



# Project Ending



Section #31



# Project Ending

- **Final Reimbursement & Project Close-Out**
- Single Audit Reports
- Project Re-payment





# Final Reimbursement & Project Close-Out

## 2 Part process

- 1) Final reimbursement to LPA
- 2) Final Voucher date for record retention



**See Appendix #18 LPA Manual for close-out documents**



# Final Reimbursement & Project Close-Out

**We Send You:**

## **Part #1 – Final Reimbursement Checklist**

**See handout for Part #1 Checklist**

**PROJECT CLOSEOUT**  
**PART 1 FINAL REIMBURSEMENT SUBMISSION**  
(CONSTRUCTION PROJECTS)

Project Name: \_\_\_\_\_  
State Number: \_\_\_\_\_  
Federal Number: \_\_\_\_\_

Program: \_\_\_\_\_  
Application #: \_\_\_\_\_  
Project Manager: \_\_\_\_\_

**CHECKLIST TO BE FILLED OUT BY PROJECT SPONSOR AND RETURNED TO NHDOT WITH FINAL REIMBURSEMENT REQUEST**

Documents required for processing final reimbursement

Project closeout forms

Contractor's Final Lien Waiver submitted with signatures

Certificate of final completion of work submitted with signatures

Consent of Surety Company to Final Payment submitted with signatures

Other forms & required documents

As-Built Drawings submitted

Before & After photos submitted (Prints or Digital)

Materials Certification for Municipality Managed Projects

Completion and Acceptance letter from project sponsor with  
• Statement all punch list items have been addressed  
• Date construction was completed & accepted by sponsor  
• Statement that project is turned over to the sponsor for maintenance

Financial summary showing funding breakdown by phase.  
• Both participating and non-participating work must be shown

Send final reimbursement request, documents and completed checklist to NHDOT

Checklist Completed By: \_\_\_\_\_

**CHECKLIST TO BE FILLED OUT BY NHDOT FOR FINAL REIMBURSEMENT PROCESSING**

Financial checks for final reimbursement

Check that Municipality or sub-recipient has provided the latest complete single audit report (SAR) in accordance with OMB circular A-133 or a letter stating that an SAR was not required

Labor Compliance (Approval to pay final reimbursement request)

Verify last estimate was approved by FHWA

Verify no negative amounts exist for any of the phases

Send final reimbursement letter to project sponsor and final reimbursement memo to Finance & Contracts

Send Project completion form to project sponsor for signatures

Checklist Completed By: \_\_\_\_\_

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# Final Reimbursement & Project Close-Out

## You send us:

- Normal reimbursement information previously discussed this morning (invoices, proof of payment, etc..)
- And, Completed **PART 1 Checklist** including the following.....



# Final Reimbursement & Project Close-Out

## Project close-out forms

- Contractor's Final Lien Waiver form
- Certificate of Final Completion form
- Consent of Surety form

(NHDOT provides these forms)

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# Final Reimbursement & Project Close-Out

## As-Built drawings

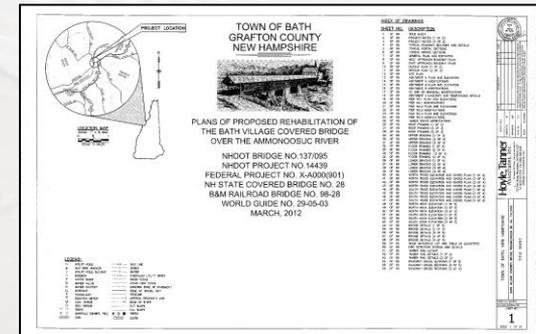
- Electronic "PDF" files on thumb drive
- Formatted to 11 x 17 with marked changes

### \* Bridge plans require:

Full size paper copies

Electronic "PDF" files, and

Stamped Form 4 Load Rating Analysis





# Final Reimbursement & Project Close-Out

## Photos

- Representative of project limits, showing before and after construction
- Print or digital photos acceptable





