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CHAPTER 5

TASK ORDER CLOSEOUT

5.1 OVERVIEW

Following the final acceptance of work, the Government closes out the task order file. The closeout process involves the CO, COTR, Programs Manager, Finance Manager and A/E consultant.

The COTR plays an important role in determining whether the A/E consultant has satisfactorily performed the required work and has met contractual obligations. The task order is physically complete when the A/E consultant has completed the required services and the Government has inspected and accepted the deliverables. A primary objective of the closeout is to identify and resolve any outstanding obligations or pending liabilities of either the Government or the A/E consultant and to ensure proper documentation of all contract-related decisions.

Following the COTR's indication by formal documents that the task order is physically complete, the COTR and CO begin administration of the closeout.

As part of the closeout process, the COTR also submits an evaluation of the A/E consultant's performance. This information becomes part of the official record and serves as the basis for evaluating the A/E's past performance in future source selections. The CO may provide the A/E consultant with a copy of the evaluation, and the A/E may submit a response to an evaluation reflecting poor performance.

5.2 CLOSEOUT DOCUMENTS

The COTR initiates administrative closeout of task orders and uses a closeout checklist to confirm completion of all activities necessary to close out the task order. The checklist shows completion dates for specified activities, including the SF 1034 Final Voucher (see Exhibit 5.2-A), the COTR's Final Report (see Exhibit 5.2-B) and the A/E Performance Evaluation (see Section 5.3). The COTR completes the checklist and routes it, with all the documents attached, through the CO, who forwards it to Finance for final payment, processing and closing of the contract account. The COTR maintains a copy of the checklist and its attached documents in the COTR file.

See the EFLHD intranet at http://169.135.226.20/ppgm/docs/programming/completed_project_account_closeout_procedures.pdf for the completed project account closeout procedures.

5.2.1 Forms and Templates

To view or download forms and templates, use the links below:

- Closeout Checklist.
- SF 1034 Final Voucher.
- DOT F 4220.4 Contractor's Release.
- Task Order Closeout Letter to A/E.

Exhibit 5.2-A SF 1034 FINAL VOUCHER

Standard Form 1034
Revised October 1987
Department of the Treasury
1 TFM 4-2000
1034-122

PUBLIC VOUCHER FOR PURCHASES AND SERVICES OTHER THAN PERSONAL

VOUCHER NO.

U.S. DEPARTMENT, BUREAU, OR ESTABLISHMENT AND LOCATION

US Department of Transportation
Federal Highway Administration
Eastern Federal Lands Highway Division
21400 Ridgetop Circle
Sterling, VA 20166

DATE VOUCHER PREPARED: 11/05/2004

CONTRACT NUMBER AND DATE: DTFH71-02-D-000XX Task Order 0002

REQUISITION NUMBER AND DATE

SCHEDULE NO.

PAID BY

PAYEE'S NAME AND ADDRESS

DATE INVOICE RECEIVED

DISCOUNT TERMS

PAYEE'S ACCOUNT NUMBER

SHIPPED FROM TO WEIGHT

GOVERNMENT B/L NUMBER

NUMBER AND DATE OF ORDER	DATE OF DELIVERY OR SERVICE	ARTICLES OR SERVICES (Enter description, item number of contract or Federal supply schedule, and other information deemed necessary)	QUANTITY	UNIT PRICE COST	UNIT PRICE PER	AMOUNT [1]
						0.00
		Invoice - Final settlement of Task Order No. 0002 for	1	1,274.30	LS	1,274.30
		production of PS&E package of KY Cold Hill Road &				0.00
		Fishtrap Road. Settlement of the amount provided herein is				0.00
		specifically conditioned upon the execution of the contractor's				0.00
		release and agreement attached.				0.00
						0.00
(Use continuation sheet(s) if necessary)		(Payee must NOT use the space below)			TOTAL	1,274.30

PAYMENT:
- [ ] PROVISIONAL
- [ ] COMPLETE
- [ ] PARTIAL
- [x] FINAL
- [ ] PROGRESS
- [ ] ADVANCE

APPROVED FOR = $

EXCHANGE RATE =$1.00

DIFFERENCES

BY [2]

Date:

Amount verified; correct for

TITLE Contracting Officer, Eastern Federal Lands Highway Division

(Signature or initials)

Pursuant to authority vested in me, I certify that this voucher is correct and proper for payment.

