittal Memorandum for each category of project listed. For Projects that do not fall into any of the listed categories or those projects that have multiple categories, contact the Office of Construction to determine the number of copies required for each document.
1-1013 Submission of Final Documents to Other Offices and Agencies

For all projects with FHWA funding, the Federal Billing Unit and FHWA Connecticut Division need to be notified when all final paperwork supporting documents have been completed; and for all projects with FAA funding, the Bureau of Aviation and Ports needs to be notified. Shortly after the Certificate of Acceptance of Project, CON-501, is signed by the Construction Division Chief and all supporting documents have been received by the Office of Construction, the Fiscal Administrative Officer prepares correspondence transmitting the documents. Figure 1-10.11 and Figure 1-10.12 are samples of the memorandum sent to the Federal Billing Unit and letter sent to the FHWA Division Administrator when FHWA funding is involved. A memorandum similar to the one shown in Figure 1-10.11 is sent the Bureau of Aviation and Ports when FAA funding is involved.

**Figure 1-10.4 Certificate of Acceptance of Project (Form CON-501)**

<table>
<thead>
<tr>
<th>DESCRIPTION OF CONTRACT</th>
<th>TOWN(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NAME OF HIGHWAY / ROUTE NO.</td>
<td>BEGINNING AT (Specify Location - Mile Station No.)</td>
</tr>
<tr>
<td>ENDING AT (Specify Location - Mile Station No.)</td>
<td></td>
</tr>
<tr>
<td>TO CONTRACTOR (P.O. Box Only - No PO Boxes)</td>
<td>DATE OF AWARD</td>
</tr>
<tr>
<td>TYPE OF IMPROVEMENT</td>
<td>DATE WORK ACCEPTED</td>
</tr>
<tr>
<td>STATE OF CONNECTICUT</td>
<td>STATE PROJECT NO(S):</td>
</tr>
<tr>
<td>DEPARTMENT OF TRANSPORTATION</td>
<td>FEDERAL AID PROJECT NO(S):</td>
</tr>
<tr>
<td>BUREAU OF ENGINEERING AND HIGHWAY OPERATIONS</td>
<td></td>
</tr>
</tbody>
</table>

All work and administrative requirements under the above described contract have been completed in accordance with the plans, specifications, and special provisions of the contract, and is recommended for acceptance in fulfillment of the terms of said contract.

**THE ABOVE DESCRIBED PROJECT IS HEREBY ACCEPTED AS OF**

\[ 	ext{Signature in BLUE Ink} \]

**Instructions:**

- Include street addresses - not PO Boxes
- If municipal project, provide the mailing (street) address below for the municipal official who signed the CON-501, and include this with the CON-501 submitted to Office of Construction.

**Location:**

BEGINNING AT / ENDING AT

Include a physical description in addition to available Milepoints - Do NOT use stations

<table>
<thead>
<tr>
<th>EX 1</th>
<th>EX 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>BEGINNING AT: East Main Street</td>
<td>BEGINNING AT: East Main Street</td>
</tr>
<tr>
<td>SCHOOL STREET</td>
<td>@ Harris Hill</td>
</tr>
<tr>
<td>ENDING AT: MP 61</td>
<td>ENDING AT: MP 61</td>
</tr>
<tr>
<td>H-61 @ EX 3</td>
<td>H-61 @ EX 6</td>
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<tr>
<td>H-91 @ EX 3</td>
<td>MP 25.4</td>
</tr>
<tr>
<td>BR. 1334</td>
<td></td>
</tr>
</tbody>
</table>

Revised 1/22/0006

Mark D. Rolfs, PE

---

Volume 1  
Contract Completion  ver. 2.2 (Aug 2010)  
1-10.17
**Figure 1-10.5 Final Transmittal Memorandum**

| STATE OF CONNECTICUT | subject: Project No.  
<table>
<thead>
<tr>
<th>DEPARTMENT OF TRANSPORTATION</th>
<th>F.A.P. No.</th>
</tr>
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</table>

<table>
<thead>
<tr>
<th>memorandum</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>date:</th>
</tr>
</thead>
</table>

| Mr. Mark D. Rolfe |
| Construction Division Chief |
| Bureau of Engineering and Highway Operations |

| From: Bureau of Engineering and Highway Operations |

---

**FINAL PACKAGE -- SUPPORTING DOCUMENTS CHECKLIST**

Directions: Check off all supporting documents in the appropriate box.

