CHAPTER 17

APPENDIX 17-1
## CONTENTS

### APPENDICES

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CLOSEOUT DOCUMENTATION LETTER

(Date)

(Name/Title)

(Address)

(City/State/Zip)

RE: [PIN XXXX.XX, NAME OF PROJECT] [T/C/V OF , COUNTY]

Dear [Name]:

We received notification of the completion of construction of the above referenced project submitted by your [letter date or request for final reimbursement].

The final stage of the project development process is the formal close-out of the State-Local Agreement. As a result of the project close-out process, all project costs will be reconciled, unused federal and Marchiselli funds will be de-obligated and made available for other locally-administered transportation projects, and the SLA will be terminated.

To initiate project close-out procedures, the following must be submitted:

- A final Sponsor Payment Request
- Final agreement between the Sponsor and contractor (the AIA form the contractor submits to the Sponsor for payment or a final estimate with all quantities and costs)
- Material Certification (CONR 193)
- Confirmation that all change orders and time extensions were processed
- Releases for any uncompleted Work Agreements
- Final Acceptance of Locally Administered Project, (NYS 1446-LA).
- A project financial summary
- Certification for Construction Inspection
- Certification for Construction Acceptance
- AAP-19LL, Disadvantaged Business Enterprise Utilization (final)
- AAP-21LL, Contractor Report of Contract Payments (final)
- AAP-33LL, Employment Utilization Report (composite, final)
- Most recent Federal Single Audit Report for projects with contracts greater than $500,000.
- Consultant Audit Report for projects with consultant contracts greater than $300,000.

For bridge projects

- Two (2) copies of as-built plans and a load rating report, as well as one (1) copy of the formal request for a bridge inspection.

For highway projects involving NYSDOT facilities
Two (2) full-sized copies of as-built plans.

Final Time Extension (TE) Summary Report - List all TEs approved for project and final completion date.

Final Change Order and Overrun/Underrun report
  ▪ Change Orders approved through #____.
  ▪ Overrun/Underrun report with justification for significant changes.

A copy of the Highway Work Permit indicating acceptance by NYSDOT.

Identify location and maintenance of project records at archive facility.

Identify any outstanding issues.

Identify the final cost for all phases of the project and for all budget shares and assure that the final Sponsor payment request has been submitted for all phases, as suggested by the chart below.

<table>
<thead>
<tr>
<th>Phase</th>
<th>FHWA</th>
<th>NYSDOT</th>
<th>Local</th>
<th>Other</th>
<th>Total</th>
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</thead>
<tbody>
<tr>
<td>Design</td>
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<td>ROW</td>
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<td>Construction</td>
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<td>Construction Inspection</td>
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<tr>
<td>Construction Support Services</td>
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For ER projects

Final Inspection of Project: NYSDOT Emergency Relief Project (FHWA 1448C) which is completed by NYSDOT and FHWA.

Detailed Damage Inspection Report (DDIR) (FHWA 1547).

>>>Once all the information described above is received, we will process the final reimbursement request and initiate close-out of the State-Local Agreement.<<<

Forms mentioned above can be found at the NYSDOT web site at the following address: www.nysdot.gov/plafap.

If you have any questions concerning project close-out requirements or procedures, please contact your Regional Local Projects Liaison, (RLPL). [Insert name, phone no., email address]

Sincerely,

[Name/Title]
[Region]
[City/State/Zip]