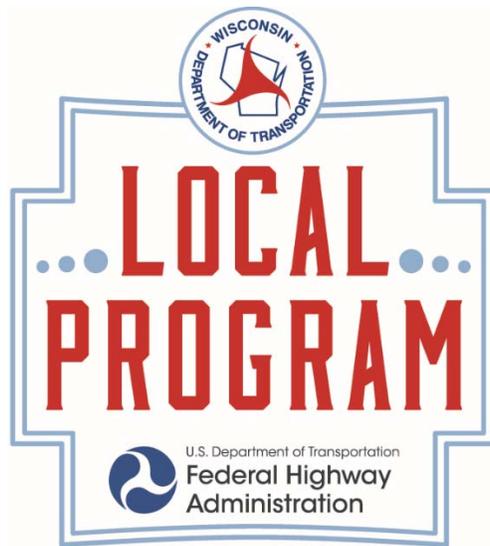


Statewide Local Program Construction Management Users Guide



Revised: February 9, 2016

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Introduction

This guide has been prepared for the Local Program Management Consultant and Project Leaders, in the interest of uniform application of construction contract management practices for all Local Program improvement projects. The purpose of this guide is to provide information and guidance on Automated Construction Management during construction and finals process closeout of the project.

This guide is to be used to establish uniform procedures in administration of Local Program projects. It is also the intent of the guide to present the established general policies and practices of the Local Program application to the work and to aid Department personnel in dealing with problems that arise during construction.

All Local Program personnel engaged in construction administration should study and become familiar with the contents of not only this Users Guide, but also the Construction Field Software Users' Guide, Construction and Materials Manual, Standard Specifications and should follow Region techniques as closely as practicable.

Any suggested changes, additions or modification should be forwarded to Sandra Villiesse, Bureau of Project Development Local Program Contract Specialist. Sandra.villiesse@dot.wi.gov

Acronyms

ASP	Additional Special Provisions
AASHTOWare	Formerly Trns*port
CARS	Contract Administration Reporting System
CEF	Cost effectiveness Finding
CCO	Contract Change Order
CM	Contract Modification (fieldmanager term)
CMJ	Contract Modification Justification
CMM	Construction Materials Manual
ECIP	Erosion Control Implementation Plan
FITS	Field Information Tracking System
FHWA	Federal Highway Administration
HCCI	Highway Construction Contract Information
LP	Local Program
MITS	Materials Information Tracking System
PrCA	Project Construction Administration (CAS)
PrL	Project Letting
PrPR	Project Proposals
SS	Standard Specification

People

ACS	Area Construction Supervisor (engineers)
CAU	Contract Administration Unit
COS	Construction Oversight Specialist
ERO	Equal Rights Officer
LPPM	Local Program Project Manager
MC	Management Consultant
PL	Project Leader

General Information

The first line of communication is the Management Consultant. Talk to the Management Consultant before contacting anyone at WisDOT.

Document all Project Actions

- All pertinent discussions in the field and in meetings should be documented
- Minutes shall be prepared and circulated. An attendance record shall be kept with the meeting minutes.
- ACS need to ensure the same principles are applied on all projects
- Confidential discussions should be noted in the Subject Line of all correspondence

Contracts with Multiple ID

The hours spent on associated projects should be recorded under the appropriate project's ID.

The Management Consultant shall verify through invoicing that the hours submitted by PL and staff are for the appropriate project ID.

Letterhead

All Local Program correspondence, with the exception of Tribal correspondence, will be on the Management Consultants letterhead. It is required that you introduce yourself in the first line of the letter as the **Management Consultant representing the Wisconsin Department of Transportation, Region Local Program.**

Design/Construction Awards

The Local Program is invited to participate in the annual Statewide Design and Construction Award competition, as a Region.

Document and photograph your potential award winning projects from beginning to end for nominations.

Construction projects are submitted approximately November of each year for the projects built that year.

Design projects are submitted in December of the year after design complete.

Annual updates to the award instructions are available to WisDOT LPPM's on the dotnet at <http://dotnet/hwyconst/awards/nomination.htm>

Contract Information/WisDOT Website

WisDOT Doing Business Website (HCCI)

- **Contract Admin (Timely Decision Making)**
- **Contract Admin (Finals Process for Let Closeout)**

<http://wisconsindot.gov/Pages/doing-bus/contractors/hcci/default.aspx>

Programs for Local Governments

<http://www.dot.wisconsin.gov/localgov/highways/index.htm>

Non-Traditional Sponsors Guide for LLC <http://wisconsin.gov/Pages/doing-bus/local-gov/astnce-pgms/aid/tap.aspx>

Additional Support sites:

Atwood Systems

<http://www.atwoodsystems.com/wisdot/>
FITS, MITS and Project Tracking

Diggers Hotline

<http://diggershotline.com/>

Official state trunk highway system maps

<http://www.dot.wisconsin.gov/travel/maps/sth.htm>

WisDOT Civil Rights Compliance

<https://app.mylcm.com/wisdot/logout.aspx>

WisDOT FTP site

<http://ftp.dot.wi.gov/>

WAMS ID – Submit the following information to the MC for each WAMS account:

- WAMS ID [but not your password]
- e-mail address
- office name or function
- daytime office telephone number

CARS (Contract Administration Reporting System)

<http://www.dot.wisconsin.gov/business/engrserv/cars.htm>

- Manage Invoicing and Evaluations

PC Specs (Consultant and Design Computer Specs)

Construction <http://wisconsin.gov/Documents/doing-bus/eng-consultants/cnslt-rsrcs/contracts/con-docs/pc-con-spec.pdf>

Design <http://wisconsin.gov/Documents/doing-bus/eng-consultants/cnslt-rsrcs/contracts/con-docs/pc-dsn-spec.pdf>

Construction Consultant Contracts

Local Program Management Consultants shall follow the **Local Program Consultant Contracting & Administration Management Consultant User Guide**.