(Date) (Authorized Certifying Officer) [2] (Title)

ACCOUNTING CLASSIFICATION

PAID BY

CHECK NUMBER ON ACCOUNT OF U.S. TREASURY

CHECK NUMBER ON (Name of bank)

CASH $ DATE

PAYEE [3]

[1] When stated in foreign currency, insert name of currency.
[2] If the ability to certify and authority to approve are combined in one person, one signature only is necessary; otherwise the approving officer will sign in the space provided, over his official title.
[3] When a voucher is receipted in the name of a company or corporation, the name of the person writing the company or corporate name, as well as the capacity in which he signs, must appear. For example: "John Doe Company, per John Smith, Secretary", or "Treasurer", as the case may be.

PER

TITLE

Previous edition usable.

PRIVACY ACT STATEMENT
The information requested on this form is required under the provisions of 31 U.S.C. 82b and 82c, for the purpose of disbursing Federal money. The information requested is to identify the particular creditor and the amounts to be paid. Failure to furnish this information will hinder discharge of the payment obligation.

Save Data Only | Clear Form | Save Form & Data | Email Form | Retrieve Data

Exhibit 5.2-B COTR FINAL ACCEPTANCE OF A/E SERVICES MEMORANDUM

Memorandum

U.S. Department of Transportation

Federal Highway Administration

EASTERN FEDERAL LANDS HIGHWAY DIVISION
21400 RIDGETOP CIRCLE
STERLING, VA 20166

INFORMATION: Final Report

Subject: A/E Engineering Service by A/E
DTFH71-02-D-00XXX Task Order No. 0002

Date: November 24, 2004

Reply to: HFHD-15

From: Name
Contracting Officer's Technical Representative

To: Name
Contracting Officer

Task Order No. 0002 for development of PS&E on Cold Hill Road, KY PLH 56(1), 781(1) required of A/E was completed on July 16, 2004.

There are no outstanding issues to be resolved regarding Task Order No. 0002.

The PS&E and other required design data have been provided to the EFLHD PD Team and are currently being used in the formal documentation of the project.

The deliverables provided by A/E are acceptable and fulfill the requirements of the Task Order's Scope of Work.

There was one modification to this Task Order. Contract Modification #1 was a no cost modification. This modification of 1 month was required due to a delay caused by internal EFLHD decisions and thereby extended the review time.

Acceptance of the work and final payment of $ 1,274.30, the final amount due, is recommended. The total contract cost for Task Order No. 0002 is $240,966.00

A final voucher, Standard Form 1034, and a release of claims were sent to A/E. The Release of Claims was signed and the final payment is recommended for processing.

BUCKLE UP AMERICA

5.3 A/E PERFORMANCE EVALUATIONS

The COTR conducts the performance evaluation of the A/E consultant. Generally, the COTR conducts these performance evaluations at the following times:

- When the COTR is changed.
- When the task order is completed (included with the closeout package).
- When interim evaluations are needed.
- When poor performance is identified.

The COTR considers all the circumstances of the project when rating the performance of an A/E consultant, including the complexity of the project, the environment (for example, hostile public, difficult partner agency or remote locations), the Government's performance (for example, reviews and comments) and other project-related factors.

For the A/E performance evaluation process, including the recommended evaluation time frames, see the following on the EFLHD intranet:

- http://169.135.226.20/ppgm/docs/acquisitions/Overview_of_AE_Performance_Evaluation_Process.pdf.

- http://169.135.226.20/ppgm/docs/acquisitions/ae_evaluation_design.pdf.

Evaluating the performance of an A/E consultant is a process similar to a Federal Government supervisor evaluating the performance of a Federal employee. In other words, the Performance Evaluation form (see Exhibit 5.3-A) should include more than just checkmarks in the applicable boxes. It should tell the "story" of the project. The COTR should always include some narrative in the last box of the form or on a continuation/attachment page.

The COTR provides the performance rating documents to the CO. The CO determines whether to provide copies of the documents to the A/E consultant, allowing the consultant an opportunity to submit a response to the rating.

