WisDOT Local Program

Construction Management Users Guide

2016

Local Program Records Archives

Archiving Local Program Records

Files for projects that have been closed must be turned over to the WisDOT Central Office Files (COF), at the Hill Farms State Building, in a State Records Center (SRC) Box.

- Management Consultant (MC) will gather records from the project, including Labor Compliance records and Local Real Estate Case Files – per the Management Consultant Master Contract.
- Files must be kept in the MC office until the project is financially closed, which is defined as Accounting Stage 8 in FIIPS.
- MC will retain all project records through project closeout.
- Any confidential/sensitive information must be kept confidential as outlined in the Management Consultant Master Contract.
- Local Program Project Managers will forward the Final Cost Statement report to the MC.
- After the project is closed, the MC will box closed project records and forward the completed compilation of project records to WisDOT Central Office Files in the Hill Farms State Office Building in Madison for archiving. WisDOT COF will archive the project records for the duration of their retention period as outlined in the applicable RDAs.
- MC must use SRC Boxes Type A (10.5 x 15.5 x 12.0) which are supplied by the Region Office.
- Retention period begins at the end of the calendar year of the Financial Close Date (for example December 31, 2015).

Management Consultant (MC)

- End of each calendar year, package hardcopies of all closed projects into SRC boxes.
- List all Project ID's (do not include hyphen in project ids) and assign each one with the Region's Box Number based on the retention year in the following format in the archive templates provided (Pantry/Local Program):

Design files:	SWL1000, SWL1001, SWL 1002, etc.
Haz Mat:	SWL2000, etc.
Construction Files:	SWL3000
As Built plans:	SWL4000
Project Diaries:	SWL5000

Note: Make sure box numbers contain the region 3-letter designation (e.g. SWL) as shown above.

- List the correct RDA number that applies to the records boxes.
- To avoid duplication of records already submitted, on the spreadsheet, list **only** those records that are being sent for archiving.
- Email spreadsheet with project listing to Dave Stertz and to WisDOT Central Office Files (COF).
- Coordinate with the LPPM to have State Record Center boxes delivered to the Region for pick up
- Schedule boxes delivery arrangements to Hill Farms State Transportation Building in Madison with Dave Stertz.

Dave Stertz Tel. (608) 347-1712 Email: david.stertz@dot.wi.gov
WisDOT Hill Farms COF Staff Office: 608-266-3630

Wisconsin Department of Transportation
4802 Sheboygan
Ave. P.O. Box 7965
Madison, WI 53707-7965
FAX: 608-264-6667

Boxing Your Records

- **Only** include files that are covered under the same RDA
- Check that folders contain the material that the folder label indicates.
- Do not include non-records such as publications, catalogs, etc.
- Do not over pack boxes. Boxes should not weight more than 30 pounds.
- Complete the front of the SRC box fields as shown in the box label sample below:
  Note: *Label boxes clearly preferably by completing the form on the box using a sharpie.* ***If completing the available box label in the computer, print the completed form on a self-adhesive sheet that can be pasted on the box.*** *Forms printed in regular paper and taped to the box, will become detached or ripped overtime making it difficult to identify the box at a later time*.
- Sort boxes by retention period and by type of documents contained in the box.

STATE RECORDS CENTER

AGENCY	WisDOT - 395	**BOX NO.**	SWL3001
DIVISION	DTSD – COF (020)	**BEG. END DATES**	

TITLE OF RECORD SERIES

Local Roads Program – Design Project Files
Project IDs: 3633-00-73 To 3997-01-73

RDA NO.	00430-000
FROM	January 1, 2013
THRU	December 31, 2013

Available Local Program Records Archives Templates

Applicable Local Program Records Retention/Disposition

Event date is 12/31 (December 31) of the year the files were purged (pulled).

New Record Series RDA Template: Use this template if you need to add a list of records to a RDA that is not listed in the templates provided below. The first line is an example of how the data should be entered. If you add a new RDA template that is not listed below, you will need to change the title tab to reflect the "*Record Series*", "*RDA Number*" and "*Event + Years*".

Local Rd Prgms As Built – RDA# 00186-A00 (Event + 25 Years)
"As Built" Highway Plans File-Paper: An As-Built document is the official plan that identifies the final (built) state or local road construction or reconstruction project. It includes all aspects of the project, especially changes made to the "As-Let" documents used to initiate the construction contract.

Local Rd Prgms Bridge Asbestos—RDA# 00326-000 (Event + 25 Years)
Bridge Asbestos inspection Reports – Bridges: WisDOT oversees bridge asbestos inspections, reports and notifications to assure that no asbestos-containing material is used in the construction or maintenance of a bridge facility. Environmental consultants conduct bridge asbestos inspections for any WisDOT projects when a bridge structure is scheduled for renovation, rehabilitation, or demolition, including local road bridges, design consultant projects and WisDOT projects designed in-house. Records in this series include the inspection report and may also include abatement follow-up correspondence.