Consultant extranet - Contracting for engineering and related services website
<https://trust.dot.state.wi.us/extntgtwy/consultants> (WAMS ID Required)

FIIPS: (ONE Confidential person in each Management Consultants office to be given access.)

Consultant selected

- Distributes “Consultant Award Letters” following signed contract
- Begin initial communication/negotiation
- 90% negotiation stage - submit Contract Proposal and Contract Cost Summary Sheet to WisDOT LPPM
- Retain documentation of negotiations

Contract approval follow **Document Approval Designation** chart

** Contract approval is not the consultant authorization to start work, and no work is to be done outside of the contract without an approved amendment.

Contract Amendments

Amendment requests

- Consultant should notify MC as soon as possible
- Requests shall be prior to work outside of contract (MC mention at pre-con)
- Provide totals separately by Project ID in addition to a total if more than one
- ACS submits request to MC contract negotiator for approval

Amendment approvals follow **Document Approval Designation** chart

Construction Consultant Work Order/Invoices CARS

Consultant Evaluations DT1087 & DT1558 CARS

<http://www.dot.wisconsin.gov/business/engrserv/cars.htm>

Construction Miscellaneous

News Releases

- Done on Local's letterhead.

Lane Closure System

- Only used for projects that affect STH system or related detours.

Project Records

CMM 1-65.1.2

It is the prime importance that measurements and calculations of contract quantities are accurate, records of contract quantities are complete and detailed enough to sustain an audit, and records of all activities pertaining to the contract contain sufficient detail and are clear enough to be read and understood by anyone unfamiliar with the contract. Records must also include documentation of WisDOT oversight of the contract; this includes field site visit reports and attendance of project meetings by WisDOT staff and the Management Consultant.

Keeping accurate, complete and legible documentation about a project requires that an inspector knows and practices:

- Recommended formats
- Hierarchy of governing contractual requirements, method of measurements, and basis of payment for a given item
- Three approaches to determine item quantities (Estimated, Direct Entry, Referenced) and the remarks used to submit item payment information
- Requirements for materials testing and process to document materials test for an item
- Review Plans and Contract Documents to identify items you are going to be inspecting
- Record quantities and measurements in the diary. Be neat and accurate. Reference categories and item numbers. Show dates of construction on installations and sign/initial.
- Check your math. Have someone else check your math.

Liens

- All formal liens tracked and monitored by Bureau of Business Services: Expenditure and Accounting
- Second tier contractor can pursue Bonding Company on their own (MC can supply estimate and payment info if requested)
- Does not affect processing of T/F or Final estimate
- Scan all correspondence, forward to Santiago Rinaldi, Bureau of Business Services: Expenditure and Accounting, and cc: Bureau of Project Development Oversight Engineer
- Make note Project Tracking status remarks box

Errors and Omissions

Follow process in FDM 8-25-25

Project Leader

- Forward initial notification of a potential issue to MC

Management Consultant

- Notify LPPM.
- Send notification of potential error/omissions to design firm with detail costs and date to respond by.
- Send notice to CSS mailbox; DOT.CONSULTANT.SERVICES@wi.gov
- Forward the Final Determination (payment) to Bureau of Business Services: Expenditure and Accounting.
- Update Project Tracking with comments in status remarks box.

Labor Compliance

- PL conducts field interviews
- Send copy to Region ERO
- Keep original in project records

Weekly Backup of PrFM, FIT and MIT

External backup system is required

- Zip drive
- CD
- Cloud

BUY AMERICA

CMM 2.28.5

Buy America will apply to each and every project ID included in a federal funded contract, even if some of the project ID's have no federal funding.

All steel and iron materials permanently incorporated in the project shall be domestic products and all manufacturing and coating processes for these materials must have occurred within the United States.

Upon completion of the project certify to the engineer, in writing using department form WS4567, that all steel, iron, and coating processes for steel or iron incorporated into the contract work conform to these Buy America provisions.



Project ID: _____ Highway: _____ County: _____
Name of Road/Project: _____
Prime Contractor: _____
Address: _____
Contact Person: _____ Phone: _____
DOT Project Manager: _____ Project Leader: _____

The undersigned certifies that only domestic steel and iron was permanently incorporated into the construction portion of the project.

To be considered domestic, all steel and iron used and all products manufactured from steel and iron must be produced in the United States. This includes smelting, coating, bending, shaping, and all other manufacturing processes performed on the product. Coating includes all processes which protect or enhance the value of the material to which the coating is applied.

This requirement does not preclude a minimal use of foreign steel and iron materials, provided the cost of such materials does not exceed 0.1 percent of the contract price or \$2500 whichever is greater. Attached to this certification are invoices and other available documentation substantiating a claimed exemption.