- [ ] Contract Status (CON-100)
- [ ] Construction Report
- [ ] Index of Construction Orders
- [ ] Final Construction Order
- [ ] Materials Certificate (Federal and State Projects)
- [ ] Final Estimate (Signed and Dated)
- [ ] Final CLA-3
- [ ] Certificate of Compliance (CON-502 A)
- [ ] Certificate of Compliance: State Inspection (CON-502 B)
- [ ] Certificate of Compliance: Consultant Inspection (CON-502 C)
- [ ] Certificate of Compliance (CON-502 D)
- [ ] Federal Voucher Report
- [ ] Credits Due State (Audit Request)
- [ ] Headquarters Final Review Report of Project Records and the No Further Action Necessary Memo
- [ ] Final DBE or SBE Participating Report (Form 88-1)
- [ ] Certificate of Acceptance of Work (CON-500)
- [ ] Certificate of Acceptance of Project (CON-501)
- [ ] Time Extension(s)
- [ ] Financial Summary Checklist
- [ ] Project Cost Overrun Report (If final cost exceeds the original bid by 10% or more.)
- [ ] Pavement Evaluation (Greater than 2500 MT or tons of top course HMA)
- [ ] Letter from Force-Account Contract Holder or Agreement Holder, accepting all materials incorporated into the Contract, if applicable.
- [ ] Final Contractor Evaluations for Prime and Subcontractors
- [ ] CLAIM (Check this if a Claim is pending.)
### Figure 1-10.6 Table for No. of Attachments for Final Transmittal Memorandum

<table>
<thead>
<tr>
<th>Category</th>
<th>FHWA Funded Projects</th>
<th>FHWA Funded Projects (Federal Oversight)</th>
<th>State Funded Projects</th>
<th>State Funded Projects - Municipal</th>
<th>Airport Projects (State Funds)</th>
<th>IST Building and Maintenance Facility Projects</th>
<th>Emergency Project (State Funds)</th>
<th>Rail Projects by Contract - Vertical (all)</th>
<th>Force Account Projects (Municipal or 3rd party - all)</th>
<th>Emergency Project (Federal Funds) - Federal Oversight</th>
<th>Airport Projects (Federal Funds)</th>
<th>Force Account Projects (Rails - all)</th>
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<tr>
<td>Letter accepting all materials incorporated into the project (from Municipality or third party)</td>
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</tr>
</tbody>
</table>

Note: The table shows the number of copies that are required to be forwarded to the Office of Construction with the Final Transmittal Memorandum for each category of project listed. For projects that do not fall into any of the categories listed or those projects that have multiple categories, contact the Office of Construction to determine the number of copies required for each document.

* Case 2 projects only.
Figure 1-10.7a Construction Report

Construction Report

Project No:  District #

FAP No:

Description of Project:

Contractor:
(name/address)

Road(s):

Bridge(s):

Contractor Ordered to Start On:
Contractor Started:
Contractor Completed:

Original Calendar Days:
Revised Contract Increase:
Time Extension Granted:

Total Days Elapsed (excluding winter
  Shutdowns – if applicable):

Last D.W.R.  Date:  Number:

# of Days Suspended:  Date Suspended:  Date Resumed:

Date Road Closed to Traffic:  Date Road Opened to Traffic:

Total Calendar Days Allowed:
Total Calendar Days Used:

Liquidated Damages Assessed:
(days x dollars =)

DBE or DOL Sanctions:
(money value)

Reason for Sanction/Liquidated Damages:
Construction Report
Page 2

Changes Made:
Design Changes:
Drainage Changes:

Difficulties Encountered:

Work Done by Others:
(List Subcontractors & Work Performed)

Credits Due State:

Conn. DOT Project Engineer(s):

Resident and/or Chief Inspector(s):
Employed by:

Consultant Firm:

_________________________________________  ____________
Assistant District Engineer                  Date

(Attach additional sheets if necessary)
Figure 1-10.8 Financial Summary Checklist

Financial Summary Checklist
Contract No. _____________

Project No. _____________
FAP No. _____________

<table>
<thead>
<tr>
<th></th>
<th>Part.</th>
<th>Non-Part.</th>
<th>Total</th>
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</thead>
<tbody>
<tr>
<td>Federal Voucher Report</td>
<td>$______</td>
<td>$______</td>
<td>$______</td>
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<tr>
<td>Final Construction Order</td>
<td>$______</td>
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<tr>
<td>Final Estimate</td>
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<tr>
<td>Const. Unit Summary Total</td>
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Project No. _____________
FAP No. _____________

<table>
<thead>
<tr>
<th></th>
<th>Part.</th>
<th>Non-Part.</th>
<th>Total</th>
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<tbody>
<tr>
<td>Federal Voucher Report</td>
<td>$______</td>
<td>$______</td>
<td>$______</td>
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<tr>
<td>Final Construction Order</td>
<td>$______</td>
<td>$______</td>
<td>$______</td>
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<td>Final Estimate</td>
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</tr>
<tr>
<td>Const. Unit Summary Total</td>
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<td></td>
<td>$______</td>
</tr>
</tbody>
</table>

Combined Project Total (if applicable) $______

The purpose of this checklist is to be sure all Final Document Totals agree with each other and with the Construction Unit Summary.

This form is to be used for State funded projects as well as Federal funded projects.

If the project is 100% State funded, disregard the FAP No. item and the Federal Voucher Report item.

ALL figures should agree.
ConnDOT  
Office of Construction  
Project Cost Overrun Report

Report Type: Annual _____ Year _____ Final ________

Project Number: _______________________ District: _______

Project Description: (i.e. Resurfacing and Safety Improvements including bridge rehab, traffic signals, etc.)

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>DESCRIPTION</th>
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<tbody>
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<td>Unforeseen Conditions:</td>
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<td>Change in Scope:</td>
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<td>Contract Revisions:</td>
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<td>Quantity Adjustments:</td>
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<tr>
<td>Other Adjustments:</td>
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</tbody>
</table>

* See Construction Manual Section 1-807 for definitions of categories.

Submittal Requirements:

**Annual** – Required prior to February 1st for any active project where estimated final construction costs exceed original bid by more than ten (10) percent for the previous calendar year.

**Final** – Required when final construction costs exceed original bid by more than ten (10) percent. Submittal required within 30 days of initiating final construction order.

Rev. 10/4/07
Figure 1-10.10a Pavement Evaluation Form

Unit 592 PAT                                      Rev.6/09

Note: This report is required for all projects with a top course of 2,500 tons or more.

FINAL PAVEMENT EVALUATION REPORT

District No.  Project No.  Route/Town:  

Project Engineer:  Chief Inspector: 

Pavement Information (Top Course)

Paving Contractor:  Class:  Depth:  

Date Started:  Date Completed:  

Plant(s) used:  Drum  Silo Used?  

Batch  Silo Used?  

Dates of evaluation:  Reviewer(s):  

Pavement Rating System: 1= Excellent  2= Good  3= Fair  4= Requires Repair*

<table>
<thead>
<tr>
<th>Rating</th>
<th>Remarks</th>
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</thead>
<tbody>
<tr>
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<td></td>
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<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
</tr>
</tbody>
</table>

A. Pavement Appearance (overall)

1) Segregation (Rating of 1 = none or minimal)  Check next to type, if present:  Truck End  Centerline  Joint/Edge  Random

2) Surface Appearance (overall)  Check next to type, if present:  Shadows (center/outside)  Cracks  Flushing  Rutting  Roller marks/lines  Screed marks/lines  Fuel/solvent spills  Non-uniformity

3) Joint Construction (overall)  note excessive handwork, bump, cracks, etc.  Transverse (excessive handwork, bumps, etc)  

4) Rideability (overall)  Transfer Device Used?  

