

Document Release Notice







Document #:	CA-04	Title:	Contract Closeout – Professional Services, Goods and Services, and Consulting Services	
Current Revision #:	7	Type of Change:	<input type="checkbox"/> ORIG RELEASE <input checked="" type="checkbox"/> REVISION <input type="checkbox"/> ARCHIVE <input type="checkbox"/> OBSOLETE	
New Revision #:	8	DRN Number:	10890	<input type="checkbox"/> MAJOR <input checked="" type="checkbox"/> MINOR <input type="checkbox"/> ADMIN
Date Submitted:	7/26/2022	Document Type:	QMS Document - CA	Choose from Drop Down Menu

Summary of Proposed Changes:
 - Include paragraph numbers or other references & attach a copy of the new or revised documents
 - For new documents, indicate "Original Release"

Revise the procedure to update the following sections as shown in the attached redline document:
 2.0 Responsibilities
 6.3 Completion of Contract Closeout
 6.3.1 & 6.3.2

Reason for New Release / Revision / Obsolescence:

Update the procedure to align with current practice.

Required Signatures:			
Title	Printed Name	Signature	Date
Originator	Teresa Calderon		10-14-22
Subject Matter Expert	Teresa Calderon		10-14-22
NTTA Manager	Ben King		10/20/22
PD Manager of Contracts	Ben King		10/20/22
Director of Project Delivery	Elizabeth Mow		10-31-22
Document Control/Quality Manager	Md Omar Faruk		10/31/2022



QMS MANUAL

Procedure Definition

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Title: Contract Closeout – Professional Services, Goods and Services, and Consulting Services		

1.0 PURPOSE:

The purpose of this procedure is to define the contract closeout process for professional services, goods and services, and consulting services, to ensure that all specified work has been completed in accordance with the contract, that all record documents have been received, and that all financial aspects of the contract are settled.

2.0 RESPONSIBILITIES:

2.1 Director of Project Delivery – shall be responsible for:

- Reviewing and approving contract closeout documents.

2.2 Project Delivery (PD) Contracts Manager – shall be responsible for:

- Ensuring compliance with and maintaining this procedure.
- Reviewing and approving contract closeout documents in terms of completeness, adequacy, and process compliance.

2.3 Project Manager – shall be responsible for:

- Reviewing consultant deliverables against contract requirements.
- Ensuring that any assets procured by the consultant but reimbursed by NTTA, are surrendered to NTTA at closeout in accordance with contractually approved fee estimates.

2.4 Consultant - shall be responsible for:

- Maintaining all project records and deliverables and providing them to the Project Manager to support contract closeout.
- Completing any remaining work (if any).
- Addressing any deficiencies as directed by the Project Manager.
- Surrendering any assets procured by the consultant but reimbursed by NTTA.

2.5 Project Delivery (PD) Program Support Staff - shall be responsible for:

- Completing Contract Closeout Request Form (CRF1) in the Contract Management Software.
- Routing CRF1 through the electronic approval process.
- Ensuring executed closeout documents are received by NTTA Procurement Services for processing.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all Professional Services contracts on corridors and projects within the Project Delivery Department.

4.0 REFERENCES:

N/A

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5.0 DEFINITIONS & ACRONYMS:

N/A

6.0 PROCEDURES:

6.1 Preparation for Closeout Activities – Final payment must be made before the Consultant can complete the MWSDBE Final Utilization Report Form 4908.

6.2 Completion of Work

6.2.1 Project Record Documents – As part of final acceptance, the consultant shall furnish to the Project Manager, for review and approval, a copy of the record documents specified in the contract and all work authorizations. The consultant shall also collect and prepare to surrender to NTTA any assets that were procured and reimbursed by NTTA for the completion of the contracted services.

6.2.2 Final Deliverables – Upon receipt of the final deliverables or services required by the contract and all work authorizations, the Project Manager shall perform a review of the contract and all work authorizations to compare the deliverables received with the requirements of the contract. The Project Manager or designee shall chair a final acceptance meeting with the consultant. During this final acceptance meeting, the parties shall discuss and resolve all open matters regarding the consultant’s performance on the contract, including the reconciliation of any outstanding non-conformances. Minutes of this final acceptance meeting shall be maintained by the Project Manager.