Signature (prime contractor representative) _____

Typed or Printed Name _____

Title _____

Date _____

LFA

Local Force Accounts – LFA *CMM 2.10.3*

<http://www.dot.wisconsin.gov/localgov/localforce>

- Same standards as let projects for materials and records
- date acts as PS&E for requesting authorization
- Plans and specials available electronically from the HCCI site, or hardcopy from local, design consultant.
- Loaded in AASHTOWare by Design consultant under mock letting process
- Project limit change needs approval
- No subcontracting
- All projects > \$25,000 will use Field Manager; < \$25,000 & single reimbursement, paper method may be used
- Emphasize to Locals through all communications; “WisDOT has control of the work on LFA projects”
- **City of Milwaukee CMJs do not require a signature from the City of Milwaukee.**

Project Leader

- Track quantities in Field Manager as unit prices not by invoices. Do not submit estimate for any payment over current value of contract until contract modification is approved to increase contract amount.
- Diary and all source documents required
- Invoices and unit prices need to match
- Create lump sum contract modification with SPV for amount for reconciliation between invoices and measured quantities
- Request Intermediate invoicing and verify charges

Management Consultant

- Monitors Local Program LFA allocation limits in FIIPS
- Rules of contract modifications approval process applies
- Will meet same standards as let projects including project records and materials
- No liquidated damages
- No payroll clear date
- Compare Final Cost Justification to CEF
- Contract Modifications are sent hardcopy to Central Office, Expenditure Accounting Unit, Hillfarms-Madison Room 851. **LFA Contract Modifications do not get scanned.**

Pantry Software

Pantry Software contains forms and spreadsheets created for efficiency and uniformity used to compute various computations for quantities, mix design and tracking project items. Form letters and reports should be used for Contract Administration.

Local Program specific forms and spreadsheets located in Local Program folder.

PANTRY CONTENTS

Pantry spreadsheets are **required to be used for all complex calculations of math. (Anything requiring a calculator should have a Pantry Spreadsheet or electronic adding machine to calculate the math)**

- Forms and Spreadsheets were created and are updated annually by a team of Statewide Engineers.
- A new release of Pantry software will come out each spring before construction starts and will be loaded on your computer by the Region IT Support staff at; c:\Pantry 20XX
 - If you find a need for a new format; submit your request via to the Pantry Forms or Pantry Spreadsheet email contact listed in Pantry file:
Content>Pantry>Overview
 - **Do not accept PL's recreated, homemade spreadsheets, or complex calculations done manually.**

Project Tracking

CMM 1.65.3

This system provides the means to summarize and report project specific, contract specific, and performance measure information.

Project Tracking database is installed at the Construction MC offices by the Region IT support staff. The tracking system tracks every construction project from award to final payment with status updates directly from the Project Construction Administration (PrCA) and Fieldmanager/FITS uploads.

Following Central Office notification that contracts have been sent to your Field Net account, the MC office is required to maintain the projects ongoing status in Project Tracking

- Update the Field Manager contract with Project Leader, etc.
- Merge FITS and send.
- Confirm all Project Specific, Bonding Co., and Site Information is correct according to the Contract Proposal.



The screenshot shows the Project Tracking software interface. At the top, there is a menu bar with tabs: Select Contract, Associated Projects, Status, Contract Mods, Estimates, Performance Measures, Contractors, Railroad Insurance, Structures, Traffic Impediments, Plans & Proposals, As Built, Field Reports, Contact Information, and Inspection of Material. Below the menu bar, there is a search field with the text "Search for Contracts where" followed by a dropdown menu set to "ContractID", a text input field for "begins with", and the instruction "and press Enter". Above the search field, there are buttons for Delete, Edit, Add, View, Print, Save, and Close. Below the search field, there is a table header with columns: Contract ID, Completed, Federal ID, Main Project ID, Description, Router#, Hwy#, Road System, County, Supervisor, Type, Last Updated, and Vendor.

Edit and monitor each tab as applicable to the contract.

- 1) **Associated Projects**; additional Project ID's listed
- 2) **Status Screen (see below)** tracking fields for Management Consultant to maintain
- 3) **Contract Mods**; Track the distribution and status of every mod
- 4) **Estimates**; snapshot of latest estimate submitted from Fieldmanager
- 5) **Performance Measures**; DQI and CQI to be completed for every contract
- 6) **Contractors**; All Subcontractors working on the project to be listed, and required to have a Request to Sublet on file. This information is entered in FieldManager
- 7) **Railroad Insurance**; if applicable
- 8) **Structures**; Monitor the PL tracking in FITS
- 9) **Traffic Impediments**; **Not Used on Local Program Projects unless impacting Highway system.**
- 10) **Plans & Proposal**; Track plans received and distributed.
- 11) **As Built**; Track Status and distribution
- 12) **Field Reports**; you are able to view all Fieldmanager reports; Daily Diary, Summary, etc...
- 13) **Contact Information**; Confirm every active contract has field contact information entered and is up-to-date. (Information uploaded from Fieldmanager)
- 14) **Inspection of Material**; for your tracking information.

Screen: Status

- Track all contract milestones

Working on - 20140114002; 1111-06-71 - WSC 2013330; Columbia; Last Update from FIT: 11/18/14