B. Other Problems Encountered – Circle examples

1) Mix condition:  Overheated / Cold / Dry / Tender (cracks when rolled) / Bleeding / difficult to compact / Inconsistent-nonuniform

2) Was any paving done during:  Rain / Cold (under 40F or 10c) / Surface damp or wet

3) Compaction/Density:  Difficult / Easy to achieve

4) Paving Delays due to:  Insufficient Equip. / Equip. Breakdown / Plant Breakdown / Traffic / Waiting for Trucks

* If repairs are required has the contractor been notified?
Figure 1-10.10b Pavement Evaluation Form (continued)

Unit 590- PAT  
Rev. 6/03

**Note:** This report is required for all projects with a top course of 2,500 tons or more.

**Additional Comments:**

Submitted By: __________________________

Approved By: __________________________

Cc:
STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

Memorandum

To: Federal Billing Unit
   Bureau of Finance and Administration

From: Transportation Engineer 2
   Bureau of Engineering and Highway Operations

Subject: Construction Activity Closeout
Supporting Documents

Attached for your information and further processing are the following supporting documents:
CON-13 or CON-501 (Certificate of Acceptance); Construction Report and Federal Voucher:

<table>
<thead>
<tr>
<th>Project No.</th>
<th>F.A.P. No.</th>
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<tbody>
<tr>
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</tr>
</tbody>
</table>

Please acknowledge receipt of the documents indicated above by signing and returning the attached copy of this memorandum.

_______________________________     __________________________
John E. Ryng                            Date

Attachments
SMO/smo
cc: Office of Construction File
Federal Billing File
Const Activity Memo
Figure 1-10.12 Sample Letter to FHWA Division Administrator

(860) 594-2660

(Date)

Division Administrator
Federal Highway Administration-Connecticut Division
628-2 Hebron Avenue, Suite 303
Glastonbury, Connecticut 06033-5007

Dear Mr. __________________________:

Subject: Project No. __________________
Submission of Final Documents

We have attached the final documents for the subject project. Please provide this office with confirmation that these documents are acceptable. If we do not hear from you in the next 60 days, we will close out the project and archive the records.

Very truly yours,

Construction Division Chief
Bureau of Engineering and Construction

Attachments: Construction Report
Final Construction Order*
Final Materials Certificate*
Final Quantity Report*
Federal Voucher Report*
Final DBE or SBE Participation Report*
Certificate of Acceptance of Work*
Certificate of Acceptance of Project*

* Full Oversight Projects Only

1-1014 Consultant-Inspected Project

After the construction work is completed on a consultant-inspected project, the Consultant is required to complete all inspection-related paperwork and administrative requirements before the Consultant's personnel are released from the Project. The District should ensure that sufficient staff is maintained by the Consultant at the site to complete the paperwork within a reasonable time—generally, 30 to 60 days after completion of the work.
If, upon completion of all paperwork, it is not possible to process the final Construction Order or final estimate because of outstanding corrective work and administrative submittals from the Contractor, the District may deem it in the State's interest to terminate the Consultant’s contract and complete the remaining processing with State forces. When this is the case, the project records should be examined by the District, and the Consultant should make any necessary corrections before being released from the project. Consultants do not have to stand by on a project while the audit is prepared, but they must be available when requested to correct any errors or omissions.

Consultants must complete all project-related paperwork before they are released from their responsibilities under the Consultant agreement.

Consultant Evaluations are discussed in Volume 1 Chapter 17.

1-1015 Storage of Revised Plans and Notebooks

As soon as the project is complete, the Chief Inspector must put together a complete set of white paper tracings with all as-built information compiled during the project and have prepared a complete set of as-built Mylar drawings for the project. The revised plans and cross-section tracings are then sent to the Map File Room. Refer to Section 1-329 ‘Final Revisions of Plans and Cross Sections (As-Builts)’ for revision requirements. For Consultant inspected projects, the Consultant is responsible for preparing the as-built mylars.