5.3.1 Forms and Templates

To view or download the form, use the link below:

- Performance Evaluation (Architect-Engineer).

Exhibit 5.3-A PERFORMANCE EVALUATION OF A/E

PERFORMANCE EVALUATION (ARCHITECT-ENGINEER)

1. PROJECT NUMBER: XXXXXX

2. A/E OR CONSTRUCTION CONTRACT NUMBER: DTFH71-02-D-0000X Task Order 0002

IMPORTANT: Be sure to complete back of form. If additional space is necessary for any item, use Remarks section on back.

3. TYPE OF EVALUATION

a. PHASE OF COMPLETION: [ ] INTERIM (_____%) [X] FINAL

b. SERVICES (X one): [X] DESIGN [ ] TECHNICAL SERVICES [ ] CONSTRUCTION SUPPORT

c. X IF APPLICABLE: [ ] TERMINATION (Explain in Remarks)

4. REPORT NUMBER

5. DELIVERY ORDER NO. (if applicable)

6. PROJECT TITLE, LOCATION AND DESCRIPTION

Project -
Reconstruction and Improvement of Cold Hill Road, Laurel County, Kentucky
Daniel Boone National Forest,

7. NAME AND ADDRESS OF A-E CONTRACTOR

A/E

8. NAME, ADDRESS AND PHONE NUMBER OF DESIGN COTR

<name>
FHWA/EFLHD
21400 Ridgetop Circle
Sterling, VA 20166

9. A-E CONTRACT DATA *(Items 9c thru 9f are not applicable during construction unless there are modifications to the A-E contract.)*

a. TYPE OF WORK (Design, study, etc.): Produce PS&E package for Cold Hill Road

b. TYPE OF CONTRACT: [ ] FIRM FIXED-PRICE [ ] COST-REIMBURSEMENT [ ] INDEFINITE DELIVERY/INDEFINITE QUANTITY (IDIQ) [X] TASK ORDER UNDER IDIQ [ ] OTHER (Specify)

c. CONTRACT OR TASK ORDER AMOUNT

(1) INITIAL FEE	(2) CONTRACT OR TASK ORDER MODIFICATIONS NO.	AMOUNT	(3) TOTAL FEE
$ 240,966.00	1	$ 0.00	$ 240,966.00

d. CONTRACT OR TASK ORDER AWARD DATE	e. NEGOTIATED CONTRACT OR TASK ORDER COMPLETION DATE (Include extensions)	f. ACTUAL CONTRACT OR TASK ORDER COMPLETION DATE
05/22/2003	06/15/2004	07/16/2004

10. CONSTRUCTION CONTRACT DATA

a. A-E ESTIMATE FOR BID ITEMS AWARDED	b. AWARD AMOUNT	c. FINAL CONSTRUCTION COST
$	$	$

MODIFICATIONS	COST
d. CONSTRUCTION MODIFICATIONS	$
e. CONSTRUCTION MODIFICATIONS ARISING FROM DESIGN DEFICIENCIES	$
f. DESIGN DEFICIENCIES CORRECTED BY A/E	$
g. DESIGN DEFICIENCIES CORRECTED BY GOVERNMENT	$

11. OVERALL RATING

[ ] OUTSTANDING [ ] SATISFACTORY [ ] UNSATISFACTORY
[X] ABOVE AVERAGE [ ] MARGINAL

12. RECOMMENDED FOR FUTURE CONTRACTS?

[X] YES [ ] CONDITIONALLY
[ ] NO (Explain "NO" or "CONDITIONALLY" in Remarks.)

13a. NAME, TITLE AND OFFICE OF RATING OFFICIAL

<name>, Highway Engineer

TELEPHONE NUMBER:

b. SIGNATURE c. DATE

14a. NAME, TITLE AND OFFICE OF CONTRACTING OFFICER

<name>, Contracting Officer

TELEPHONE NUMBER:

b. SIGNATURE c. DATE

15. REMARKS

EFLHD FORM (JUN 2001)
H:\PROJ_DEV\DQC\AE evaluation form test.doc

Exhibit 5.3-A PERFORMANCE EVALUATION OF A/E
(Continued)

