

## **Chapter 10 Documentation**

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|  |       |
|--|-------|
| <b>10-1 General</b>  | 10-1  |
| 10-1.1 Introduction  | 10-1  |
| 10-1.2 Requirements for Notes                                  | 10-1  |
| 10-1.3 Source Documents  | 10-1  |
| <hr/>  |       |
| <b>10-2 Measurement of Items of Work</b>                       | 10-2  |
| 10-2.1 General   | 10-2  |
| 10-2.1A Introduction   | 10-2  |
| 10-2.1B Quantity Details                                       | 10-2  |
| 10-2.1C Item Quantity Ticket                                   | 10-2  |
| 10-2.1D Conversion Factors                                     | 10-3  |
| 10-2.2 Items Measured by Weight                                | 10-3  |
| 10-2.2A General Instructions                                   | 10-3  |
| 10-2.2B Weighing of Small Quantities                           | 10-4  |
| 10-2.2C Weighing Equipment                                     | 10-4  |
| 10-2.3 Items Measured by Volume                                | 10-4  |
| 10-2.3A Truck Measure  | 10-4  |
| 10-2.3B Cross-Sections   | 10-5  |
| 10-2.3C Neat Line Measurement                                  | 10-5  |
| 10-2.4 Items Measured by Hour/Day                              | 10-5  |
| 10-2.5 Items Measured by Lump Sum                              | 10-5  |
| 10-2.6 Items Measured by Other Units                           | 10-5  |
| 10-2.6A Linear Measurement                                     | 10-5  |
| 10-2.6B Area Measurement                                       | 10-6  |
| 10-2.6C Per Each Measurement                                   | 10-6  |
| 10-2.7 Items Bid at “No Charge”                                | 10-6  |
| <hr/>  |       |
| <b>10-3 Final Records for Projects Constructed by Contract</b> | 10-6  |
| 10-3.1 Records   | 10-6  |
| 10-3.1A Permanent Records                                      | 10-6  |
| 10-3.1B Temporary Final Records                                | 10-6  |
| 10-3.2 Contracts   | 10-7  |
| 10-3.3 Change Orders   | 10-7  |
| 10-3.4 Contract Estimate Payments                              | 10-7  |
| 10-3.5 Final Record Book No. 1                                 | 10-7  |
| 10-3.6 Diary Records   | 10-8  |
| 10-3.6A Project Engineer’s Diary                               | 10-8  |
| 10-3.6B Inspector’s Daily Report                               | 10-8  |
| 10-3.7 Record of Collisions and Traffic Control                | 10-9  |
| 10-3.7A Record of Collisions and Traffic Surveillance          | 10-9  |
| 10-3.8 Pile Driving Records                                    | 10-9  |
| 10-3.9 Post Tensioning Records                                 | 10-9  |
| 10-3.10 Miscellaneous Records                                  | 10-10 |
| 10-3.11 As-Built Plans   | 10-10 |
| 10-3.12 Final Record Field Notebooks                           | 10-11 |
| 10-3.13 Electronically Produced Documents                      | 10-11 |
| 10-3.14 Photographs  | 10-12 |
| 10-3.15 Pre-Estimate Reports                                   | 10-12 |
| 10-3.16 Estimate Reports                                       | 10-12 |

|  |       |
|--|-------|
| <b>10-4 Project Ledger System</b>                              | 10-12 |
| 10-4.1 General   | 10-12 |
| 10-4.2 Source Documents  | 10-13 |
| 10-4.3 Source Document Filing Systems                          | 10-13 |
| <hr/>  |       |
| <b>10-5 Region Project Documentation Reviews</b>               | 10-13 |
| 10-5.1 General   | 10-13 |
| 10-5.2 Review Procedures for Final Estimates and Final Records | 10-14 |

**10-1 General****10-1.1 Introduction**

This chapter is intended to provide reference and guidance for the project office's use in the keeping of Construction Contract Records. While there may be differing needs or circumstances that must also be met within each project office, it is intended that this guidance be used to help identify the minimum requirements that are necessary in order to establish an adequate method of record keeping. These minimum requirements also help to establish a basic level of uniformity among all project offices statewide. This can help to facilitate the review of records by others and promotes greater efficiency when engineering personnel are transferred or reassigned between different projects or even different project offices. If a clear method of record keeping can be identified prior to the beginning of work, then original field notes and records can be easily prepared and maintained as the work progresses. This will also help to reduce the effort required to produce the final contract records upon completion of the project.

Successful contract documentation requires that measurements and calculations supporting contract payments are accurate and that records of these actions are complete. Contract records and documentation must be sufficiently detailed and maintained in a manner that will withstand an audit and be clear enough to be read and understood by anyone unfamiliar with the project. The Project Engineer is responsible to ensure that these accurate and complete records are maintained for all construction project work. If questions or assistance is needed, the statewide Documentation Engineer as well as the Regional Documentation Engineer are both available as resources for the Construction Project Office's use.

It is recommended that original field notes be kept in a form that can be filed and retained as basic documentation. Field notes taken on scratch paper and then passed to the office should not be considered as acceptable documentation. Transcription of field notes to final record form should be avoided due to the possibilities of error and the unnecessary cost of duplication.

All personnel are responsible to ensure that notes are made correctly and are complete with all pertinent information. Sample notes have been included with this chapter and are intended as a guide or reference in preparing final record notes.

Facsimile machines and electronic mail are normal business practices in most state and private offices. It is acceptable to take action on these types of correspondence; however, in order to properly document and follow the conditions noted in the contract, exchanging or mailing original copies of the documents should follow up all facsimile and electronic mail. This is especially true for any item that requires a commitment by either the Contractor or the Washington State Department of Transportation (WSDOT). Follow up mail copies are required for all issues that require a signature.

**10-1.2 Requirements for Notes**

Documentation of contract items that are not specifically covered by the sample field notes can, in most instances, be created using the examples as a guide for similar items. The following notations should be carefully observed for correct procedure:

1. Each set of notes should contain the date when they were made and the initials of the persons making them.
2. Each set of notes, except staking notes, should contain the date when the phases of work are accomplished, the initials of the persons who compute and check the quantities noted, the dates when the quantities were computed, the dates when the computations were subsequently checked, the locations where the work was performed, and the corresponding group number.
3. When field notes are used as the basic source document in supporting a payment to the Contractor, they must include the date and initials of the person making the entry into the project ledger, the person verifying the entry, and the six-digit entry number.
4. Each pay quantity identified in the field notes should be designated with the corresponding item number and correct item name listed in the contract.
5. It is recommended that the correct field book or loose leaf sheet always be used for the particular kind of work being staked or measured.
6. The degree of accuracy required for computing unit quantities should be consistent with standards established in Chapter 10-2.1B.
7. It is recommended that sets of field notes and field books be numbered and titled in order to prevent their loss and to aid in tracking payments and their supporting information.

**10-1.3 Source Documents**

Field notes are one of the many items that might be considered as a Source Document. It is recommended that all field notes, base line notes, centerline notes, and grade books be recorded in bound books. If looseleaf books are to be used, care must be exercised to prevent lost pages.

Notes should be recorded in a manner that is neat, clear, uncrowded, and in sufficient detail so as to be easily understood.

Original entries later determined to be in error must not be obliterated by erasing, application of correction fluid, or taped over. Instead a line should be cleanly drawn through the mistaken entry and corrections entered directly above with the initials of the person making the change. This is very important, as erasures will destroy the legal standing of notes. When revisions require abandonment of a considerable portion of notes, they shall be crossed out and a cross reference made of the book and page number where the revised notes may be found.

Each Final Records book should be labeled and contain a title page using Forms 422-009 EF and 422-009B EF. Each book is to be numbered and a table of contents included on the first page following each book's title sheet. It is essential that original field notes and documents be carefully organized, kept, recorded, and maintained in safe filing facilities during the active stage of a project. These documents should be transferred to safe, adequate, and recoverable storage after the contract is completed. At all times, when not in use, all source documents, reports, survey notes, etc., should be kept in fire resistant files where possible. Additional information on source documents can also be found in Section 10-4.2 of this chapter.

