

FINAL CONSTRUCTION RECORD & CONTRACT FINALIZATION PROCEDURES for SITEMANAGER CONTRACTS

1.1 Introduction

The purpose of these instructions is to establish uniform Final Construction Record and contract finalization procedures for contracts using SiteManager. The instructions generally follow the order of events that should take place to produce a Final Construction Record and to close out a contract. All existing policies and procedures should still be followed unless specifically changed by these instructions.

The instructions are written in active voice/imperative mood. The subject of each statement is the Project Engineer/Supervisor (PE/S). For example, the sentence “Check all pay item documentation to be included in the Final Construction Record (FCR) in accordance with established procedures.” describes actions to be taken by the PE/S.

Statements describing the activities of someone other than the PE/S are written in active voice/indicative mood. For example, an instruction to the District Office reads “The District Office will perform the contract finalization procedures outlined in this section when notified by the PE/S that a contract is ready for final review.”

1.2 Final Construction Record (FCR)

Check all pay item documentation to be included in the Final Construction Record (FCR) in accordance with established procedures. Perform checks in red ink or pencil.

Ensure that there are no draft or pending Change Orders for the contract and that all required documentation is attached in SiteManager.

Reconcile all pay item quantities in SiteManager with the documented field measurements and calculations.

Generate and process a progress pay estimate through SiteManager if there are any discrepancies that are discovered during the reconciliation process.

Generate a preliminary Comparison of Estimates – Original and Final (IC 642) and send it to the contractor for review. Communicate with the contractor to reconcile discrepancies between INDOT and contractor’s final quantities. Be aware that the final quantities shown on the Comparison of Estimates – Original and Final (IC 642) are now a summation of all authorized Daily Work Reports.

Notify the contractor to begin compiling final DBE/MBE/WBE reports that will be required to make final payment.

Complete all applicable *Key Date*, *Checklist Event Date* and *Milestone Date* entries in SiteManager.

The Date of Last Work is normally the date the contractor removes the last construction traffic control device. The Date of Last Work on Form IC 639 must be the same date on all reports, forms, and the Final Construction Record. Daily Work Reports and Weekly Reports are to be submitted up to and including the Date of Last Work, and are to be marked “Last Report”.

Enter pavement as-built data in *Pavement Structural Design Data* in SiteManager as applicable.

When satisfied that final pay quantities are correct, generate a final Comparison of Estimates – Original and Final (IC 642) for both the individual projects and the total contract. Note the source document for each item on the project level IC 642. Note the source project IC 642 on the contract level IC 642. Sign and date the documents.

Assemble the following documents for the FCR, as applicable to the contract.

- 1) Signature Affidavit (IC 113).
- 2) Project Personnel Record (IC 608).
- 3) Completion Date and Liquidated Damages Data (IC 632).
- 4) Comparison of Estimates – Original and Final (IC 642).
- 5) Certification for Category 1 and 2 Temporary Traffic Control Devices.
- 6) NCHRP 350 Crash Test Letter of Approval from FHWA for temporary barriers and end terminals.
- 7) Approved Pile Driving Chart.
- 8) Pile Driving Report (IC 225).
- 9) Buy American Certification.
- 10) Salvage Construction Material Record (IC 625).
- 11) Asbestos Exclusion Letter.
- 12) Warranty Bond for Permanent Seeding.
- 13) Final Description and Elevation of Bench Marks (IC 126).
- 14) Final Report of Overhead Structures (M 232A).
- 15) Traffic Signal Completion Report (M 636A).
- 16) Agreement to Use Plan Quantity as Basis of Payment (IC 675).
- 17) Railroad Release or 30 Day Notification Letter.
- 18) Property Release (IC 149).
- 19) Authorization to Remove Signs (IC 686).
- 20) Field books, original field notes and calculations including electronic data storage devices such as compact disks, etc.
- 21) Weigh tickets.
- 22) As-built plans.
- 23) Final cross-sections and earthwork calculations.
- 24) List of items with pay quantities calculated using software other than SiteManager.
- 25) Contractor’s and subcontractor’s payroll reports (may be submitted as received throughout the term of the contract).

FCR documents may be submitted as either hard copies or as electronic documents scanned into the *Correspondence Log* in SiteManager.

Create a Final Construction Record Index for the FCR that identifies each document in the FCR and whether it is submitted as a hard copy or an attachment in SiteManager. Attach the Index as a Word document in the *Correspondence Log* in SiteManager.

Print a copy of the FCR Index and place it along with the FCR documents to be submitted as hard copies in a folder or 3-ring binder. Place documents in the order listed on the Index and label each page in accordance with the Index.