# Final Reimbursement & Project Close-Out

## Materials Certification

- Part of Quality Assurance Program – Appendix #21
- Signed by LPA and Construction Engineer of Record
- Indicates project materials are in accordance with plans and specs



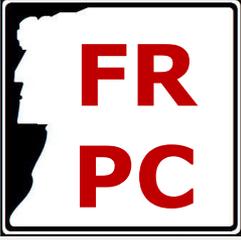


# Final Reimbursement & Project Close-Out

## Complete & Accept Letter

- States punch list items have been addressed
- Has date construction complete and accepted by Sponsor
- States project turned over to Sponsor for maintenance





# Final Reimbursement & Project Close-Out

## And Finally, the Financial Summary

Shows All **Participating** and  
**Non-Participating costs** by phase

- PE
- ROW
- CONSTRUCTION

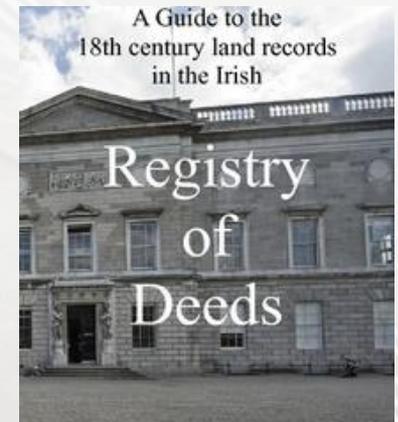




# Final Reimbursement & Project Close-Out

## **Non-Construction Projects with property easements need:**

- Proof of Payment
- A letter stating that all terms and conditions of the easement have been met
- Documentation of the county registry book and page number where the easement was recorded

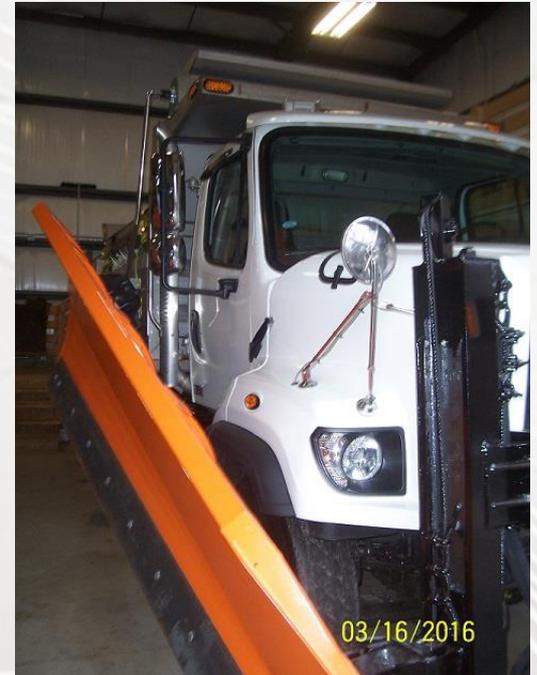




# Final Reimbursement & Project Close-Out

## Vehicle Procurement Projects need:

- Proof of payment
- Copy of purchase contract
- Copy of purchase order
- Vehicle Identification Number (VIN)
- Registration / Title, and
- Pictures of vehicle





# Final Reimbursement & Project Close-Out

## **NHDOT Part 1 Checklist review**

NHDOT reviews the final reimbursement request and material submitted by the LPA



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# Final Reimbursement & Project Close-Out

**If successful Part 1**

**NHDOT Sends the Sponsor:**

**1) Final payment !** 

**2) Project Completion Form**

**(used to begin NHDOT final  
voucher process)**

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# Final Reimbursement & Project Close-Out

## Project Completion Form

STATE OF NEW HAMPSHIRE  
DEPARTMENT OF TRANSPORTATION  
BUREAU OF PLANNING & COMMUNITY ASSISTANCE

PROJECT COMPLETION FORM  
FOR

PROJECT SPONSOR NAME  
STATE PROJECT #: \_\_\_\_\_  
FEDERAL PROJECT #: \_\_\_\_\_  
FUNDED BY: \_\_\_\_\_ PROGRAM

### Project Description:

The \_\_\_\_\_ Project Sponsor for the project identified above, confirms that the project has been completed in all phases of the work – Preliminary Engineering, Right-of-Way, and Construction. In addition, the Project Sponsor confirms that all invoices related to this project have been submitted to the New Hampshire Department of Transportation (NHDOT) and the Federal share of all costs for this project have been reimbursed to the Project Sponsor by NHDOT.