## 10-2 Measurement of Items of Work

### 10-2.1 General

#### 10-2.1A Introduction

It is essential that the Project Engineer ensure proper controls are exercised when measuring items of work. The Project Engineer should also ensure that payments are not made for any item that cannot be substantiated by the project records regardless of the work's stage of completion. Items that are paid on the basis of weight or truck volume require measurement of the quantities involved, evidence for receipt of the materials, and documentation for both of these operations through the use of item quantity tickets or other delivery records.

#### 10-2.1B Quantity Details

The number of significant decimal places to which quantities should be measured and/or computed varies with the value or unit bid price of the respective items involved. Unless advised otherwise, the Project Engineer should use the following guidelines.

| Bid Price                   | Significant<br>Decimal Per Unit |
|-----------------------------|---------------------------------|
| Less than \$10 per unit     | 1.                              |
| From \$10 to \$100 per unit | 0.1                             |
| Over \$100 per unit         | 0.01                            |

Quite often, good practice would dictate that the various parts of a particular quantity be calculated to a higher significant decimal place or in some other unit, a unit other than that used for payment, and then be converted to the payment unit in the summation. Good judgment should be used in selecting when to actually apply rounding to the quantity. In general, it is considered proper to apply rounding at the first summation of each isolated part. For example, at the summation of a day's item quantity tickets the quantity to be recorded should be rounded to the proper significant decimal place and the rounded quantity recorded into the project ledger.

#### 10-2.1C Item Quantity Ticket

A three part Item Quantity Ticket (IQT), Form 422-021, has been developed for use as a tool in documenting the many items that are paid for on the basis of quantities of materials or other bid item services that are received at the project site. An example of an IQT can be found in Figure 10-1. When using either the State provided IQT or Contractor provided IQT, the Project Engineer should ensure that the items noted below, identified as minimum required information for documenting receipt of materials and for supporting payment of those materials, are completely filled out on each IQT utilized. Additional information may be added to the item quantity tickets at the option of the Project Office. However, this additional information would be intended only as a convenience for project staff in their work monitoring material use. The Project Engineer should also ensure that the carrier transporting each load of material or the person responsible for the particular contract bid item or service is issued an item quantity ticket for each delivery of the material or service to the jobsite.

In lieu of using Form 422-021, tickets may also be furnished by the Contractor, commercial scale companies, or suppliers at commercial plants or material sources. These tickets are sometimes electronically produced. In some instances these tickets can be programmed in advance of the hauling to accurately print, on each ticket, the minimum required information as noted below. While this can be done by the contractor in an effort to cooperate with the Project Office towards successful completion of the project, the Project Engineer must ultimately ensure that the minimum required information is accurately noted on each ticket.

The following minimum required information is to be recorded on each State-provided IQT, Contractor provided IQT, or IQT's produced by fully automated scales:

- Contract Number
- Date
- Contract Unit Bid Item No.
- Initials of person accepting the item on the jobsite
- Unit of measure
- Identification of hauling vehicle, as appropriate
- Record of the gross, tare, and net weights. If the scale has a tare beam so that the net weight can be read directly or when using batch plants or storage silos with direct reading scales, only the net weight need be recorded. If the unit of measurement is cubic meters, cubic yards, hours, etc. only the net amount need be recorded.

In addition to this minimum required information, there are a number of other items that could also be included on the item quantity tickets. While this information is helpful to others who may also be using these same tickets for monitoring materials, materials placement, or other issues, this additional information is not required for documentation supporting payment for materials received. Placing this information on

item quantity tickets can be helpful, but is solely at the option of the Project Office. Some of these optional items may include:

- The Group, Station, Mile, or Kilometer of material placement or use can be noted to help identify material's location on the jobsite. It can also be used to help identify group payment.
- Contractor/Subcontractor completing the work represented by the ticket noted.
- Cumulative totals for the day.
- Pit number identifying the source of the material.
- Time weighed and initials of the person issuing the ticket.
- Time materials or services are received on the jobsite.
- Description of the material that matches the unit bid item name.
- Ticket serial number, etc.

A representative of WSDOT should be assigned as a receiver at the delivery site or at the site where the item is to be placed. The receiver should collect the tickets from the carrier upon delivery of the ticketed material, record any required or additional information on the ticket as necessary, and retain the original copy for payment. When using Contractor or State provided multiple part tickets, the Contractor's representative should be provided the copy marked "Contractor" either upon delivery or at the end of each day's operation.

For materials or services that are not paid for by weight, the receiver should complete the ticket at the point of delivery. The appropriate items required to identify the material or bid item service, the quantity, and its placement should then be filled in.

Payment and documentation of materials received should be based on the original tickets received at the project site. Any tickets that may be identified as missing should be reconciled immediately with the Contractor so they will not be in contention for payment at a later date. Unless the Project Engineer decides otherwise, when using the State provided item quantity tickets it is not necessary to retain the goldenrod or "Book" copy. Once the Contractor has been provided with the green copy of the ticket marked "Contractor" and the white copy of the ticket marked "Original" has been reconciled and approved for payment, the goldenrod or "Book" copy may be discarded.

### 10-2.1D Conversion Factors

Conversion factors for liquid asphalt can be found in Section 1-09.1 of the *Standard Specifications*. Where the plans require a weight measurement for minor items of construction, the contractor may request permission to convert volume to weight. When approved by the engineer, an agreed factor may be used to make this conversion and volume may be used to calculate the corresponding weight for payment. The provisions for this conversion factor can

be found in Section 1-09.2(5) of the *Standard Specifications*. When using a conversion factor the Project Engineer must perform adequate tests and retain supporting data establishing the conversion factor or new price quotation. A letter of agreement or change order for the conversion factor is needed.

## 10-2.2 Items Measured by Weight

### 10-2.2A General Instructions

All materials paid on the basis of weight are to be weighed in accordance with the provisions of the *Standard Specifications* by a representative of WSDOT or at commercial scales operated by a commercial scale operator. When commercial scales are used a representative of WSDOT will periodically observe the weighing operation and scale check procedures. These periodic reviews are to be unscheduled and not less than twice a week. Both WSDOT and commercial scale operators will record the necessary weights and information on Item Quantity Tickets in accordance with Chapter 10-2.1C of this manual.

In accordance with Section 1-09.2(1) of the *Standard Specifications*, WSDOT and commercial scale operators will test the scales at least once daily. Several times each day the operator will also make certain the scale balances and returns to zero when the load is removed. The results of scale testing conducted by both WSDOT and commercial scale operators including determination of scale variance, AM/PM tare weights where needed, and intermittent scale balancing are to be recorded for each day's production on the Scaleman's Daily Report Form 422-027 EF. These reports representing each day's production are to be submitted to the engineer daily.

When platform scales are used the scale platform shall be of sufficient length to weigh the entire hauling vehicle or combination of connected vehicles at one time. When needed for gross weight determinations, tare weights for each truck are to be taken at least twice daily and recorded on a tare sheet, scaleperson's diary, or shown on the Scaleman's Daily Report. When using a tare beam scale, the tare weight for each individual truck is to be set on the beam at the time of weighing.

For most materials, material and tare weights will be measured to the nearest 100 pounds (50 kilograms). In determining quantities for materials produced from batch type mixing plants, where individual components of each batch of materials are weighed before mixing, the batch weights are acceptable for measurement and payment.

When placing surfacing materials, gravel backfill, riprap, and other similar materials the preferred method for acceptance of quantity is by Item Quantity Tickets. However, where it is reasonably certain that no diversion or substitution of materials can occur, or where an alternative method of calculating the approximate quantity received can be devised, the requirement for issuing and receiving a weight ticket for each individual truckload can be waived. The Project Engineer must approve the use of this procedure in advance of the hauling operation and document to the file the reasons for doing so. In making this decision the Project Engineer

should review the risks and the benefit/costs for altering the standard method for receipt of materials. Among other things, this review could include labor savings, the proximity of the scale location to the point at which the materials are to be received, the potential or risk for diversion or substitution of materials, efforts made to mitigate those risks, as well as the methods used to verify the quantities of materials that are received. If an alternate method for receipt of materials is approved it must include provisions for keeping a scale sheet where the weights for each load are recorded along with the other information normally required for an Item Quantity Ticket. The method must also include a procedure for validating the quantities indicated by the dispatch record as being received. This might be a tally sheet, maintained at the project site, showing the arrival of each load. Another method might be a calculation of neat-line volume, which could be compared with weighed quantity to disclose a reasonable conversion factor. In any method, an occasional random check of a loaded vehicle will be needed to provide validation of both the weigher and the scale.