Complete the portions of the Checklist for Final Construction Record (IC 699) that apply to the field office review, then sign the checklist and place it in the FCR.

Submit all hard copy FCR materials to the District Construction Office. Note that once the FCR has been submitted to the District Construction Office, no changes to the IC 642 are allowed unless authorized by the District Office.

Document that the field office review of the Final Construction Record is complete by entering the date completed in the *Key Date* section of SiteManager.

Notify the District Construction Office that the contract is ready for final review in SiteManager.

Submit Reports on Contractor's Performance of Contract (CR-2) to the District Construction Office.

Submit an Evaluation of Plans and Contract Documents (SF 46605) to the District Construction Office.

1.3 Contract Finalization

1.3.1 Contract Finalization – District Office

The District Office will perform the contract finalization procedures outlined in this section when notified by the PE/S that a contract is ready for final review.

The District Office will use green ink or pencil to make all hand written checks on entries in the FCR during the contract finalization process.

Review the *Correspondence Log* in SiteManager and verify that the following documents have been attached to the *Correspondence Log*.

- 1) Notice to Proceed.
- 2) Checklist for Final Construction Record (IC 699) as completed by the PE/S.
- 3) Comparison of Estimates – Original and Final (IC 642)

Review the Checklist for Final Construction Record (IC 699) and verify that the identified FCR documents and items have been either printed and submitted to the District or scanned and attached to the *Correspondence Log* in SiteManager.

Verify the following, as applicable to the contract.

- 1) Pre-construction conference minutes are entered as a *Construction Conference*.

- 2) There are no draft or pending Change Orders.
- 3) There are no outstanding pay item quantity and material record discrepancies.
- 4) Pavement as-built data has been entered in *Pavement Structural Design Data* in SiteManager.

Review submitted field books, weigh tickets, other original field notes and calculations, including final cross-sections and earthwork calculations. Verify that all original field notes and hand calculations have been signed and dated as required.

Verify that all hand calculations have been checked, signed and dated by the checker as required. Perform error checks on all hand calculations, including weigh tickets, for any item with a total dollar amount in excess of 5% of the final contract amount.

Verify that electronic files have been attached in SiteManager for all electronic calculations performed using software other than SiteManager. Perform error checks on electronic calculations made outside SiteManager for any item with a total dollar amount in excess of 5% of the final contract amount.

Review the Comparison of Estimates – Original and Final (IC 642). Confirm that there are no items with an “Original + CO Over/Under” amount in excess of +/- \$20,000. Notify the PE/S of the need for a Change Order for any item that has an amount in excess of +/- \$20,000.

Compare the final quantities on the IC 642 against the final quantities documented by the field office. Notify the PE/S of any discrepancies that need to be resolved. When satisfied that the IC 642 is correct, sign and date the document and then attach it to the *Correspondence Log* in SiteManager.

Review the *Key Date* entries in SiteManager and verify that all required dates have been entered.

Compare the IC 699 against the *Key Date*, *Checklist Event Date* and *Milestone Date* entries in SiteManager. Verify that all dates checked in the affirmative by the PE/S have been entered.

Review the Completion Date and Liquidated Damages Data (IC 632) and attach any additional documentation required at the District Office level.

Notify the PE/S of any items that need to be resolved by the field office prior to finalization of the contract.

Generate a Contractor’s Inspection of Final Construction Record Report (M 39). Send the M 39 with a copy of the IC 642 to the contractor for review and signature on the M 39.

Assemble the following additional documents for the FCR. Documents may be either hard copies or electronic documents scanned into the *Correspondence Log* in SiteManager.

- 1) Report of Final Inspection and Recommendation for Acceptance.

- 2) Final Acceptance Letter and Attachments.
- 3) District additions to the Completion Date and Liquidated Damages Data (IC 632).

Place documents to be added as hard copies in the FCR and update the FCR Index.

Complete the portions of the Checklist for Final Construction Record (IC 699) that apply to the District Office review, then sign the checklist and place it in the FCR.

- 1) Submit the FCR to Central Office Final Review.

Document that the District Office review of the Final Construction Record is complete by entering the date completed in the **Key Date** section of SiteManager.

Notify Central Office Final Review that the Contractor's Inspection of Final Construction Record Report (M 39) has been sent to the contractor and that the contract is ready for final review in SiteManager.

When the signed Contractor's Inspection of Final Construction Record Report (M 39) is received from the contractor, attach it to the **Correspondence Log** in SiteManager send the original to Central Office Final Review.