The Inspectors' notebooks and all supporting project records are stored in an approved, safe and secure area at the District Office until arrangements can be made for storage at the Department of Transportation Records Center or archive storage at the District Office.
### POST CONSTRUCTION REVIEW FORM

(Please use additional pages if necessary)

***Statements must include facts and information already incorporated into the contract documents and records. Do not include any opinions or personal remarks,***

<table>
<thead>
<tr>
<th>Project Number:</th>
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<tr>
<td>Description:</td>
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| Original Contract Value: | ________________ |
| Current Revised Contract Value: | ________________ |
| Contract Completion Date: | ________________ |
| Estimated (Revised) Completion Date: | ________________ |

#### CONTACTS

- Transportation Engineer 3: ____________________________
- Chief Inspector: ____________________________
- Consultant Inspection Firm (If applicable): ____________________________
- Designer: ____________________________
- Consultant Design Firm (If applicable): ____________________________

#### Major Project Issues

(Including but not limited to cost overruns, design revisions, traffic impacts, environmental impacts, quantity estimates, completeness of the contract documents)

| __________________________________________________________________________ |
| __________________________________________________________________________ |
| __________________________________________________________________________ |

#### Project Positives

(Including but not limited to construction methods, new products, quality of the contract documents, traffic conditions, constructability, maintainability, appearance, function)

| __________________________________________________________________________ |
| __________________________________________________________________________ |
| __________________________________________________________________________ |
| __________________________________________________________________________ |
| __________________________________________________________________________ |
### Project Negatives
(Including but not limited to construction methods, new products, quality of the contract documents, traffic conditions, constructability, maintainability, appearance, function)

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### Suggestions for Improvement

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Submitted By: ________________________________
Reviewed By: ________________________________

(To be filled by Constructibility Review Unit Personnel):

Reviewed By: ________________________________
Follow up meeting: _______ Recommended ________ Not recommended

### 1-1016 Contractor Evaluations

Each District evaluates the performance of all prime contractors with active projects in the District, annually and at the completion of each project. Subcontractors are evaluated only at the completion of each project. The evaluation is prepared by field personnel on each project, preferably the Resident Engineer or Chief Inspector with input from the Sub inspectors and District support staff. It is then reviewed and signed by the Project Engineer. A sample Contractor Performance Evaluation Rating is shown in Figure 1-10-14. Review parameters are outlined with the form in the Approved Forms folder.
Interim ratings shall be performed by District Personnel for substandard contractor performance on a project. Interim ratings may also be requested by the Office of Construction, the Office of Contracts or at the discretion of the District field personnel.

A final rating is used to evaluate a prime contractor’s or subcontractor’s overall performance on a completed project.

The annual review covers the period from January 1st through December 31st. A copy of the rating is sent to the Construction Division Chief no later than the 15th of January. A copy of the final ratings shall be included in the finals package forwarded to the Office of Construction. In addition to sending a copy of the annual and final rating to the Office of Construction, a copy of the rating is to be sent to the Contractor being evaluated. Copies of subcontractor ratings are not to be sent to the prime contractor unless requested by the prime. Interim ratings shall be forwarded to the contractor evaluated after Department processing by the Office of Construction.

Persons taking responsibility for rating a contractor should take the time to prepare a complete and accurate evaluation. This may be a composite effort between the project and district staff. The quality of work and workmanship are to be considered for all aspects of the work, including the administrative requirements of the project.

The reviewer is encouraged to include comments pertinent to the ratings given especially if those ratings are at the extreme high or low end of the scale. Some examples of valuable comments are as follows:

- Project staff needs little to no supervision in order to operate on a day to day basis.
- Contractor’s staff anticipates constructability issues prior to the construction schedule.
- Coordination with the City has been a balancing act.
- Contractor handled I-95 SB lane shift well as it entailed four lanes of over two miles of highway to be shifted.
- Timely ordering of catch basin risers may have prevented delays.
- Certified payrolls not received for last 3 months of project.