### **10-2.2B Weighing of Small Quantities**

It is recognized that there are certain instances involving small quantities of weighed materials where commercial scales are not reasonably available or where the Project Engineer is unable to staff a WSDOT scale operator to weigh materials at a contractor provided scale. In these instances where materials are received intermittently throughout the day and the quantities amount to less than 200 tons (tonnes) of untreated materials or 100 tons (tonnes) of treated materials per day, the Project Engineer may choose to receive the material on the basis of weights supplied by the Contractor or supplier. The Project Engineer should ensure that an Item Quantity Ticket is filled out completely and signed by the person who is the weigher of the material. A Scaleman's Daily report is not required for the weighing of these small quantities of materials. Under these conditions, the acceptance of the material will depend entirely on the judgment of the receiver. The receiver of the material should observe the load to ensure the quantity of material shown on the weight ticket appears to be reasonable. The receiver should note this observation in the remarks section on the weight ticket supplied by the Contractor.

The Project Engineer should use their professional judgment in limiting the use of contractor provided weights. This provision is provided to the engineer so that effective scheduling of WSDOT forces can be made in order to meet other project inspection demands. Every effort should be made to use either a WSDOT or a commercial scale operator while limiting the use of this provision to only those instances that require this action.

### **10-2.2C Weighing Equipment**

Scales for the weighing of natural, manufactured, or processed highway and bridge construction materials that are required to be proportioned or measured and paid for by weight, are to be furnished, erected, and maintained by the Contractor, or be permanently installed, certified, commercial scales. All weighing equipment and scale operations must meet the specific requirements noted in Section 1-09.2 of the *Standard Specifications*.

## **10-2.3 Items Measured by Volume**

### **10-2.3A Truck Measure**

Except as noted below, when materials are measured and paid on the basis of volume delivered in trucks, the Project Engineer should ensure that a receiver is assigned at the point of delivery to issue or receive load tickets and to make periodic computations of yield where applicable.

Item Quantity Tickets (see Chapter 10-2.1C) should be used for recording the volume of materials paid on the basis of truck measure. The tickets should include all information previously noted as required for materials measured by weight, with the substitution of measured volume in place of measured weight to be shown as the quantity received.

#### ***Surfacing Material, Gravel, Topsoil, etc.***

In lieu of issuing individual load tickets when surfacing materials, gravel backfill, top soil, etc., are measured and paid for on the basis of volume delivered in trucks, it is acceptable for the Project Engineer to maintain a field book record showing a recording for each delivery, issuing one ticket for the total amount delivered for each item at the end of each work shift. The field book record will show the truck number, time of delivery, and volume for each load. The ticket issued shall show all pertinent data including reference to the field book number.

In documenting the size of loads received, ensure the following procedures are followed:

1. The truck box of each hauling conveyance will be measured, calculated, and recorded for final records to the nearest 0.1 cubic yard (cubic meter) based on a struck or water level height for the leveled load. Although state law requires 6 inches (152 millimeters) of freeboard on loaded aggregate material trucks, the actual quantity hauled or calculated may exceed the measured capacity. This is due to the normal practice of heaping material in the center of the load.
2. The material receiver should have sufficient loads leveled at the point of delivery in order to judge consistency in the quantity being hauled.
3. Load volume will be recorded to the nearest cubic yard (0.5 cubic meter) for pay purposes using the volume computed in part (1) above. If the Inspector questions whether a truck is fully loaded, the load will be leveled. If the vehicle is not fully loaded, the Inspector will measure and document the actual load to the nearest cubic yard (0.5 cubic meter).

#### ***Water***

In order to document the amount of water delivered to the project, a Water Delivery Record, Form 422-024, should be maintained showing all pertinent information including time, volume, location of delivery for each load, contract number, and truck number. If the driver maintains the Water Delivery Record, it should be signed by the truck driver or the Contractor and initialed by the Inspector. Daily spot checks should also be completed verifying the quantities being

delivered. When performed, random spot checks should be noted on the Delivery Record itself. At the end of each work shift an Item Quantity Ticket should be issued to cover the water delivered to the project that day. The Water Delivery Record should be maintained in a manner that allows it to be easily referenced to the corresponding WSDOT copy of the Item Quantity Ticket used for payment.

The Project Engineer should ensure that the capacity of each water truck is determined by measuring or weighing, and is recorded in the project records. It is recommended that copies of the truck identification and capacity records be attached to the water ticket book to ensure the information is available to the field Inspector.

When water meters are installed at the discharge point for hydrants or water trucks, the Inspector should record the meter reading at the beginning and end of each shift and issue a ticket for the net quantity of water placed in accordance with contract specifications for the item. The Project Engineer should also ensure that the meters are checked for accuracy and that the checks are recorded in support of payment documentation.

### **10-2.3B Cross-Sections**

Many excavation items are measured by field cross sections and/or template notes. The Project Engineer should ensure that the project is staked and measured accurately in accordance with guidance noted in the "Basic Surveying" manual and utilizing sound engineering practices. As a minimum, the field notes should show the date the data was taken, weather, Crewmembers, and their assigned duties. When re measurements are required, it is important that the same base line and elevation datum be used.

Documentation of volume measurement for excavation areas which require original and final measurements, should contain cross references between the original notes and the re-measure notes. Also references should be made to the transit notes and elevation datum for that excavation area.

### **10-2.3C Neat Line Measurement**

Some items, such as concrete volumes, are paid based on dimensions detailed in the plans. For these items, the quantities need to be calculated and the calculations made a part of the record. If additional sketches or dimensions are also required in order to compute the quantities, these should be included in the records as well.

Other items, such as structure excavation and gravel backfill, are measured for payment using neat line volumes based on plan dimensions as a maximum limit. These items require field measurement to determine pay quantities that may be less than neat line maximums. Many times, sketches with the dimensions shown are desirable. The dimensions should show the limits of the actual work, except when these limits exceed the maximum allowed for payment, then the dimensions should be limited to the maximum allowed.

### **10-2.4 Items Measured by Hour/Day**

When contract items are to be measured and paid for on an hourly or daily basis, the Project Engineer is to ensure that a WSDOT representative is assigned to verify the hours or days of payment, and issue Item Quantity Tickets or other verified field note records. At least one ticket should be issued at the end of each work shift or working period. The Project Engineer should ensure that tickets show all pertinent information for the item involved. Some items measured by the hour may be eligible for payment during non-shift hours; for example, a 24-hour flashing arrow used for lane closures or detours in effect during nonworking hours. In these situations, an Item Quantity Ticket for one shift may show more hours for payment than are actually available within the shift.

In order to ensure agreement on the hours or days of work performed, Item Quantity Tickets for items of work measured by the hour or by the day should be initialed by the Inspector and signed by the Contractor's representative on a day-to-day basis.

### **10-2.5 Items Measured by Lump Sum**

For items that are to be paid on a Lump Sum basis, the project records should identify the item, the date that the material was received, and/or the date work was accomplished. This can be accomplished by ensuring that a field note record is made showing the dates work was performed, has the initial of the Inspector, and shows the work to be 100 percent complete. A field note should also be used to show any estimated portions for progress payment of a Lump Sum amount prior to 100 percent completion. It must include the basis on which any quantities used for progress estimate payments were calculated.

### **10-2.6 Items Measured by Other Units**

#### **10-2.6A Linear Measurement**

Records for materials measured by length should show the length measured, initials of the persons making the measurements, and the date measured.

For features, such as guard rail and barrier, that are paid by length and which contain repetitive elements or units, the length may be "measured" by calculation. In other words, if the length of a single element is known, then the number of elements may be counted and multiplied by that amount and a total "measured" length determined. Care should be taken to account for odd length elements, such as end sections and custom-fabricated pieces, and for areas where elements overlap or gaps exist.

Records for measurement should also include the beginning and ending stations of the work, recorded by the Inspector or person making the measurement, tying the work to its location on the project. The dates of construction should also be recorded.