Print Current Tab Print All Save Close

Dates	Proving Periods	ECIP	Performance	Warranty	Forms	Remarks
Federal Oversight: No			Contract Records Submitted: 10/07/14		Supplemental Agreement (pre-2014)	
Awarded: 01/17/14			Contract Records to Reviewer: 00/00/00		Sent to Contractor: 00/00/00	
Executed: 02/26/14			Contract Records Reviewed: 09/05/14		Approved: 00/00/00	
Contractor Notified: 00/00/00			Contract Rec Issues Resolved: 00/00/00		Returned to Contractor: 00/00/00	
Request to Sublet Approved: 03/20/14			Reviewed By: Brenda McCaul			
Request to Sublet To Contractor: 03/20/14			Material Records Submitted: 09/04/14			
Work Schedule: 00/00/00			Material Records Reviewed: 09/10/14		Site Events:	
Source of Materials Sent: 01/30/14			Certification of Materials: 10/06/14		Site Date Action	
Notice to Proceed Sent: 03/28/14			Semi-Final Estimate: 10/13/14			
Time Charges Started: 03/31/14			Semi-Final to Contractor: 10/14/14			
Construction Started: 03/31/14			Semi-Final from Contractor: 10/15/14			
Partial Acceptance: 00/00/00			Semi-Final Issues Resolved: 00/00/00			
Substantially Complete: 07/23/14			Subcntr Final Pmt Cert: 10/16/14			
Read Only if Awarded After 12/01/13			Payroll Clear: 11/17/14			
Time Charges Stopped: 07/23/14			Final Acceptance: 11/19/14			
Punch List Complete: 08/22/14			Final Acceptance to Contractor: 11/20/14			
Conditional Final Acceptance: 09/15/14			Completion Certificate: 11/21/14	Records to Storage: 10/07/14		
All Contract Work Completed: 08/22/14			Final Estimate Created: 11/18/14	Madison Box #:		
Submission of Claim: 00/00/00			Final Estimate Approved: 11/19/14	Region Box #:		
			Final Estimate Paid: 00/00/00	Records Location: SWR Mad Dock		
			Contractor Eval of Team: 10/15/14			
			Team Eval of Contractor: 08/20/14			
			CGI Completed: 00/00/00			

Contract Email Setup

Screen: Proving Periods ECIP Performance

- PL is responsible to enter the majority of this information in the Field Information Tracking System (FITS) and merge and send in on a weekly basis.

Screen: Warranty Forms Remarks

Working on - 20140114002; 1111-06-71 : WISC 2013330; Columbia; Last Update from FTI: 11/18/14

Print Current Tab Print All Save Close

Dates Proving Periods ECIP Performance **Warranty** Forms Remarks

Region Notes:

Partial Acceptance Remarks:

Submission of Claim: 00/00/00
Late Finals Reason Codes : (Limit 4) Add Delete

Finals Remarks:
Wage underpayment issue, 2 matters need to be resolved yet per TA 10/15/14ka

Completion Certificate Comments:
The Hanover Insurance Company
440 Lincoln Street
Worcester MA 01653
Atty Roxanne Jensen 800-437-0555

Print Completion Certificate Print Subcontractor's Final Payment and Retainage Certification

Click on warranty item record to view details
Warranty Item Begins Period (yrs) Expires

Late Finals Reason Codes in conjunction with dates already provided in Project Tracking (materials certification, payroll clearance, tentative final, etc.) will be used to determine why finals are late.

Screen: Preconstruction and Labor Information

Edit Working on - 20140114002; 1111-06-71 : WISC 2013330; Columbia; Last Update from FTI: 11/18/14

Print Current Tab Print All Save Close

Detail Dollars and Site Information **Preconstruction and Labor Information**

Preconstruction Conference for Contract 20140114002

Date & Time: 03/26/14 01:30 Letter Sent: 03/12/14 Minutes Sent: 00/00/00

Location: SWR Mad TSS Conf Rm

Preconstruction Remarks:

Contract Remarks:

ASP 1 TrA NS Graduate
Slots: 0 Hours: 0 State Wage Rate Date: 09/01/13

ASP 1 TrA NS Apprentice
Slots: 0 Hours: 0 County if different from above:

ASP 3 Contract DBE%: 7.00 Federal Wage Rate Date: 01/03/14

ASP 3 Approved DBE%: 0.67 County if different from above:

ASP 5 Fuel: Yes No

Preconstruction and Labor information is to be tracked

From Proposal

Screen: Railroad Insurance from Proposal

- Check each project for Railroad Insurance.
- Enter the pertinent information for tracking here.
- Company & date received, use 01/01/1901 date until policy is received
- Policy must be in effect prior to project start notice and any work performed in the proximity of the RR
- If no RR enter n/a in company and 01/01/1901 in date received

The screenshot shows a web form titled "Add Railroad Insurance Detail". At the top, there are three buttons: "Save", "Print", and "Close". Below the buttons, the form contains the following fields and values:

- Contract ID: 20140114002
- Description: MADISON - FOND DU LAC
- Location: USH 151
- Railroad Company: N/A
- Insurance Company: (empty text box)
- Date Received: 01/01/1901 (dropdown menu) (enter 01/01/1901 if not applicable)
- Expires: 00/00/0000 (dropdown menu)
- Remarks: (empty text box)

A red asterisk is placed to the left of the "Date Received" field, and a red asterisk with the text "Required Entry" is located below the "Remarks" field.

Screen: Associated Projects Tab; Edit Detail Screen

- Enter the Designer and Federal information.
- Enter the Financial Closed Date for each Project.

Management Consultant Project Set-up

Utilities Status

- Contact utilities to determine status prior to preconstruction conference

Bidding Inquiries

Prior to the Bid Advertisement, the MC overseeing Design efforts, may handle inquiries.

- Document all questions and answers consistently.
- Pre bid advertisements available on the HCCI site
- Complete pre-bid inquiry sheets and send to LPPM
- Engineers Estimate Confidential. DO NOT SHARE.