These forms from all Districts are compiled and the five (5) year average is used to determine an overall, representative rating for each Contractor. They are used by the Department when determining the qualification of contractors, as well as responsibility issues. The Office of Construction provides the five year average to the Office of Contracts and other interested units or agencies as requested.

If any annual project or overall project rating is at or below a 2.0, the Office of Construction sends a memorandum to the District requesting that the District meet with the firm to discuss the problems or deficiencies noted on the review.

If the five-year average rating is at or below a 2.5, the Office of Construction sends the firm a letter (copy the Office of Contracts), noting that their performance was lacking in certain areas and that they need to improve on future projects.

If the five-year average rating is at or below a 2.0, the Office of Construction sends the firm a letter (copy the Office of Contracts), putting the firm on notice that the firm is at risk of being found non-responsible. A finding of non-responsibility may impact a firm’s future ability to be awarded work on Department projects.
**CONTRACTOR PERFORMANCE EVALUATION RATING**

<table>
<thead>
<tr>
<th>Category</th>
<th>Average Rating</th>
<th>Weight Factor</th>
<th>Average Rating x Weight Factor</th>
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<tbody>
<tr>
<td>A</td>
<td>4</td>
<td>0.25</td>
<td>1.00</td>
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<tr>
<td>B</td>
<td>1.00</td>
<td>0.25</td>
<td>0.25</td>
</tr>
<tr>
<td>C</td>
<td>4.00</td>
<td>0.20</td>
<td>0.80</td>
</tr>
<tr>
<td>D</td>
<td>4.00</td>
<td>0.15</td>
<td>0.60</td>
</tr>
<tr>
<td>E</td>
<td>2.00</td>
<td>0.15</td>
<td>0.30</td>
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<tr>
<td><strong>Overall Performance Rating</strong></td>
<td><strong>2.95</strong></td>
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### Numerical Rating Scale

#### A. Quality of Work:
1. Quality of Prime/Sub Contractor's work
   - Including work performed by Subcontractors
   - Average Rating for Category A: 4

#### B. Performance of Work:
1. Adherence to Contract Specifications & Plans
   - Average Rating for Category B: 1.00
2. Compliance with Limits of Operations
3. Timely response to Field Directives
   - Average Rating for Category C: 4.00
4. Compliance with Maintenance & Protection of Traffic
   - Average Rating for Category D: 4.00
5. Timely submission of shop drawings
   - Average Rating for Category E: 2.00

#### C. Adherence to Project Schedule:
1. Adequate Equipment to Perform Work
2. Timely ordering of material
3. Timeliness in addressing Punch List
4. Adequate Starting of Job
5. Timely Notification of Possible Delays
   - Average Rating for Category F: 2.00
6. Timely submission of shop drawings

#### D. Implementation of Federal, State and Local Policies, Procedures and Regulations:
1. Compliance with Environmental Requirements
2. Prompt Payment to Subcontractors/Supplies
3. Compliance with Labor Standards
4. Compliance with AA/EEOC Requirements
5. Compliance with DBE/BE Requirements
6. Compliance with Training Requirements
   - Average Rating for Category G: 4.00

#### E. Procedural/Administrative
1. Quality of Supervisory Personnel
2. Relationship with Subcontractors
3. Cooperation with Other Contractors
4. Quality of Housekeeping, Job Cleanliness
5. Cooperation with Field Engineer,
   - Authority Personnel, Consultant
6. Attendance at Job Meetings
7. Timely Submission of Reports/IAA/Reports etc
8. Knowledge of Department Standards
9. Knowledge of Work Performed
   - Average Rating for Category H: 2.00

Are there any areas or types of work where performance has not been acceptable or contractor had problems performing? If yes, explain:

(Attach additional sheets if necessary)

Prepared by: ____________________ Date: __________ Reviewed by: ____________________ Date: __________
Reviewed with Contractor on: __________ Contractor Signature: ____________________ Date: 7/9/1996