### 10-2.6B Area Measurement

Records for materials or work measured by area should show the length and width measured or otherwise determined, initials of the persons making the measurements, and the date measured. In many instances a sketch of the area with the measurements would be very helpful in showing the computed area. The dates of construction should also be recorded.

### 10-2.6C Per Each Measurement

Records for materials or work measured per each unit should provide a listing showing the location of each item constructed, dates constructed, and initials of the Inspector or person measuring the item.

### 10-2.7 Items Bid at “No Charge”

Normal documentation procedures are not required for items bid at “no charge” if the items do not physically constitute a portion of the finished work. However, notes in the diary or Inspector’s Daily Report are necessary to show when the work was done. Examples of these items might include water, haul, and embankment compaction.

For items bid at “no charge” which physically constitute a portion of the finished work, normal documentation procedures, such as Item Quantity Tickets or cross sections, are required to show how the item was incorporated into the project. Examples of these items might include layering materials and prime coat aggregate.

## 10-3 Final Records for Projects Constructed by Contract

### 10-3.1 Records

These records consist of field books, Inspector’s record of field tests, project and Inspector’s diaries, Inspector’s Daily Reports, invoices, weigh bills, Item Quantity Tickets, receiving reports, project ledgers, mass diagrams, plotted cross-sections, computer listings, working profiles, and any other documents that could be considered a basis of payment for work performed or materials furnished. All records that are created during the administration of a construction project can be placed in one of two categories, *Permanent Records*, records kept by the Headquarters and State Archives for future reference, and *Temporary Records*, records kept by the Region for a limited period of time after which they are discarded by the Region.

#### 10-3.1A Permanent Records

The Region should ensure that those records designated as *Permanent Records*, records that are to be permanently filed, are assembled as a portion of the overall project final records and are submitted to Headquarters, Engineering Records for filing. All final records sent to Headquarters for filing will be kept permanently as the Permanent Final Records for the completed project.

All final record books prepared for *Permanent Final Records* are to be numbered as outlined below.

*Permanent Records* consist of the following:

Records provided by Headquarters:

- Contracts
- Change Orders
- Contract Estimate Payments

Records provided by the Project Office in books numbered as follows:

- Final Record Book Number 1
- Project Engineer’s Diary – Book Number 2
- Inspector’s Daily Reports – Book Number 3
- Traffic Control Reports – Book Number 4  
Contractors Daily Report of Traffic Control and Traffic Surveillance
- Pile Driving Records – Book Number 5
- Post Tensioning Records – Book Number 6
- Miscellaneous Records – Book No. 7
- As Built Plans and Completed Contractor Provided Shop Drawings

### 10-3.1B Temporary Final Records

All records designated as *Temporary Final Records* are to be retained within the Region for a period of three years after which they may be destroyed. If a claim, lawsuit, or other circumstance is found to be pending at the end of this three year period, the Region should further retain those pertinent records until the issues have been resolved. The Region should ensure that those records designated as *Temporary Final Records* are also assembled as a portion of the overall project final records. The date for the beginning of this three year retention period for State-funded projects is the Acceptance Date; the date the State Construction Engineer signs the Final Contract Voucher Certification accepting the project. If Federal funds are involved in the project, the date for the beginning of this three-year retention period is the date that FHWA accepts the final payment voucher. The Headquarters Records Services will send a copy of Retention of Records on Federal Aid Projects (DOT Form 133-072) to the Region that specifically indicates the starting and ending dates for this period.

The following list contains some of the items that may be kept as *Temporary Final Records*. This listing is not a complete listing of all the possible items that could be grouped into this category. In short, *Temporary Final Records* consist of all project records that are not kept as *Permanent Final Records*. If *Temporary Final Records* are kept in numbered books then, in order to eliminate confusion with *Permanent Final Records*, these books are to be numbered consecutively beginning with Book Number 8. Examples of *Temporary Final Records* include:

- Item Quantity Tickets
- Project Engineer's Copy of Estimates
- Project Correspondence
- Inspector's Record of Field Tests
- Scaleman's Diary and Scale Checks
- Scale Test Reports
- Concrete Pour Records
- Record of Field Audits
- Approval of Source of Materials
- Quantity Computation Sheets
- Surfacing Depth Check Records
- Prints of Shop Drawings
- Contractor's Payrolls (Federal Aid Projects)
- Source document files
- Alignment (Transit) Book
- Grade Book
- Cross-Section Notes
- Drainage Notes
- Photographs
- Mass Diagrams
- Computer Summary Sheets
- Computer Listings
- Falsework and Form Plans
- Daily Report of Force Account Worked
- Quarterly Report of Amounts Credited DBE Participation
- Annual Report of Amounts Paid as MBE/WBE Participation
- Washington State Patrol Field Check list

### 10-3.2 Contracts

The original signed contract documents are maintained in the Contract Processing Section of the State Accounting Services Office during the active stage of a contract. After final payment has been made, Accounting sends these documents to Records Services for permanent filing.

### 10-3.3 Change Orders

Approved change orders are a legal part of the contract documents and are treated just like the original contract documents. For a complete discussion of change orders, see Chapter 1-2.4C.

### 10-3.4 Contract Estimate Payments

Documentation of contract estimate payments is facilitated by use of the electronic Contract Administration and Payment System (CAPS) which includes both the monthly progress estimates and the final estimate. For a complete discussion of the contract estimate process, see Chapter 1-3.1. Specific information on the final estimate package is found in Chapter 1-3.1D. After final payment has been made, Accounting sends these documents to Records Services for permanent filing.

### 10-3.5 Final Record Book No. 1

Final Record Book No. 1 is the first book of the *Permanent Final Records* for a construction contract. It contains indices to the records that have been compiled for both *Permanent and Temporary Final Records*. It also identifies the people who worked on the project and provides specific summary information. Final Record Book No. 1 is to be signed by the Regional Administrator or designee. Final Record Book No. 1 should contain a title sheet, Form 422 009 EF, and should be assembled with a semi rigid, water resistant cover.

The following records are to be incorporated into Final Record Book No. 1 in the order as arranged below. No other material is to be included in this book.

1. *Index*. There are two indices referred to within Final Record Book No. 1. The first is an index or detailed listing showing the various sections of Final Record Book No. 1 itself. An example of an index for Final Record Book No. 1 can be found in Figure 10-2. The second index is actually the first section of the book. It provides a detailed listing of all records that have been kept and assembled for the project, including both *Permanent Records* and *Temporary Records*. An example of this listing or index for Section 1 can be found in Figure 10-3.
2. *WSDOT Personnel List*. Section 2 of Final Record Book No. 1 contains a listing of all WSDOT personnel assigned to the project and their classifications. Each person noted should place their identifying initials after their name on the listing in the same manner as it appears in other final record documents.
3. *Comparison of Quantities*. Section 3 of Final Record Book No. 1 contains this CAPS report prepared from the Final Estimate.
4. *Final Estimate Sheets*. Section 4 of Final Record Book No. 1 contains a copy of the Final Contract Voucher Certification.
5. *Contract Estimate Payment Totals*. Section 5 of Final Record Book No.1 contains a copy of this report obtained from the final estimate.
6. *Affidavit of Wages Paid*. Section 6 of Final Records Book No. 1 contains all Affidavit of Wages Paid received from the Contractor, subcontractors, lower tier subcontractors or suppliers performing work or providing certain products to the project.

7. *Change Orders.* Section 7 of Final Records Book No. 1 contains a listing of all Change Orders prepared for the completed project.

8. *Record of Construction Materials.* Section 8 of Final Records Book No. 1 contains a tabulation showing the source of all construction materials. If material of a certain type was obtained from two or more sources, the station limits or parts of a structure relative to each source should be shown. Depending on the size of project and the method used to record this activity, a copy of the completed Record of Materials (ROM) or a summary from the contract's ROM database may satisfy this requirement. This is an acceptable method as opposed to preparing a separate or duplicate listing.

When preparing the individual Final Record Books, other than Book No. 1, it is not necessary to label pages within each book. Where it is appropriate, a table of contents may be added to identify sections within a particular book.

### **10-3.6 Diary Records**

Diary records consist of both the Project Diary(s) and the Inspector's Daily Report (IDR). Together they should provide a complete narrative picture of the project, covering both the normal work processes and anything unusual that might have occurred on the project. Diary records are to be included in the project's *Permanent Final Records*.