6.2.3 The Project Manager shall coordinate review of the record documents by the applicable discipline representatives to ensure their completeness and acceptability. If the record documents are incomplete or inaccurate or otherwise unacceptable, the Project Manager shall notify the consultant of the deficiencies. If the record documents are acceptable, the Project Manager shall notify the consultant to submit the required copies in the format and mediums specified in the contract and all work authorizations and to submit their final payment request.

6.2.4 Once the Consultant has received final payment, they shall submit their MWSDBE Final Utilization Report (form 4908) to the Business Diversity department with a copy to the Project Manager.

6.2.5 After final payment has been issued, the Project Manager can complete contract closeout activities as listed in section 6.3.

6.3 Completion of Contract Closeout – The Project Manager shall notify the PD Program Support Staff that the contract is ready for closeout.



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- 6.3.1 The PD Program Support Staff shall complete the Contract Closeout Request Form in the Contract Management System and route it to the PD Contracts Manager to begin the review and approval process.
- 6.3.2 The Project Delivery Contracts Manager shall review the closeout form for completeness, adequacy, process compliance, and approve the Contract Request Form electronically. Upon approval, the Contract Closeout Request will be routed to the Director of Project Delivery.
- 6.3.3 The Director of Project Delivery shall review and approve the Contract Closeout Form in the Contract Management System. Upon approval, the CRF1 will automatically be routed to Procurement Services for processing.

7.0 REGULATORY REQUIREMENTS:

N/A

8.0 RELATED BOARD POLICY:

- NTTA Policy Regarding the Procurement of Goods and Services and Disposition of Property, (the "Policy")

9.0 COMPONENT DOCUMENTS:

- [CRF1](#) Contract Closeout Request Form

10.0 FLOWCHART:

N/A

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11.0 REVISION HISTORY:

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Mike Hutchison	06/05/2008		Original Issue
1	Mike Hutchison	09/09/2008		Section 3.0 – Clarified descriptions of Director of Project Delivery, DPM, Assistant Program Manager, Corridor Manager, and Consultant Section 7.4 – Clarified which role should obtain written consent of the Authority's intent to assess liquidated damages.
2	Micki Ellis	05/17/2010	10144	Significant updates, added requirement to surrender to NTTA any assets procured and reimbursed by NTTA, added additional detail.
3	Kim Robins	04/28/2011	10268	Section 2.0 – Delete Deputy Program Manager, 2.2 Update title to NTTA Project Delivery Contracts Manager Section 6.3 active form usage, update titles.
4	Kim Robins	10/26/2011	10346	Update position/department title.
5	Ben King	04/07/2017	10616	Revise procedure per current practice.
6	Ben King	8/7/2019	10794	Revise procedure per current practice: use of Form CA-04-F1 and CA-04-F2 is discontinued and replaced by Procurement Form CRF1.
7	Teresa Calderon	11/11/2021	10846	Revise procedure per current practice, CRF1 form, and closeout process is done electronically through the Contract Management System.
8	Teresa Calderon Bryan Dennis	TBD	TBD	Revise procedure per current practice.

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1.0 PURPOSE:

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2.0 RESPONSIBILITIES:

2.1 ~~2.1~~ Director of Project Delivery — shall be responsible for:

- ~~Reviews~~Reviewing and ~~approves~~approving contract closeout documents.

2.2-2_ Project Delivery (PD) Contracts Manager — shall be responsible for:

- ~~Ensures~~Ensuring compliance with and ~~maintains~~maintaining this procedure.
- ~~Reviews~~Reviewing and ~~approves~~approving contract closeout documents in terms of completeness, adequacy, and process compliance.

2.3_ Project Manager — shall be responsible for:

- ~~Reviews~~Reviewing consultant deliverables against contract requirements.
- ~~Ensures~~Ensuring that any assets procured by the consultant but reimbursed by NTTA, are surrendered to NTTA at closeout in accordance with contractually approved fee estimates.