<http://roadwaystandards.dot.wi.gov/hcci/bid-letting/index.shtm>

Plans & Specials received & distributed

- Print addendums and place addendums with every special provision copy
- LFA contracts list of items and copy of plan
- ***FIIPS (Confidential)*** >Enter Project ID> Project Funding > Print information, (repeat for each ID on contract). Be sure to click on File, Logout, of FIIPS before closing
- Make copy of plan map for preconstruction letter

Set up MC files: at a minimum, include:

- Correspondence
- Contract Modifications
- Contracts/Proposals
- ECIP
- Notification Letters
- Consultant Contract & Invoices
- Preconstruction Meeting information
- Errors & Omissions
- Consultant Performance
- ACS Notes
- Materials

Let/Award

To track the Contract Execution Process go to:

HCCI contract log report- Contract Execution Process

<http://roadwaystandards.dot.wi.gov/hcci/contracting-information/index.shtm>

Bureau of Project Development, Chief Proposal Management Engineer notifies the Prime Contractor of the awarding and cc: the Construction Management Consultant.

- 1) Print out Bid Summary

- 2) Send out Award Letter with information
- 3) Update Project Tracking
- 4) Copy AsLet Plan and Proposal from “Plan/Proposal” link to CD for AsBUILTS

Live Fieldmanager Contract from WisDOT

1. DOT sends Field Manager contracts to MC’s Field Net ID
2. Update Field Manager Info
3. Perform fmgr contract refresh – imports from PrCA not all editable fields (contact info)
Utilities>Field Net>Contract refresh from Field Net>contract ID
4. Perform fmgr request ref files – reference files updated weekly (Friday)
Utilities>Field Net>Request Reference files from Field Net
5. Perform Field Net ID list>Utilities>Field Net>Request Field Net ID list from Field Net
6. Verify Site Times match Proposal i.e. Working Days, Completion Date or Calendar Days. (If they don’t match, contact Annette.czerneski@dot.wi.gov)
7. Set up Read Only distribution to MC Field Net for copy of contract with estimate
8. Save/**Close FieldManager**

Field Information Tracking System (FITS)

1. Merge Fieldmanager. **Fieldmanager must be closed prior to merging**
2. Update project information
3. Merge and send FITS

Field Net

1. Assign supervisor in Fieldnet Userlist to Approve estimates
Fieldnet>Maintain Contacts

Project Contract Administration (PrCA)

Verify Site Times in PrCA. If any or all of the following are incorrect, contact Annette.czerneski@dot.wi.gov

PrCA>Contracts>Contract #>rt-ck>contract>

1. pg 4 - let date
2. page 1 – spec year (This will always be ’03)
3. Contract Projects/Associated ID’S Yes /No
4. Contract Inquiry for Contract: Contract, Projects, Affidavits, & liens
5. Make sure Liquidated Damages are accurate with Spec. Book 108.11(3) (Changes every November) If not correct contact Annette.czerneski@dot.wi.gov

Note: If there is a change in PrCA a Contract Refresh is needed in Field Manager

PrCA>Contract

- DBE Commitment (contract pg 2)
- Page 3 maximum liquidated damages rate
- Page 4 dates from project tracking Contract Days

PrCA>Contract List>rt-ck>Contract Sites>db-ck

- Page 1 - Verify contract time - Contract Days Verify Site Time
 - if changed in PrCA - Contract Refresh in Field Manager
- Page 2 liquidated damages
 - Verify in proposal and correct PrCA>Contract Sites>db-ck>pg 1>change

Timely Decision Making

1.) MEETINGS

1. **Project Partnering & Decision Making Meeting**
Decision making work shop/partnering meeting held prior to Pre Construction meeting, during the Pre Construction meeting or at the first weekly construction meeting.
Discuss responsibilities and communications
Designer to discuss critical areas, prosecution and process, and critical areas in the community
2. **Preconstruction Meeting Guidance**
It is a vitally important meeting where lines of authority and communication are established; responsibilities and duties of the contractor's personnel, department personnel, consultants, subcontractors and suppliers are clarified; issues are identified and resolved or a process for resolution determined; potential sources of misunderstanding are resolved; and detailed arrangements necessary for a successful project are worked out. A Preconstruction Meeting will be held on all projects.
3. **Weekly Progress Meeting Guidance**
The intent is that these meetings be kept as brief as possible to minimize demands on attendees and enable prompt distribution of notes. The weekly progress meetings are conducted to: review construction progress and future work activities, identify potential delays as early as possible for mitigation planning, raise issues and bring them to resolution, and make subsequent action assignments when appropriate. Action assignments should be re-visited as part of "Outstanding Issues" at each meeting to verify closure of each assignment in a timely fashion.

Minutes/Notes

Meeting Notes Guidance

The notes should be concise, summarizing the discussion topics and adding detail only when required or appropriate to the subsequent actions required. It is equally important to **document the attendees at each meeting** and include their attendance on the Minutes/Notes form. Reasons for this documentation include:

The Project Leader will prepare minutes/notes for each meeting and distribute them in a timely manner to the prime contractor and other attendees, as requested.

Prior to Preconstruction Meeting

Railroad Insurance

CMM 2.58 and 2.22.2

Project Leader

- Obtain hard copy railroad insurance and all related correspondence from Railroad
- Send copies to MC

Management Consultant

- RR insurance tab in Project Tracking is required to be completed for all projects
- Monitor insurance prior to notice to proceed that “all letters received”
- Place copies in project files

Subcontractors

CMM 2.60, SS 108.1

Sub-Contractors cannot start work until the PL has a “**Request to Sublet**” for them approved by the Region Equal Rights Officer (ERO).