#### **10-3.6A Project Engineer's Diary**

A complete, well-kept Project Diary is a valuable administrative tool. It is a collection point for many of the project's pertinent facts arranged in any chronological order. It may show how questions were answered, how problems were solved, progress of the work, and unusual conditions pertaining to working days charged. It can provide data for analysis of both claims and requests for extensions of contract time. It is also available for reference long after the work is completed.

The Project Engineer should ensure that a Project Diary is kept current for every construction contract. It is recommended that the Project Diary be maintained primarily by the Project Engineer. However this responsibility may be delegated to the Assistant Project Engineer or to the Chief Field Inspector. At a minimum, one Construction Project Diary is required for each project. The Project Diary should be used to record all matters of importance which are not covered by other routine reports or may contain a record of routine matters if the circumstances are unusual, conferences with the Contractor or the Contractor's field representative, agreements made, special notes regarding equipment or organization, labor conditions, weather or other causes for delays if of any consequence, and any other matters that might have a bearing on the completion of the project. To avoid keeping separate diaries and to avoid duplication, the Project Engineer and the principal assistant(s) may make entries in the same diary. Each diary entry should include the date of the entry and be followed by a signature or initials on the line immediately under the entry to identify the writer. The Project Engineer is responsible for ensuring the existence of a Construction Project Diary for each project.

#### **10-3.6B Inspector's Daily Report**

The Inspector's Daily Report (IDR) is a record of operations for a specific type of work on the project, such as surfacing, grading, paving, bridge, etc., which is being inspected by the writer. Page one of the IDR is a structured sheet of questions addressing identification of work operations and the associated labor and equipment being used to accomplish the work. This page should be filled out completely for all questions that pertain to the specific type of work activity being inspected. Page two is a narrative portion that should include a notation of any orders given or received, discussions with the Contractor, unusual conditions, delays in the operations, and the presence of any visitors. If an operation is being inspected which results in the partial payment of an item, the item should be identified along with the basis for calculating the partial payment. It is also of value to note the Inspector or Engineer's activities in the daily report.

The Project Engineer should ensure that the Inspector's Daily Report, Forms 422-004 EF, 422-004A EF, and 422-004B EF, are utilized for completing this daily report of activities. Each page of these forms is printed separately in a tablet in duplicate on NCR paper. Both types of tablets have the instructions printed on the tablet cover. The original copy is to be submitted to the Project Engineer each day.

If necessary, the Project Engineer should add comments or remarks on the original copies of the Inspector's Daily Reports to clarify the report. The duplicate copy of the report should remain in the book for the Inspector's immediate information and may be discarded when it is no longer useful for that purpose. The original copies of the Inspector's Daily Report should be included in the Final Records for permanent retention.

#### **IDR Content**

The IDR is intended to document communication, progress of work, contractor workforce/equipment and materials sampling/acceptance. Keeping this in mind, the following are general rules for content of IDR's:

1. Remember that the IDR is part of the public record and may be called upon in case of litigation. The level of detail and professionalism exhibited may be of great benefit.
2. Do not make (or document) derogatory comments, as this is unprofessional behavior, and may be used to demonstrate that the inspector was hostile toward the Contractor and did not behave in a manner consistent with good faith.
3. All statements must be based on facts and requirements should reference the contract requirements.
4. All entries should be clear, neat, correctly spelled, and most importantly, legible.
5. Summarize key points of any discussion of work activities with the Contractor.
6. Be specific when recording information about work activities. Use drainage codes, exact bid item numbers, line and station limits, etc. Avoid referencing a co-worker's IDR, but if doing so, attach a copy.

7. Be specific when recording deliveries of materials to the project. Use bid item numbers, drainage codes, RAM number, etc. Record heat numbers, lot numbers, "Approved For Shipment" and "WSDOT Inspected" tags or stamps, etc. Using the IDR as materials documentation is acceptable. If used as documentation for acceptance, a copy of the IDR, with the appropriate items high-lighted, should be included with the materials documentation file.
8. Daily Equipment Status Reports should be complete and current.
  - Record all equipment, including any trailer or transport used to deliver equipment to the project.
  - Record the make, model and year of equipment. Request an equipment list from the Contractor and keep it updated. Photos make a good record of condition and configuration.
  - Record the exact bid item on which the equipment was working.
  - Understand the difference between down, idle and standby time; and use the correct term on the report.
  - Record crew composition (once a week or whenever it changes) along with the hours worked where practicable. This can be done on a separate IDR or in the narrative portion (pg 2).
9. Record a chronology of events throughout the day, as they occur. Taking notes and transferring them to the IDR will work, but duplicates work and introduces and opportunity for error.
10. Record any potential delay, in as much detail as possible. Include start and end time, who was notified of the issue and when; along with any mitigating action by the Inspector or the Contractor.
11. Record every time the Contractor disagrees with a determination or protests a decision by the Engineer, and remind the Contractor to follow the process for protest as defined in the Standard Specifications.

Subject to the following, it is acceptable for inspectors to produce IDR's by recording information onto a recording device while at the job site for later transcription to a paper format.

1. All information required on the regular handwritten form must appear on the typed version.
2. The inspector must read and sign the typed document. (It is desirable for this to take place within 24-48 hours of the reporting period. However, it is recognized that certain situations may not permit this time frame and therefore it is not mandatory.)
3. The inspector may make and initial hand corrections to the typed document.

Please note that inspectors who use lap top computers can also produce electronic versions of the IDR document. The electronically produced document must be complete, including signature, consistent with the above criteria.

### **10-3.7 Record of Collisions and Traffic Control**

#### **10-3.7A Record of Collisions and Traffic Surveillance**

In the past, all Record of Accidents (now know as Record of Collisions) received by the project engineer's office used to be included as part of the Permanent Records. Since collisions recorded by the WSP are now part of WSDOT's Transportation Data Office records (TDO), there is no need for a project office to keep Record of Collisions in either the Temporary or Final Records. If it is necessary to change traffic control as a result of a collision, the project office only needs to reference the record of collision report in either the Project Engineer's diary or Inspector's Daily Report. The Record of Collisions should only be used during the life of the project to augment decisions on changing traffic control plans during construction. It should be noted that Chapter 1-2.3E of this manual does not require a collision report be obtained for every collision that may occur within the project limits.

A separate file should also contain the records of traffic control surveillance prepared in accordance with Chapter 1-2.3E of this manual. Information in this file should be kept current and upon completion of the contract, submitted to Headquarters Engineering Records as a part of the project's *Permanent Final Records*. When the Washington State Patrol provides the Project Engineer with traffic control assistance they also provide the Engineer with form 421-045 EF, WSP Traffic Control Checklist. While this form is a part of the traffic control operations, it can be kept separately and made part of the Temporary Final Records.

#### **10-3.7B Contractor's Daily Report of Traffic Control**

The Contractor's Daily Report of Traffic Control (DOT Forms 421-040A EF and 421-040B EF), completed by the Contractor's Traffic Control Supervisor, should also be included as part of the project's *Permanent Final Records*. The Contractor's Daily Report of Traffic Control is discussed in more detail in Chapter 1-2.3 of this manual.

### **10-3.8 Pile Driving Records**

The Pile Driving Record Book, Form 450-004, should be included and made a part of the *Permanent Final Records*. The requirements for pile driving and pile driving records are further detailed in Chapter 6 of this manual.

### **10-3.9 Post Tensioning Records**

The Post Tensioning Record Book, Form 450-005 EF, should be included and made a part of the *Permanent Final Records*. The requirements for post tensioning and post tensioning records are further detailed in Chapter 6 of this manual.

### 10-3.10 Miscellaneous Records

Miscellaneous Records are, in general, optional records and may be included in the permanent records at the Project Engineer's discretion. This part of the records is intended for items that might be considered of added importance. This might include photographs of special features or construction methods, information regarding opening to traffic, dedication activities, or other documentation of particular importance. Placing these in the *Permanent Final Records* will make them a matter of permanent record where they will be retained for future reference.

Records of environmental contamination issues, such as records of disposal of contaminated materials, are not optional and should be included in Miscellaneous Records.