PROJECT SPONSOR NAME

By: \_\_\_\_\_  
\_\_\_\_\_ Title

Date: \_\_\_\_\_

**LPA:**  
**Fills out, signs**  
**and sends back**  
**within 30 days**



# Final Reimbursement & Project Close-Out

## No more payments

- After LPA submits Project Completion Form no additional reimbursements will be allowed
- NHDOT will begin closing project with FHWA





# Final Reimbursement & Project Close-Out

## Record Retention

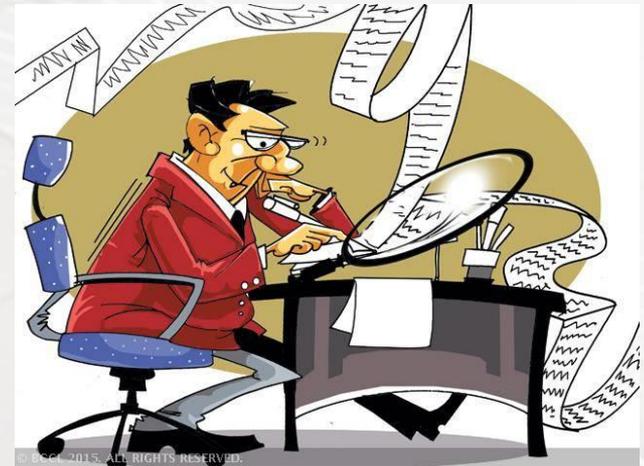
- NHDOT reconciles federal participating expenses and establishes a Final Voucher date
- NHDOT Project Manager will notify LPA of Final Voucher date
- LPA shall maintain project records for at least 3 years after Final Voucher date





# Project Ending

- Final Reimbursement & Project Close-Out
- **Single Audit Reports**
- Project Re-payment





# Single Audit Report Requirements

- NHDOT requires all LPA's to send in copies of their annual Single Audit Report when their total federally-funded expenditures from **all** sources of federal funds received are greater than or equal to **\$750,000** in a single fiscal year
- **ALL** = FHWA, FTA, Education, Housing, Etc..... combined





# Single Audit Report

## Why?

- NHDOT is considered a “Pass thru Agency” to the Sub-Recipient (the LPA)
- We are delegated the responsibility from FHWA to make sure you can financially manage your federal funds
- Audit teams visit NHDOT annually to select approximately 25 projects to review financial information





# Single Audit Report

## NHDOT'S procedure:

- If you received any amount of Federal funding thru NHDOT, we will request a copy of your Single Audit Report or a letter from you stating that it's not needed (<\$750K)
- Requests are sent to an LPA with the first project reimbursement, then 1/year
- We also request your annual municipal financial report



# Project Ending

- Final Reimbursement & Project Close-Out
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# Project Repayment

## FHWA Policy Directive 5020.1

### April 26, 2011

- Policy on the re-payment of Federal-aid funds expended when reasonable progress has not been made toward ROW acquisition or construction



**See handout for copy of Policy Directive**



# Project Repayment

## Projects Need To:

- 1) Advance to Construction, or
- 2) Advance to ROW Acquisition, or
- 3) Receive a NEPA "No-Build" Decision

**within 10 years of initial funding obligation or repayment will be required!**



**FHWA can grant time extensions – but rare**



# Project Repayment Policy Directive

- Supersedes project cancellation Section #30 in LPA Manual Version #2.0 discussing “good faith effort”
- Will create greater need for LPA to bring project to implementation once formal design starts



# Project Ending

## Questions ?



## Next Up: Evaluations and Closing Remarks