16. A-E SERVICES PROVIDED

a. DISCIPLINES	Check If applicable	Discipline Rating
Bridge Inspection		
Construction Inspection		
Construction Scheduling		
Cost Estimating	✔	
Environmental	✔	
Geotechnical	✔	
Hydraulics	✔	
ITS / ATS		
Landscaping		
Right of Way		
Risk Assessment		
Roadway Design	✔	
Roadway Inspection		
Specification Writing	✔	
Structural		
Survey, Mapping & Geospatial Information Services	✔	
Traffic and Safety		
Transportation Studies		
Utility		
Value Engineering		
Other:		

17. EVALUATION GUIDELINES

Outstanding (O) -Performance meets contractual requirements and exceeds many to the government's benefit. Few minor problems for which corrective actions taken by the contractor were highly effective. There were no quality problems, cost issues and/or delays.

Above Average (A) - Performance meets contractual requirements and exceeds some of the government's benefit. Some minor problems for which corrective actions taken by the contractor were effective. Non-conformances, cost issues and/or delays do not impact achievement of contract requirements.

Satisfactory (S) - Performance meets contractual requirements. Some minor problems for which corrective actions taken by the contractor appear or were satisfactory. Non-conformances, cost issues and/or delays require minor government resources to ensure achievement of contract requirements.

Marginal (M) - Performance does not meet some contractual requirements. Serious problems and proposed actions appear only marginally effective or were not fully implemented. Non-conformances, cost issues and/or delays require major government resources to ensure achievement of contract requirements.

Unsatisfactory (U) -Performance does not meet most contractual requirements. Serious problems for which contractor's corrective actions appear or were ineffective. Non-conformances, cost issues and/or delays are compromising the achievement of contract requirements despite use of government resources.

18. DESIGN OR TECHNICAL SERVICES *(Quality of A-E Services Evaluation)*

a. ATTRIBUTES *(If applicable)*	OUTSTANDING	ABOVE AVERAGE	SATIS-FACTORY	MARGINAL	UNSATIS-FACTORY	b. REMARKS:
Thoroughness of Site Investigation / Field Analysis		✔				
Quality Control Procedures and Execution			✔			
Plans / Specs Accurate and Coordinated		✔				
Plans Clear and Detailed Sufficiently		✔				
Management and Adherence to Schedules		✔				
Meeting Cost Limitations			✔			
Suitability of Design or Study Results		✔				
Solution Environmentally Suitable		✔				
Cooperativeness and Responsiveness			✔			
Quality of Briefing and Presentations		✔				
Innovative Approaches / Technologies			✔			
Attention to Aesthetics		✔				
Implementation of Small Business Subcontracting Plan						
Meeting Submittal Requirements		✔				
Other:						

19. CONSTRUCTION SUPPORT *(Quality of A-E Services Evaluation)*

a. ATTRIBUTES *(If applicable)*	OUTSTANDING	ABOVE AVERAGE	SATIS-FACTORY	MARGINAL	UNSATIS-FACTORY	b. REMARKS:
Plans Clear and Detailed						
Drawings Reflect True Conditions						
Plans / Specs Accurate and Coordinated						
Estimated Quantities Accurate						
Constructability						
Cooperativeness and Responsiveness						
Quality of Construction Support Services						
Other:						

20. OVERALL REMARKS *(If additional space is necessary, please attach additional sheet(s) or documentation **AND check box to right**)* ☐

A/E has provided the Engineering services for the preparation of Plans, Specification, and Estimates (PS&E) and other supporting documentation for the reconstruction and improvement of Cold Hill Road, Kentucky on the Daniel Boone National Forest.

There has been one modification to the Task order. Modification 1 was the result of internal EFLHD decesions to delay the review time for the submission. This was a no cost modification.

The time delay for completing the final documents was a result of internal FHWA delay in reviewing the document for the phase IV submission. Initially the cost of the project was $3,000,000.00 over $2,000,000.00 the allocated money for the construction contract. This project is now split into Schedule A ($1,850,000.00) and Option B ($1,800,000.00).

Based on A/E work, I would recommend that they be utilized for further Task Orders. A/E has completed the task and the required work in an extremely competent, professional, and timely manner.

This project has recieve numerous invioces that add up to $239,691.70 or 99.7% of the total cost obligated.

C:\work\AE evaluation form test.doc