### 10-3.11 As-Built Plans

As-Built Plans are a record of changes made to the originally intended physical product of the contract. As-Built drawings should reflect the same degree of detail as the original plan drawings. As-Built Plans are necessary as a way of preserving the historical detail of what occurred on the project. As-Built Plans can also be used as a basis to plan and design future projects in the same location and to make repairs to damaged structural components or other non-functioning facilities. In addition, state law requires that owners of "underground facilities" be able to locate these facilities within 24 inches (600 millimeters) of the outside dimensions. As-Built Plans offer a convenient means for recording these facilities.

Within two weeks after a contract has been awarded, the State Pre-Contract Administration Office or Printing Services Office will furnish the Region Office with one set of large size black line prints of the contract plans which will be marked "For As Constructed Plans Only." These plans shall be used by the Project Engineer solely for the purpose of preparing "As-Built Plans." All corrections, revisions, and additional sketches, necessary to depict the work as it was constructed should be shown on these plans. Corrections are to be made by lining out quantities or features that were changed during construction, then noting the correction or change in red ink. These corrections and revisions are to be noted on the plans in a manner that results in neat and legible sheets. A red pen that writes sharp, clear, and dark with a medium width line shall be used to mark these notations. Fine lined pens do not reproduce well when scanned and are not to be used. If electronic versions of these plans are available, corrections noted electronically and plotted in a manner that produces these same results are acceptable. Special care must be taken to ensure that changes in construction are noted on all contract plan sheets affected by the change. For instance, the change in location of a catch basin or manhole may affect the location listed in the structure note sheet, the drainage plan view sheet, and the drainage profile sheet.

If concrete foundations are partially removed, the remaining portions of the foundations should be shown on the As-Built Plans. It is not required that the As-Built, Summary of Quantities sheets be revised to reflect final estimate quantities. Summary of Quantity sheets are to be marked

identifying them as original plan quantities which are shown as preliminary estimates of work. It should also be noted that final As-Built quantities for individual unit bid items can be obtained from the final CAPS ledger for the project.

In order to help identify significant changes in work location or significant changes in the work completed at a particular location, the Quantity Tabulation sheets must be updated to show the actual physical feature items or the locations of installations where significant changes were made. Types of significant changes may include revisions to guardrail, guardrail termini, post types, anchors or anchor types, revisions to monuments, etc. The intent is to show what significant changes to the planned work were made. Except for significant changes to quantities of items used or items added at a particular installation, it is not necessary to update item quantities for actual quantities used. Final As-Built quantities for the individual unit bid items can be more accurately obtained from the final CAPS ledger for the project.

In order to help identify significant changes in work location or the significant changes in the structure work completed at a particular location, the Structure Note sheets must be updated to show the actual physical feature items or the locations of installations where these significant changes were made. Types of significant changes may include structure notes that were added or revised, pipe size and types that were changed, revised locations for catch basins manholes, etc. The intent is to show what significant changes to the planned work were made. Except for significant changes to quantities of items used or items added at a particular installation, it is not necessary to update item quantities for actual quantities used. Final As-Built quantities for the individual unit bid items involved can be more accurately obtained from the final CAPS ledger for the project.

Correction tape may only be used to complete corrections or revisions made to the Quantity Tabulation and Structure Note sheets. Correction tape is not to be used for noting corrections on any other plan sheet of the As-Built plans. If electronic versions of these sheets are available, corrections noted electronically that clearly depict that a change has been made and plotted in a manner that produces these same results, is acceptable.

In addition to the requirements outlined above for As-Constructed or As-Built contract plans, the *Standard Specifications* also require that the Contractor furnish the Engineer with original reproducible tracings or drawings suitable for scanning or for use in correcting contract plans for; shop drawings, schematic circuit drawings etc. for Illumination, Traffic Signal Systems, and Electrical for shop drawings, including approved revisions for prestressed structural elements and all other structural steel components fabricated from shop plans. Specific requirements for these plans are outlined in Sections 6-02.3(26)A, 6-03.3(7), 8-03.3(10) and 8-20.3(17) of the *Standard Specifications*.

Upon project completion, all “As-Built” plans are to be arranged in numerical sequence, including a cover sheet using Form 722-025, and submitted to the Headquarters Engineering Records office, where they will become a part of the project *Permanent Final Records*. As-Built plans are being scanned to the Record Management Information System (RMIS). In order to achieve consistency, each Region shall:

- Submit as-built plan sheets with Form 722-025 EF attached
- Submit full sized plan sheets only
- Make corrections in red
- Attach photographs, when appropriate, in a .Jpg or .TIF format

Unless notified by the Region to do otherwise, Engineering Records will recycle (shred) the submitted as-built plans.

### **10-3.12 Final Record Field Notebooks**

Field notebooks are bound books of notes that are used for specific kinds of work such as alignment notes, grading notes, pile driving notes, etc. Field notebooks can also consist of loose leaf field notes that have been bound together into books as well. Records that appear in the field books should not be duplicated and placed in other final record books. The only exception to this rule are copies of Field Note Records with multiple item numbers which may be copied as described in Chapter 10-4.3, Structure Notes.

Field notebooks should be consecutively numbered and each should have the pages numbered beginning with number one. Typing information in the field book is not necessary as hand lettering is preferred. As with other project records, erasure corrections of any kind are not permitted.

The quantities for payment for each item of work in the field notebook shall correspond directly to entries in the CAPS project ledger. Adequate cross-referencing must be made between the field notebook and the project ledger in order to trace item quantities and entries from one to the other.

The field notes should show the initials of the persons or person making them, the date, and the weather conditions if appropriate. In some cases, different stages of work will be noted on the same page, such as staking, measurement, and construction. This would require dates and initials at each stage of work. The notes shall also show the dates that quantities are computed and checked along with the initials of those persons doing the work. In all cases, field notes should be neat and legible and show all necessary information. Figures 10-4 and 10-5 show sample field notes and summary for clearing.

Sketches should be shown when necessary to compute a quantity that cannot be computed from the As-Built Plans. Sometimes structure excavation sketches are helpful for determining the pay limits and computing the volume; other sketches are helpful on special details.

Current business practices provide for electronic calculation and storage of all types of detailed surveying data, quantity calculations, etc. Data forms for template input, calculation setup, forms for direct recording of field information, storage media for electronic files, as well as output for the calculated data shall all be treated as an original source documents. See Chapter 10-3.13 for further direction in regards to electronic data.

Remeasure cross section notes, where a deviation from the established roadway section or slopes has occurred, should be indexed carefully so that they can be identified readily with the original cross section. For convenience of calculation on remeasure, plotted cross sections may also be used.

Structure and drainage notes in the Final Record Field Notebook should show the stationing, distance left or right, angle or skew if applicable, flow line elevation and grade in the case of culverts, drains and ditches, and all information necessary for computation of the pay items involved in the construction. For convenience, it is recommended that all pay quantities pertaining to the construction of items listed on the Structure Notes sheets of the plans, be shown in the field book with structure note number, item number, and quantities, and that cross-references be used to show where the totals were obtained. It should be remembered that quantities must be segregated by group number as shown in the summary of quantities contained in the contract plans.

For use as an example, Figures 10-6 and 10-7 show the front and back of a completed field note for the installation of a reinforced concrete sewer pipe.

### **10-3.13 Electronically Produced Documents**

There are many computer applications available for use on a WSDOT highway construction project. Included are programs for earthwork quantities, mass diagrams, basic cut and fill, geometrics, surveying, and for determining structural quantities. In addition, there are many other “stand alone” applications created by individuals in each office for use on personal computers that are also recognized for these kinds of uses.

When electronic computations are used, the output generated must be bound together and identified with a title sheet for final record purposes. These documents are to be made a part of the three-year *Temporary Final Records* retained by the Region as explained in Chapter 10-3.1. When a computer program is used to calculate quantities for payment, the summary sheets containing the quantities entered in the project ledger must be treated as source documents with all required signatures, dates, ledger entry number, and sufficient cross referencing to provide a good audit trail.