Local Rd Prgms Construction – RDA# 00410-000 (Event + 6 Years)
Region Construction Contract & Project File: This RDA covers DTSD Region Construction Contract & Project files. In many cases ***only*** regions generate and maintain the level of detailed supporting documents, construction contract correspondence and related contractual records.

Local Rd Prgms Design (DSR) – RDA# 00011-A00 (Event + 40 Years)
Design Study Reports (DSRs) & Exception to Standards Reports (ESRs) for State Trunk (STH) Projects: The DSR is a major deliverable that the engineering consultant generates during a highway improvement design process for a project on the State Trunk Highway (STH) system. The DSR is used to determine specifications for the Let construction project and arrive at a final design.

Local Rd Prgms Design Files – RDA# 00430-000 (Event + 6 Years)
Region Design Project & Contract File: For design of bridges and highway facilities, WisDOT contracts with engineering consultants for highway design engineering services. The Region Project Manager or Supervisor, with Region Contract Specialist support, oversees the contractual process; administers the design contract and monitors compliance.

Local Rd Prgms Geotechnical - Bridges – RDA# 00405-000 (Permanent)
Soil Survey Reports – Structures/Foundation Technical: The WisDOT Central Foundation & Pavements Engineering Unit generally conducts soil surveys that involve structures (bridges, retaining walls, and culverts) and/or potential foundation technical concerns, i.e., embankments, marshes.

Local Rd Prgms Geotechnical - Roads – RDA# 00405-A00 (Permanent)
Region Soil Survey Reports – Highway Design and Construction Projects: This records series includes the following types of Soil Surveys undertaken for highway projects: Roadway Soil Surveys related to highway design and construction projects and Soil Surveys for state projects and local projects.

Local Rd Prgms HazMat – RDA# 00350-000 (Event + 5 Years)
Hazmat Assessment Remediation Project Case Files – WisDOT Not Responsible Party: Records identify contamination cases, i.e. petroleum contamination cases, in a particular highway corridor when the WisDOT is **NOT** the responsible party for Hazmat cleanup actions.

Local Rd Prgms HazMat – RDA# 00350-A00 (Event + 10 Years)
Hazmat Assessment Remediation Project Case Files – WisDOT Responsible Party: Records in this series relate to Hazmat remediation projects for which the WisDOT is considered a party with responsibility for hazmat cleanup/mitigation efforts. Records included here provide evidence of cleanup actions taken.

Local Rd Prgms Project Diaries – RDA# 00381-000 (Event + 30 Years)
Construction Project Engineer's & Inspector Diary – Paper: Construction and Materials Manual (CMM) 1.65 Contract Records requires the Project Engineer to complete a diary for each construction contract awarded, including all projects. The Diary is a key Final document that describes the project.

Local Rd Prgms Project – ER –RDA# 00321-000 (Event + 6 Years)
Environmental Reports (ER) Hwy Corridor Files: WisDOT personnel and/or consultants prepare Environmental Reports (ERs) to demonstrate that a highway project has been given environmental scrutiny to confirm that it is categorically excluded from requiring an EIS. ERs document that particular types of highway projects will have no significant environmental impacts, including: Type III Projects; Type IV Projects (2A – Categorical Exclusion; Programmatic); Environmental Checklists or Programmatic ER (2B Categorical Exclusions: State Documented); Environmental reports (2C Categorical Exclusion –FHWA Documented); or related records, correspondence evidencing coordination with other resource agencies, etc.

Local Rd Prgms EIS – RDA# 00351-000 (Event + 25 Years)
Environmental Impact Statement (EIS) – Record of Decision: The EIS is a detailed formal disclosure of the environmental impact of transportation projects. An EIS is always required for Type 1 transportation projects, i.e. ajor actions having a significant effect upon the quality of the human environment.

Local Rd Prgms Project EA—RDA# 00386-000 (Event + 25 Years)
Environmental Assessment (EA) Hwy Corridor Case Files – FONSI: The WisDOT and/or consultants develop an environmental Assessment FHWA-37 designation 3-EA) to determine whether or not a highway project needs an Environmental Impact Statement (EIS) to fully document its effect upon the quality of the environment. The EA also indentifies whether or not an action might have a significant effect. If it does, the EA records become part of the EIS record. If not, the environmental process ends with a Finding Of No Significant Impact (FHWA 37 designation 4 – FONSI).

Local Rd Prgms Labor Compliance – RDA# 00263-000 (Event + 4 Years)
Contractor Labor, Wages and EEO Case Files: Records in this series document the prime highway contractor's compliance with provisions governing employment and payment of persons hired by contractors, subcontractors and suppliers to perform contract work. WisDOT contracts with federal funding require nondiscrimination goals and timetables for minority and female participation in the contract; payment of a predetermined minimum wage; statement and payroll recordkeeping and reporting.