1.3.2 Contract Finalization – Central Office

Central Office Final Review will perform the finalization activities outlined in this section when notified by the District Office that a contract is ready for final review.

Central Office Final Review will use blue ink or pencil to make all hand written checks in the FCR during the contract finalization process.

Review the **Correspondence Log** in SiteManager and verify that the following documents have been attached to the **Correspondence Log**.

- 1) Notice to Proceed.
- 2) Checklist for Final Construction Record (IC 699) as completed by the District.
- 3) Comparison of Estimates – Original and Final (IC 642)

Review the Checklist for Final Construction Record (IC 699) and verify that the documents and items identified on the sheet have been submitted by the District.

Review the Comparison of Estimates – Original and Final (IC 642). Verify that there are no items with an "Original + CO Over/Under" amount in excess of +/- \$20,000. Notify the District of the need for a Change Order for any item that has an amount in excess of +/- \$20,000.

Verify that the final dollar amount on the IC 642 agrees with the final amount in SiteManager. Notify the District of any discrepancy. When satisfied that the IC 642 is correct, sign and date the document and attach it to the **Correspondence Log** in SiteManager.

Review the **Key Date** entries in SiteManager and verify that all required dates have been entered.

Compare the Checklist for Final Construction Record (IC 699) against the **Key Date** entries in SiteManager. Verify that all optional dates checked in the affirmative by the PE/S have been entered.

Compare the checklist against the **Checklist Event Date** entries in SiteManager. Verify that all dates checked in the affirmative by the PE/S have been entered.

Review the **Milestone Date** entries in SiteManager and verify that all dates checked in the affirmative by the PE/S have been entered.

Review the Completion Date and Liquidated Damages Data (IC 632). Verify that all information is complete and check the calculations for errors.

Verify that pavement as-built data has been entered in **Pavement Structural Design Data** in SiteManager if applicable to the contract.

Verify that all claims and liens against the Contractor have been resolved.

Notify the District Construction Office and the PE/S of any errors or omissions that must be corrected prior to final payment.

When the Contractor's Inspection of Final Construction Record Report (M 39) is received from the District Office, place it in the FCR and update the FCR Index and the Checklist for Final Construction Record (IC 699).

When the final review by Central Office is complete, notify the PE/S and the District Office that the PE/S may generate the Final Estimate.

1.3.3 Contract Finalization – Field Office

Generate the Final Estimate when notified by Central Office that the final review is complete.

Notify the District Office when the Final Estimate has been generated.

1.3.4 Contract Closeout – District Office

The District Office will review and approve the Final Estimate when notified by the field office that it has been generated and is ready for District approval.

The District Office will notify Central Office when the Final Estimate has been approved.

1.3.5 Contract Closeout – Central Office

Central Office Final Review will perform the contract closeout activities outlined in this section when notified that a Final Estimate has been generated for a contract.

Review and approve the Final Estimate when notified by the District Office that it has been approved by the District. Print and send copies to the contractor and the INDOT Project Accounting Manager (for Federally funded contracts only).

Complete the portions of the Checklist for Final Construction Record (IC 699) applicable to Final Review, then sign the checklist and place it in the FCR.

Enter the date that the final review is completed in the **Key Date** section and the date the Final Estimate is approved as the Physical Work Complete Date in the **Critical Dates** section of SiteManager.

Change the status of the contract to “Complete” in the **Contracts** section of SiteManager.

Prepare and send FCR hard copy documents for archiving.

1.4 Acknowledgements

These procedures have been developed through the efforts of a group of individuals with a great deal of experience in creating and reviewing Final Construction Records and in finalizing construction contracts. Those individuals are:

Steve Beeler – Greenfield District Project Supervisor
Kent Borggren – LaPorte District Project Supervisor
Charles Cooper – Fort Wayne District Final Review Officer
Kim Denham – Crawfordsville District Final Review Officer
Mark Fligor – Vincennes District Testing Engineer
Karen Harrington – Crawfordsville District Construction Office
Ron Heustis – Manager, Construction Technical Support
Joe Jones – Seymour District Area Engineer
Debbie Loveall – Greenfield District Final Review Officer
Chuck Lyons – Crawfordsville District Project Supervisor
Chuck McCandless – Vincennes District Project Supervisor
Sheri Meyerhoff – SiteManager System Administrator
Mark Miller – Director, Division of Construction Management
Wes Shaw – Crawfordsville District Area Engineer
Cheryl Sweeney – Central Office Final Review Officer

Questions or comments regarding these procedures should be directed to the appropriate District Construction Office.