### 10-3.14 Photographs

A detailed photographic record is an important part of the project documents. A photographic record could consist of filmed photographs, digital photos, infrared photographs, video, etc. A photographic record should be taken of unusual equipment, construction methods, problem areas, areas of possible controversy, traffic control, and especially conditions in the area of an accident. In addition to these are "before" and "after" views taken from the same vantage point. These are particularly useful in documenting the progress of work. When photographs are to be maintained as a part of the project documents they must be fully identified. Photographs should clearly note when they were taken (date and time), where they were taken, and who took the picture. Although photographs are placed in the category of three-year *Temporary Final Records*, some Regions have extended the Region retention period for photographs or have even included them as a part of the project's *Permanent Final Records* for permanent retention.

### 10-3.15 Pre-Estimate Reports

A Pre-Estimate report prepares the CAPS system to make an estimate payment. This report provides the opportunity for the project office to preview the estimate and is a means to allow for any corrections or deferments to be made before actual payment. The corrected Pre-Estimate Report used to make a progress payment must be signed by the Project Engineer in order to indicate authorization for payment. The signed Pre-Estimate Report must be retained in the project files, and become a part of the three-year *Temporary Final Records*. For additional information regarding progress payments and the CAPS system, see Chapter 1 3.1B of this manual.

### 10-3.16 Estimate Reports

When a payment is made to the Contractor for a progress or Final Estimate, the project office receives a copy of all the reports that are sent to the Contractor along with the warrant. The Contract Estimate Payment Advice report and the Contract Estimate Payment Totals report should be compared to the Pre-Estimate report verifying that the amount actually paid is the same as the amount authorized. These estimate reports should be kept with the completed Pre-Estimate reports in the project files, and become a part of the three-year *Temporary Final Records*. For additional information regarding progress payments and the CAPS system, see Chapter 1-3.1B of this manual

## 10-4 Project Ledger System

### 10-4.1 General

The Contract Administration and Payment System (CAPS) provides both an accounting and payment system, while also acting as an information collection system. The CAPS program uses an electronic project ledger that is maintained current throughout the life of the project as the backbone of the system. All items of work on a project for which payment is made must be entered into the electronic project ledger. Items posted in the ledger become the basis for payment and summary record document for dollars paid to the Contractor, quantity of work performed by the Contractor, status reports during the active life of the contract, and are also used as the basis for final reports when the project is completed.

As work is completed on the project, the project office continuously enters those quantities into the ledger, those records then become eligible for payment when the next progress estimate is due. Processing of monthly progress and project final estimates is further detailed in Chapter 1-3 of this manual. With the ledger entries completed, the application compiles all those records eligible for payment and transfers the data to the payment portion of the CAPS system. Because of the system's ability to store information it is also used as an extensive resource for corporate information regarding the construction program and is used extensively by many other groups throughout WSDOT.

All electronic data incorporated into the CAPS system is stored on either an active file or a history file. These files are both permanently retained and are available for use whenever the need arises. It is not necessary, or intended, that paper copies of the project ledger be retained for final records.

Detailed instructions for the use of the CAPS system can be found in the CAPS Manual.

A key function of CAPS is to provide a complete accounting trail for every pay item. An accounting trail must be clearly maintained from the original source document through the actual payment to the Contractor. Audits are an effective tool used by both state and federal governments to ensure established procedures and processes are correctly used to maintain the most effective use of the public's funds. It is important that WSDOT maintain sufficient records and documentation to clearly identify an accounting trail that is capable of withstanding the test of audits.

In order to satisfy the requirements of an accounting audit, the following conditions must be met:

- There must be a source document for every ledger entry and vice-versa.
- There must be an orderly filing system to facilitate timely retrieval of source documents.
- Both Interim Progress Estimate and Final Estimate reports must be signed by the Project Engineer.
- The Contract Estimate Payment Advice report must be filed along with its corresponding Progress Estimate report.

### 10-4.2 Source Documents

Each ledger entry must be supported by a detailed source document, which specifically identifies the type, amount, and location of the work or material that is being entered into CAPS for payment. Source documents used to support these entries are intended to be complete documents, documents that stand alone, and fully support the payment that is being made. If information from other documents is used in the source document, these additional document(s) must be clearly identified in order to complete the audit trail.

Some examples of source documents include Item Quantity Tickets, Field Note Records, Inspector's Estimates, and Force Account sheets. Source documents are the beginning of the audit trail. They show that a WSDOT Inspector has observed and determined the amount of work performed by the Contractor. Also, the source document must show that all calculations have been checked by a second WSDOT employee to ensure they are correct.

Source documents must show four sets of dated initials as follows: (1) the person who does the original calculations; (2) the person who checks the original calculations; (3) the person who enters the payment quantity/amount in the CAPS ledger; and (4) the person who verifies the CAPS ledger entry. In addition, the source document must also show the ledger entry number.

Ledger entries for estimates of monthly progress quantities for grading, lump sum, or other such items must also be supported by a source document. Among other things, the source document must show the method used for determining the estimate. These methods and source documents must lead to an accurate measurement after the item of work has been completed. For lump sum items, the field notes or diaries can show an estimated percentage of work completed. If this percentage method is used, then a brief discussion outlining the basis for the calculation and any assumptions that were used should also be included.

Many project offices use electronic data collectors for surveying work. These data collectors eliminate the need for hand prepared field transit and field level books. Many project offices have also developed or routinely use other electronic programs or applications, which perform calculations and produce a report of the results. In using these applications there can be confusion regarding the need for checking data that has been compiled and reported electronically. In the absence of specific direction, when an electronically produced record or set of notes is used as a source document for a contract payment, the individual who originated the document should be noted. A second person can then check both input and output for both reasonableness and accuracy. This check may range from duplicating the process to verifying the input. Whatever the case may be, it is recommended that the dated initials of those two individuals be on the source document.

### 10-4.3 Source Document Filing Systems

Basic criteria for a good Source Document Filing System would include ease of set up, ease of use, and the capability to retrieve any specific document in a timely manner. The source document filing system should also be set up to coordinate easily with final records requirements. The filing system described here for source documents is not mandatory. However, it is presented as one alternative that works well with the CAPS electronic ledger system, the final records process, and is easy to use. The unique ledger entry number from CAPS makes this method work. Files are set up in two books or sets of notes. The first book is organized by Unit Bid Item Number and the second book is organized by Structure Note Number. Source documents are filed by Unit Bid Item Number except for drainage items, which are filed by Structure Note Number. With this method there is only one item per source document except for the drainage items. Drainage items are filed by Structure Note Number because their source document (field note record) normally has multiple items while the Structure Note Number is unique to a specific drainage facility. For all other items, if more than one item appears on a source document, a copy is made for each item noted, the desired item number is highlighted, and then the copy is filed behind their respective Unit Bid Item Number locations. This works extremely well if the source documents are placed in order by date in their respective files.

To look at the source document for a ledger entry, simply note the item number, entry number, and date; go to the file and look for the entry number within the item file. If files are maintained in order by date, this is made even easier. For ledger entries of drainage items, it is necessary to include the structure note number in the remarks section.

This system allows anyone to easily locate the source documents that support a contract payment. These records are retained in the Project Office until Final Record time when the source documents are bound into books with their respective titles and made a part of the three-year *Temporary Final Records*.

## 10-5 Region Project Documentation Reviews

### 10-5.1 General

The Region is responsible to ensure that reviews of record keeping and documentation procedures are completed during the progress of the work. This will help to ensure that the original field records are being properly prepared and that proper procedures are being followed. The Region should review specific pay items for correctness of the payments made as well as for procedural requirements for documenting and processing of contract payments, acceptance of materials and other pertinent contract administration requirements. Reviews of specific pay items should be recorded on Form 421-014 EF. Reviews of procedural items should be recorded on either Form 230-036A EF or Form 230-036B EF. Version A should be used for the first review

made on a project. Version B places more emphasis on individual pay items and should be used for the second review or on larger projects during the initial review phase where this emphasis is more appropriate.

On projects that are estimated to cost more than \$500,000, the Region should conduct an interim documentation review when the project is approximately 50 percent complete. This review should be thorough and complete to ensure that the documentation records are adequate and are being properly maintained. This review should include both procedural checks for those items listed on Form 230-036A EF and detailed reviews of specific pay items for accurate documentation practices of contract payments completed to date. Audit work for pay items may also be started at this time in preparation for the Final Records Review at Physical Completion. This early audit work could consist of checking any individual items that have been fully completed. Reviews of completed items that are recorded on Form 421-014 EF, can be kept and then made a part of the Final Records check upon Physical Completion. Once the project has been completed, information from both procedural reviews and specific pay item reviews can then become a part of the *Temporary Final Records*.