PROCESS FOR REQUEST TO SUBLET (DT1925)

- Region ERO approves and provides copies of approvals to the MC for distribution
- Region ERO enter Sublet Date into Project Tracking

Management Consultant

- Receives copy of approved subcontractors for file and distribution

Execution of the Contract

- Bureau of Project Development sends out notice to MC that a contract has been executed and the Execution Date has been entered in PrCA.

Management Consultant

- Monitor the HCCI site contract log for contract execution progress
<http://roadwaystandards.dot.wi.gov/hcci/contracting-information/index.shtm>
- Receives DT 2046 (Contract for Highway Work Proposal) from Bureau of Project Development
- Monitor Status Tab that execution date was populated in Project Tracking
- Notify of execution by email: PL, LPPM and ERO
- File: Hard copy of email notifying execution

ECIP

ECIP must be received from contractor 14 days prior to Pre-Construction Meeting

- ECIP reviewed by PL, DNR and MC

Project Leader

- Enter Date of ECIP received and approved in FITS
- review ECIP
- Enter Approval date in FITS after MC approves (if revised)
- Merge and send FITS

Management Consultant

- Contact DNR and PL to verify they received copy
- MC & DNR both review submitted ECIP
- Contact DNR to get a copy of their comments, combine comments and submit to contractor for revisions
- Approves ECIP

Progress Schedule

CMM 1.65.2

- Schedule is received from contractor 14 days prior to holding Pre-Con
- Work Schedule: copy to File & PL
- Accept or Reject – Schedule is included with the ECIP

Contract transfer to PL

Fits>Merge>Send

Field Manager>File>Export>Transfer Contract>yes>highlight contract>select>Transfer Contract>highlight Field Net id>send mail>get mail

MC File & PL Packet

- Print out Bid Summary from HCCI
- > Reports>All Bids Received>Letting Date you are looking for. Search for the contracts for the Region. Print 2 copies: MC File & PL Packet
- Create labels after letting

PL Packets not limited to:

1. Finals Checklist
2. Materials Checklist (E-guide)
3. Set of As-Let Plans (hardcopy & CD)
4. Source of Materials letter (received from Contractor)
5. Request to Sublet
6. DBE Waiver
7. Project Labels
8. Project Proposal & Special Provisions (Hardcopy & CD)
9. R/W commitments
10. Environmental Commitments
11. PS&E docs, as needed
12. State Municipal Agreement with financial information “blacked” out
13. Applicable permits
14. Corp permit

Preconstruction Meeting

CMM 2.26

Preconstruction Meeting Notice

Meeting must be conducted in a location accessible by the WisDOT ERO and all required WisDOT Technical Services Specialists, along with consideration to proximity of the project.

Location Preference:

1. WisDOT Regional Office
 2. Sponsor's facility if meets all requirements
- Check that ECIP and work schedule were submitted 14 days prior to holding of Preconstruction Meeting
 - Arrange date, place, and time with contractor, DNR, and Local Unit of Government
 - Record preconstruction meeting
 - Bring extra plans and specials
 - Minimum of two weeks prior to the meeting, Precon invite
 - an 8 ½ x 11 copy of the plan cover sheet(s)
 - Check utility status to assure relocates are complete

FIIPS (Confidential)- Verify PL consultant authorization

Preconstruction Meeting

- Topics of discussion will include the contractor's schedule; utility and Railroad Company work, and contract plan and specification requirements.
- Discuss line of communications between Contractor + Department + Management Consultant (See Timely Decision Making – Project Admin Tools)
- **Emphasize “WisDOT has control of the project”**

Project Leader

- Check utility status
- Develop agenda (See Pantry)
- Conduct preconstruction meeting, prepare & distribute precon minutes (See Timely Decision Making – Project Admin Tools)
- Develop materials testing E-guide for project and provide a copy to the contractor

Preconstruction Meeting Reminders

If DNR is unable to attend

- address any DNR concerns
- Include DNR in pertinent communications

If WisDOT ERO is unable to attend a phone line is required for ERO to call in

- address concerns reiterating ASP's included in the contract
- revised list of required federal posters
- correct wage rates for work performed by county