2.4 ~~2.4~~ Consultant - shall be responsible for:

- ~~Maintains~~Maintaining all project records and deliverables and ~~provides~~providing them to the Project Manager to support contract closeout.
- ~~Completes~~Completing any remaining work (if any).
- ~~Addresses~~Addressing any deficiencies as directed by the Project Manager.
- ~~Surrenders~~Surrendering any assets procured by the consultant but reimbursed by NTTA.

2.5 ~~Project Delivery (PD-Contract Management) Program Support Staff - shall be responsible for:~~

- ~~Completes~~Completing Contract Closeout Request Form (CRF1) in ~~the~~ Contract Management Software.
- ~~Routes~~Routing CRF1 through the electronic approval process.
- ~~Ensures~~Ensuring executed closeout documents are received by ~~NTTA~~ Procurement Services ~~for~~ processing.
- ~~Obtains a copy of the executed CRF1 and uploads it to SharePoint.~~

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all Professional Services contracts on corridors and projects within the Project Delivery Department.

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4.0 REFERENCES:

N/A

5.0 DEFINITIONS & ACRONYMS:

N/A

6.0 PROCEDURES:

6.1 Preparation for Closeout Activities – Final payment must be made before the ~~consultant~~Consultant can complete the MWSDBE Final Utilization Report Form 4908.

6.2 Completion of Work

6.2.1 Project Record Documents – As part of final acceptance, the consultant shall furnish to the Project Manager, for review and approval, a copy of the record documents specified in the contract and all work authorizations. The consultant shall also collect and prepare to surrender to NTTA any assets that were procured and reimbursed by NTTA for the completion of the contracted services.

6.2.2 Final Deliverables – Upon receipt of the final deliverables or services required by the contract and all work authorizations, the Project Manager shall perform a review of the contract and all work authorizations to compare the deliverables received with the requirements of the contract. The Project Manager or designee shall chair a final acceptance meeting with the consultant. During this final acceptance meeting, the parties shall discuss and resolve all open matters regarding the consultant’s performance on the contract, including the reconciliation of any outstanding non-conformances. Minutes of this final acceptance meeting shall be maintained by the Project Manager.

6.2.3 The Project Manager shall coordinate review of the record documents by the applicable discipline representatives to ensure their completeness and acceptability. If the record documents are incomplete or inaccurate or otherwise unacceptable, the Project Manager shall notify the consultant of the deficiencies. If the record documents are acceptable, the Project Manager shall notify the consultant to submit the required copies in the format and mediums specified in the contract and all work authorizations and to submit their final payment request.

~~6.2.4 — Upon the successful completion of the final review of deliverables, the Project Manager shall prepare a letter recommendation of final acceptance to the Director of Project Delivery.~~

~~6.2.5~~6.2.4 Once the ~~consultant~~Consultant has received final payment, they shall submit their MWSDBE Final Utilization Report (form 4908) to the Business Diversity department with a copy to the Project Manager.

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~~6.2.6~~6.2.5 After final payment has been issued, the Project Manager can complete contract closeout activities as listed in section 6.3.

6.3 Completion of Contract Closeout– The Project Managers shall notify the PD ~~Contracts Management~~ Program Support Staff that the contract is ready for closeout.

6.3.1 The PD ~~Contracts Management~~ Program Support Staff shall complete the Contract Closeout Request Form in the Contract Management System and route it to the ~~Project Delivery~~ PD Contracts Manager to begin the review and approval process.

6.3.2 The Project Delivery Contracts Manager shall review the closeout form for completeness, adequacy, process compliance, and approve the Contract Request Form electronically. Upon approval, the Contract Closeout Request will be routed to the Director of Project Delivery.

6.3.3 The Director of Project Delivery shall review and approve the Contract Closeout Form in the Contract Management System. Upon approval, the CRF1 will automatically be routed to Procurement Services for processing.

7.0 REGULATORY REQUIREMENTS:

N/A

8.0 RELATED BOARD POLICY:

- NTTA Policy Regarding the Procurement of Goods and Services and Disposition of Property, (the “Policy”)

9.0 COMPONENT DOCUMENTS:

- CRF1 Contract Closeout Request Form

10.0 FLOWCHART:

N/A

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