# PFIP Project Closeout Process Guidance

All state-funded projects must submit the applicable project closeout reports, along with all required documents, to Caltrans DLA upon project completion or termination, whichever occurs first. The PFIP Completion Report and the Final Delivery Report are like the PFIP Quarterly Progress Report (QPR) and are submitted in place of the QPRs for the quarters in which they are filed. In most cases, these two reports serve as the final two QPRs.

**Project Closeout Reports:**

1. **Completion Report:** Due within six months of project completion, as defined by project type. Project must use the latest Completion Report template posted on PFIP website. Project Completion Report focuses on the physical completion of the project, verifying that project is completed according to the approved scope.

   **Completion by Project Type:**

   - **Pre-Construction-only:** Completion of all PFIP-funded phases.
   - **Infrastructure:** Project becomes operable/open to the public or date of construction contract acceptance, whichever occurs first.
   - **Non-Infrastructure or Equipment-only:** Completion occurs when the final event or activity is completed, or when equipment procurement is completed.
   - **Combination:** BOTH Infrastructure & Non-Infrastructure components are completed.
   - **Plan or Study:** The date the agency's governing board or jurisdiction approves the finalized plan at the conclusion of the study.

   **Submission Method:** Completion Reports are submitted via usual PFIP QPR Smartsheet link, in place of the QPR for that quarter. Must fill out the Actual Completion Dates column in the report which are needed for accurate and timely reporting to CalSTA.

2. **Final Report of Expenditures (FROE):** Due within 180 days after expenditures are completed or by the PFIP Timely-Use-of-Funds (TUF) completion deadline or **three months prior to the allocated PFIP fund expiration date**, whichever occurs sooner. Refer to the DLA-approved Finance Letter, page 2, for project-specific deadlines.

   The Local Public Agency (LPA) is responsible for preparing and submitting to the DLAE the final report documents that collectively constitute the Final Report of Expenditures (FROE). The FROE provides the key information needed to initiate timely project financial closeout and final payment. Accounting uses the FROE to process the final-invoice reimbursement.

   The LPA must submit the FROE to the DLAE along with all applicable final documentation, in accordance with the Local Assistance Procedures Manual (LAPM). **Submit the following required items**, plus any additional closeout documents deemed necessary by DLAE:

- If Project is **State-Only Funded**: Must use LAPM Exhibit 17-M (modified): Final Project Expenditure Report (State-Only Funded) modified for PFIP and posted on PFIP website.
- If Project contains **Federal Funding**: Project will need to submit federally required documentation if federal funds are involved. For required final report documents please refer to LAPM Chapter 17 Project Completion and work with District DLAE.
- **All Projects:**
    - LAPM 5-A: Local Agency Invoice. See LAPM Chapter 5 Invoicing. 17-M is required with the final PFIP invoice after all PFIP funds have been expended.
    - Final Detail Cost Estimate, including a High-level Estimate Summary. See Exhibit 15-M: Detail Estimate (F-PDF) for details.
    - Exhibit 25-O Award Information (Word), same as submitted with award package.
    - LAPM 16-F: Final Inspection Form and Photos of the completed project, including before photos if available. Photos of procured equipment if applicable.

      The FROE will only be approved after the District Site Inspection (if required) is successfully completed and any required Corrective Actions established as part of the District Site Review are resolved. However, if note (b) below applies, then 16-F and photos may be submitted when project is completed.

**Submission Method:** The **FROE is a financial closeout transaction package** and must be **submitted by email** to the DLAE and Area Engineer, with a cc to HQ PFIP office contacts, along with all required supplemental documents.

**Final Delivery Report (FDR):** Due within 180 days of the conclusion of all remaining project activities, including contract acceptance, final invoice, and conducting data collection if applicable. The FDR summarizes the final state of the project, documents actual project expenditures beyond acceptance of the construction contract to reflect final project costs, including those paid with other funding sources. Project must use the latest Final Delivery Report template posted on PFIP website.

The Final Delivery Report must include any required demonstrations and any changes that occurred after submission of the Completion Report, such as additional data collection or study results. No additional supplements are required unless they were not provided with the FROE, as per note (b) below.

**Submission Method:** Final Delivery Reports are submitted via usual PFIP QPR Smartsheet link, and it takes place of the last QPR.

**Notes:**

(a). Projects must follow proportional expenditure rules, meaning they must draw from State, local, and other matching funds in proportion as project costs are incurred.

(b). If a project has an approved non-proportional spending exception in place and non-PFIP funds will be used to complete the project, then the Completion Report and Final Delivery Report (items 1 and 3 above) may be submitted after the actual completion of the project. The project must continue submitting QPRs until it is fully completed. Once completed, the project must submit all required final report documents that were not submitted with the FROE.

(c). For projects funded for the pre-construction phase(s) only, the agency shall submit closeout reports upon completion of the final PFIP-funded phase.

Additional closeout guidance is available throughout LAPM, including Chapter 16, *Administer Construction Contracts*, and Chapter 17, *Project Completion*. The District DLAE will determine any additional applicable submittal requirements for each project as needed.