Local Rd Prgms Real Estate Case Files – RDA# 00196-00 (Event + 5 Years)
DOT Local Road Real Estate Case Files: When State or federal funding is involved; WisDOT (and/or Mgmt. Consultant) maintains records to illustrate oversight. Records usually are generated at the Local Road Project level.

Local Roads Program
Local Program Project Managers & Management Consultants
Projects Archival Spreadsheet/Template Submittal Process

Please, follow the process listed below for submitting the projects inventory information for the project records that will be archived at State Records Center (SRC). This process will provide consistency, accuracy and efficiency and will also enhance a better tracking system for your records.

1. Use the copy of the State Records Center (SRC) Inventory Access templates ***(Local Road Templates.accdb)*** provided to you to enter the list of project boxes that need to be archived. This is the list you will send to David Stertz and Hill Farms Central Office Files (COF).

2. The templates are set up to fit the project box information into the most frequently used records series (RDAs) (i.e. AsBuilts, construction, design, environmental, etc.). It also includes a blank template (see #3 below) to use for any box information that does not fit into any of the provided RDA templates.

3. The template: ***Local Rd Prgms – Records Series - RDA # 00000-000 (Event + Years)*** provides an example of the information that needs to be entered in each column of the template. Erase the sample information on the first line before you enter your project information.

4. When submitting your listing you can email the information in each of the tabs. The attachment will come as an Excel Spreadsheet.

5. For each new submittal, you must erase the information in each template that was previously submitted and enter the new box information. **Do not include information about boxes that has been submitted before.**

6. Send list of projects to David Stertz and Central Office Files in Hill Farms for SRC archiving.

7. Keep a copy of the submitted spreadsheet for your files if required.

ALL TEMPLATES AVAILABLE

(click on the Template you want to work on)

- Local Rd Prgms - Record Series - RDA -- 00000-000 (Event+Years)
- Local Rd Prgms Asbuilt - RDA 00186--A00 (Event - 25 Years)
- Local Rd Prgms Bridge Asbestos-RDA- 00326-000 (Event+25 Years)
- Local Rd Prgms Construction Files-RDA- 00410-000 (Event+6Years)
- Local Rd Prgms Design (DSR)-RDA 00011-A00 (Event +40 Years)
- Local Rd Prgms Design Files - RDA- 00430-000 (Event + 6 Years)
- Local Rd Prgms Geotechnical - Bridges-RDA- 00405-000 (Permanent)
- Local Rd Prgms Geotechnical - Roads - RDA- 00405-A00 (Permanent)
- Local Rd Prgms HazMat - RDA -00350-000 (Event + 5 years)
- Local Rd Prgms HazMat -RDA- 00350-A00 (Event + 10 Years)
- Local Rd Prgms Project Diaries - RDA -00381-000 (Event + 30 Yrs)
- Local Rd Prgms Project - ER - RDA -00321-000 (Event + 6 Yrs)
- Local Rd Prgms Project -EIS - RDA -00351-000 (Event + 25 Yrs)
- Local Rd Prgms Project -EA - RDA -00386-000 (Event + 25 Yrs)
- Local Rd Prgms Labor Compliance - RDA 00263-000 (Event +4 Years
- Local Rd Prgms Real Estate Case Files-RDA 00196-000 (Event+5Yrs)

Project ID	County	Road Name	Limits/Termini	Final Cost Statement Date	Event Date
25750202	Milwaukee	W. Mill Road	B.O. Little Menomonee River	01/20/2008	12/31/2008

Retention (# of Years)	Region Box #	SRC #
6 Yrs.	SEL 2000	

STATE RECORDS CENTER

AGENCY	WisDOT - 395	BOX. NO.	SWL3001
DIVISION	DTSD-COF (020)	BEG. END DATES	X

TITLE OF RECORD SERIES

Local Roads Program - Design Project Files
Project IDs:
3633-00-73 To 3997-01-73

RDA, NO. 004,30,000

FROM Jan 1, 2013

THRU Dec 31, 2013

STATE RECORDS CENTER

AGENCY WisDOT - 395	**BOX NO.**
DIVISION DTSD - COF (020)	**BEG. END DATES**
TITLE OF RECORD SERIES	
RDA NO.	
FROM	
THRU	

Local Program Projects
Archival Submittal Process Summary

- Gather all project records after they have been financially closed
- Box your records and label appropriately
- Use provided local program templates to list records
- Enter box information in template under appropriate RDA tab
- DO NOT include information from past submittals
- Send list as a spreadsheet to David Stertz and Hill Farms Central Office Files for SRC archiving
- Keep a copy of your submittal lists for your files
- Schedule delivery of boxes to the regions with LPPM
- Schedule delivery of boxes to Hill Farms