Notice to Proceed

Start Notice

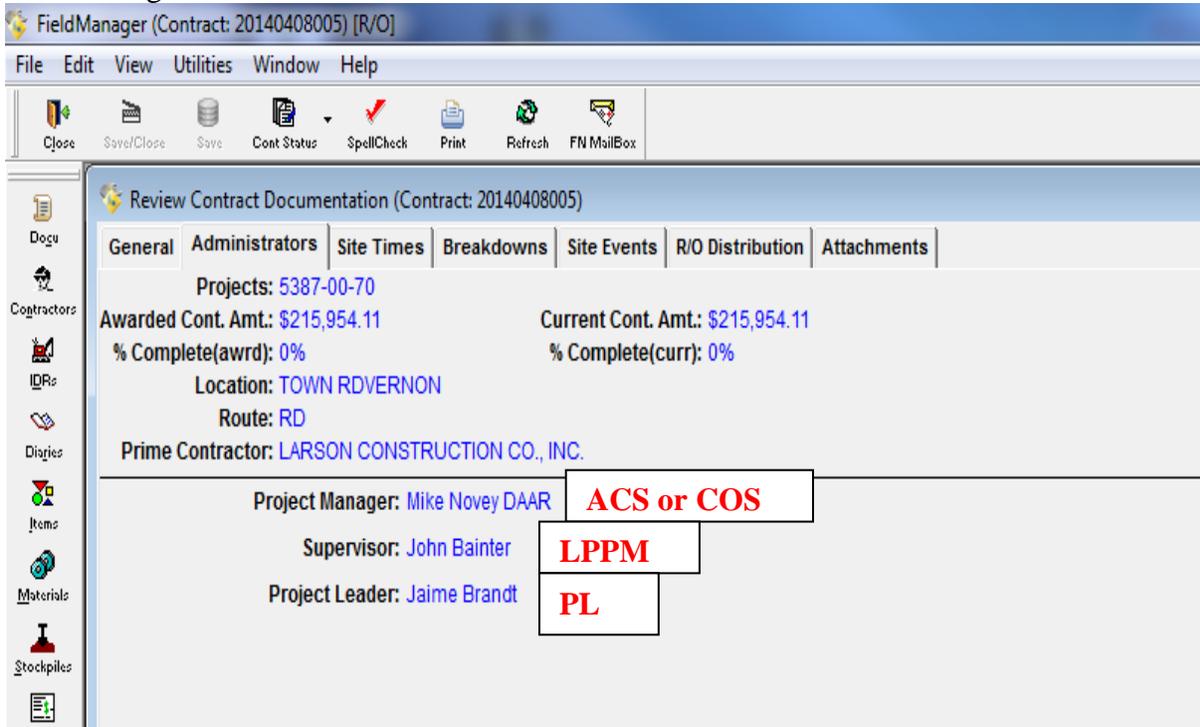
CMM 2.22.1, SS 108.2

Prior to Notice to Proceed the following Contract Administration items must be completed:

- Verify contract execution
- Erosion Control Implementation Plan approved
- Sublet request forms approved
- Work schedule accepted
- Preconstruction meeting held
- Railroad insurance received if required
- Any other items required, i.e. permits, public meetings, etc.
- PL/ MC/ LPPM concur when start notice is to be sent
- Verify no work started prior to Notice to Proceed
- Work will begin within 10 days after the date of this letter
- Notice to Proceed date Entered prior to first estimate
PrCA>Contract>change>pg 3
- **Issue Notice to Proceed**

Field Mapping Field Manager to Project Tracking

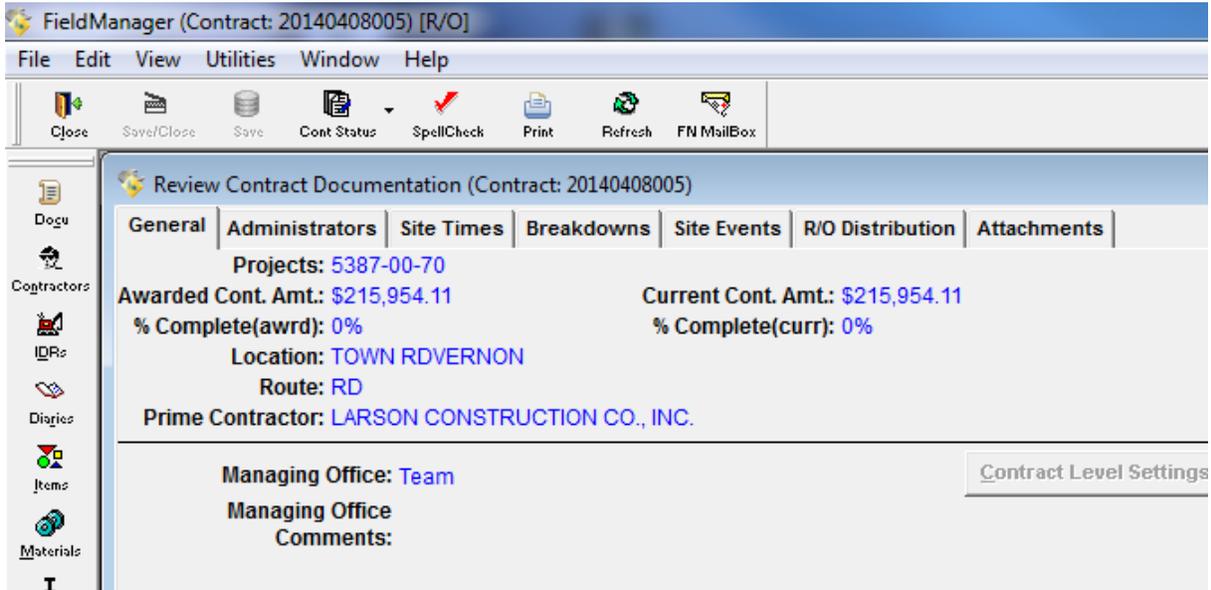
Field Manager: Administrators tab



The screenshot shows the 'Administrators' tab in the Field Manager software. The interface includes a menu bar (File, Edit, View, Utilities, Window, Help) and a toolbar with icons for Close, Save/Close, Save, Cont Status, SpellCheck, Print, Refresh, and FN MailBox. The main content area displays contract information for 'Contract: 20140408005'. The 'Administrators' tab is selected, showing a list of roles and their associated personnel. The roles listed are Project Manager, Supervisor, and Project Leader, each with a corresponding name and a red text label indicating their role type.

Role	Personnel	Role Type
Project Manager	Mike Novey DAAR	ACS or COS
Supervisor	John Bainter	LPPM
Project Leader	Jaime Brandt	PL

Field Manager: General tab



The screenshot shows the 'General' tab in the Field Manager software. The interface is similar to the Administrators tab, with the same menu bar and toolbar. The main content area displays contract information for 'Contract: 20140408005'. The 'General' tab is selected, showing a list of contract details. The details include Project ID, Awarded and Current Contract Amounts, Completion percentages, Location, Route, and Prime Contractor. A 'Contract Level Settings' button is visible in the bottom right corner.