On projects that are estimated to cost more than \$500,000 and require more than 100 working days to construct, the interim documentation review should be considered as early as 30 percent completion but, where possible, no later than 50 percent completion. On these larger projects, it is particularly important that the interim reviews be sufficient to verify both documentation and procedural practices. However, on many projects, the nature of the work completed at 30 percent may or may not provide an adequate representation of the documentation procedure to merit a documentation review. In these instances, the Region should exercise considerable judgment regarding the timing of interim documentation reviews.

The Region reviewer should also exercise considerable judgment in deciding whether or not to perform additional documentation reviews in conjunction with the reviews described above. In addition to cost and time, other criteria should also be used to evaluate the need for additional documentation reviews. This could include results of previous documentation reviews as well as the history, knowledge, and experience of the specific project office personnel involved. The Region reviewer should be satisfied on a case-by-case basis that each project's records are adequate and are being properly maintained.

It is recommended that each time a documentation review is performed on a project, that the Region reviewer discuss the results of the review with the project office staff, leaving a completed copy of Forms 230-036 EF and 431-014 EF to be included in the project temporary records.

### **10-5.2 Review Procedures for Final Estimates and Final Records**

When work on the project is physically complete, it is important that the final records be completed and assembled in as timely a manner as possible. The final quantities should be checked and the final estimate or Final Contract Voucher Certification furnished to the Contractor as soon as is reasonably possible.

In order to facilitate this, the Project Engineer should ensure that the overall project final records, including the final contract quantities, are made ready for Region review as timely as can be and that the Region has completed their review work shortly thereafter.

The Region is responsible to ensure that the final records for the contract are complete, accurate and maintained in an orderly manner. The Region may exercise considerable judgment regarding the procedures used for this check. These procedures may include a complete check of all records or a representative sampling of records in order to validate all records maintained. If problems are discovered during the review of the representative sample, and if those problems indicate that the entire population might be flawed, then the entire population should be checked and corrected by the field office and a new representative sample taken. In conducting these final reviews the Region reviewer should mark the areas that have been checked, initialing and dating the records or portions of records that have been reviewed. The Examination Sheets for Contract Items, Form 421-014 EF, and Documentation Review (Procedures), Forms 230-036A & B EF, should be kept until the contract final records check is completed and then filed with the *Temporary Final Records* where they can be further reviewed should an audit occur.

|  |  |  |
|--|--|--|
|  <b>Washington State<br/>Department of Transportation</b><br><b>Item Quantity Ticket</b>  |  |  |
| Date *   | Location   | Group  |
| Remarks  |  |  |
| Time Received  | <input type="radio"/> AM<br><input type="radio"/> PM | Time Weighed   |
| Received By *  |  | <input type="radio"/> AM<br><input type="radio"/> PM |
| Weighed By   |  | Truck Number *                                       |
| Pit Number   |  | Legal Gross Weight                                   |
| Check One *<br><input type="radio"/> Tons <input type="radio"/> Hours<br><input type="radio"/> Cu. Yds. <input type="radio"/> M. Gal.<br><input type="radio"/> LBS. <input type="radio"/> Each<br><input type="radio"/> Days |  | Gross *  |
|  |  | Tare *   |
|  |  | Net *  |
|  |  | Other Unit of Measure                                |
| <b>Item Identification</b>   |  |  |
| Contract Number *  |  | Item Number *  |
| Item Description   |  |  |
| Subcontractor  |  |  |
| Contractor   |  |  |
| <b>* Required Information</b>  |  | Ticket Number  |

DOT Form 422-021  
Revised 4/00

Figure 10-1

**Contract #6767**  
**Johnson Creek Bridge 113/38**

**Columbia Basin Region**

**Final Records Book Number 1**

| <b><u>ITEM</u></b>                | <b><u>SECTION</u></b> |
|-----------------------------------|-----------------------|
| Listing of All Final Record books | 1                     |
| Listing of State Personnel        | 2                     |
| Comparison of Quantities          | 3                     |
| Final Contract Voucher            | 4                     |
| Contract Estimate Payment Totals  | 5                     |
| Affidavit of Wages Paid           | 6                     |
| Change Orders                     | 7                     |
| Record of Construction Materials  | 8                     |

Figure 10-2

**Contract #6767**  
**Johnson Creek Bridge 112/38**  
**Columbia Basin Region**

**Permanent Final Records**

(Retained at Headquarters Records Services)

| <b><u>Book Description</u></b>                                | <b><u>Book No.</u></b> |
|---|------------------------|
| Final Records Book No. 1                                      | 1                      |
| Project Engineers Diary                                       | 2                      |
| Inspector's Daily Reports                                     | 3                      |
| Traffic Control Reports                                       | 4                      |
| Pile Driving Records  | 5                      |
| Post Tensioning Records (Not used for this project)           | -                      |
| Miscellaneous Records For Permanent Storage                   | 7                      |
| As Built Plans (submitted under Separate cover dated 8/10/00) |                        |

**Temporary Final Records**

(Retained Within the Region)

**Description**

Item Quantity Tickets  
Project Engineer's Copy of Estimates  
Inspector's Record of Field Tests  
Scaleman's Diary and Scale Checks  
Scale Test Reports  
Concrete Pour Records  
Record of Field Audits  
Surfacing Depth Check Records  
Approval of Source of Materials  
Quantity Computation Sheets  
Source document files  
Drainage Notes  
Contractor's Payrolls (Federal Aid Projects)  
Prints of Shop Drawings  
Alignment (Transit) Book  
Grade Book  
Cross-Section Notes  
Photographs  
Mass Diagrams  
Computer Summary Sheets  
Computer Listings  
Falsework and Form Plans  
Daily Report of Force Account Worked

Figure 10-3



Washington State Department of Transportation

**FIELD NOTE RECORD**

BOOK NO. \_\_\_\_\_ PAGE NO. \_\_\_\_\_

|  |                              |                               |                                 |
|--|------------------------------|-------------------------------|---------------------------------|
| CONTRACT NO.<br><b>4747</b>                | STATION<br><b>see detail</b> | LINE<br><b>L line</b>         | C/S<br><b>2316</b>              |
| STAKED BY<br><b>H Lewis</b>                | DATE<br><b>2-12-95</b>       | WORK STARTED<br><b>2-5-95</b> | WORK COMPLETED<br><b>2-9-95</b> |
| CALCULATED BY<br><b>[Signature]</b>        | DATE<br><b>2-14-95</b>       | CHECKED BY<br><b>CB</b>       | DATE<br><b>2-15-95</b>          |
| INSPECTOR'S SIGNATURE<br><b>John Smith</b> |                              | DATE<br><b>2-9-95</b>         |                                 |

Crew: Lewis, Barnes, Toms  
 Weather: clear, cool

Clearing & Grubbing

Group 1 Total 21 172 m<sup>2</sup> From reverse side  
 = 2.12 hectares

Group 2 Total 14 609 From page 4  
 = 1.46 hectares

Project Total = 3.58 hectares

| ITEM NO. | ITEM             | GROUP NO. | DATE   | UNIT    | QUANTITY | RAMS NO. | BASIS OF MATERIAL ACCEPTANCE | CAPS ENTRY NO. | INITIALS   |            | EST. NO. |
|----------|------------------|-----------|--------|---------|----------|----------|------------------------------|----------------|------------|------------|----------|
|          |                  |           |        |         |          |          |                              |                | POST       | CK         |          |
| 2        | clearing & Grub. | 1         | 2/9/95 | hectare | 2.12     | -        | -                            | 7              | OS<br>4/16 | CK<br>4/20 | 1        |
| 2        | clearing & Grub. | 2         | 2/9/95 | hectare | 1.46     | -        | -                            | 8              | OS<br>4/16 | CK<br>4/20 | 1        |
|          |                  |           |        |         |          |          |                              |                |            |            |          |
|          |                  |           |        |         |          |          |                              |                |            |            |          |
|          |                  |           |        |         |          |          |                              |                |            |            |          |

DOT Form 422-635 (Front)  
Revised 9/95

Figure 10-4