Field	Value
Projects	5387-00-70
Awarded Cont. Amt.	\$215,954.11
Current Cont. Amt.	\$215,954.11
% Complete(awrd)	0%
% Complete(curr)	0%
Location	TOWN RDVERNON
Route	RD
Prime Contractor	LARSON CONSTRUCTION CO., INC.

FIT: Contacts tab

Contacts Field Office Location Staff Details

Save Print Close

Project Leader Prime

Name: PL: Robert Lemcke

Email: robert.lemcke@dot.wi.gov Contr

Cell Number: (608) 516 - 8489

Office Number: (608) 238 - 1168

WisDOT Employee Consultant

SW Region C

Project Tracking

Edit Working on - 20140408005; 5387-00-70 ; WISC 2014098; Vernon; Last Update from FIT: 01/28/15

Print Current Tab Print All Save Close

Detail Dollars and Site Information Preconstruction and Labor Information STP

Detail Information for Contract 20140408005
Main Project: 5387-00-70 Assoc PCN's:

Region: SWL County: Vernon	Federal ID: WISC 2014098
Description: Town Greenwood, Kouba Valley Rd	Route#: Rd
Location: Town Rd	Hwy#: RD
Vernon	Road System: TOWN
Prime Contractor: LARSON CONSTRUCTION CO., INC. 19881 55th Avenue Chippewa Falls, WI 54729	Type of Contract: LET
	Bonding Co: LIBERTY MUTUAL INSURANCE COMPANY 175 Berkeley St. Boston., MA 02117

Prime's Phone: (715) 723-9708

Prime's Fax: (715) 723-4515

Local Addr: _____

City, State, Zip: _____

Contact: Tim McLaughlin

Cell Phone: (715) 456-5301

Type of Work: Structures

Structure B-62-0039, removal of existing Structure P-62-0270, grading, basse aggregate dense, erosion control, and asphaltic surface.

Project Leader: Jaime Brandt **PL**

Leader Office: Team Engineering, Inc. ← **Consultant name from FIT**

Project Manager: Mike Novey DAAR ← **ACS or COS**

Supervisor: John Bainter ← **LPPM**

Construction Admin By: Team ← **PL Firm**

Managing Office Comments:

Project Leader, Project Manager, & Supervisor in e-mail notification section

Project Tracking Contact Information for Contract: 20140408005

Print Close

Contacts and Field Office Location Field Staff Contact Search Email Notifications

Contract ID: 20140408005 TOWN GREENWOOD, KOUBA VALLEY RD
 Office Phone: (715) 590 - 3901 Fax: () - TDD Phone: () -
 Address: Vernon County Highway Shop Directions: Turn onto County FF/E. Madison St. and turn
 133 E. Madison St. right on first road, Field Office on left at County
 Hillsboro, WI 54634 shop.

Title / Name / Employer	Email Address	Office Phone	Cell Phone
Project Leader Jaime Brandt Consultant : Team Engineering, Inc.	jbrandt@teamenginc.com	(608) 727-2146	(608) 963-6462
Project Manager Mike Novey DAAR Consultant : DAAR ENGINEERING, INC	mike.novey@daarcorp.com	(608) 566-1370	(608) 334-5215
Supervisor John Bainter	john.bainter@dot.wi.gov	(608) 785-9729	() -
WisDOT Project Materials Coordinator Brad Schroeder	bschroeder@teamenginc.com	(608) 727-2146	(608) 415-8830
Contractor and Contact Person Larson Construction Co., Inc. Tim MacLaughlin-Barck	tim@larsonbridges.com	(715) 723-9708	(715) 456-5301
Contact Project Materials Coordinator Deanna Friemoth	deanna@laronsbridges.com	(715) 723-9708	(715) 456-5301
Traffic Company Safemark, Llc Emergency Number(608) 577 - 3925			
Contract Specialist Mike Novey	mike.novey@daarcorp.com	(608) 254-9700	(608) 334-5215
Equal Rights Officer Debra Hoeth	debra.hoeth@dot.wi.gov	(608) 785-9051	(608) 792-2155

Weekly Site Visit Report

Weekly Site Visits are required on all LP Projects. Complete the Site Visit Report while on site and include in the Project files. The Site Visit Report form is located in Pantry Software under the Local Program Region specific folder.

Site visit shall include, but is not limited to the following:

- Visual check
- Traffic Control
- Erosion Control
- Construction records
 - Materials Issues
 - Project Status
- Review contractors schedule, verify current status
- Review construction pay records and verification of pay records
- Review Project Fieldmanager
- Review diaries and source document
- Provide copy to PL for field records
- Place copy in MC file
- List of staff performing the weekly site visit
- Weekly Meeting Minutes/Notes Review (Timely Decision Making)

Contract Modification

CMM 2.42

Contract Modification Process

Guidelines

- CMJ will be transmitted to WisDOT within 2 days.
- CMJ will be reviewed/approved by WisDOT within 2 days
- CMJ with soils issues will clearly indicate the level of involvement by Region soils engineer.
- WisDOT acknowledges that the Region soils engineer cannot in a timely way field visit every job site. Valuable input from the soils engineer can be obtained via the phone or by e-mail.

Task 1 Contract Modification Justification

Step 1.1 PL completes Contract Modification Justification (CMJ).

PL should notify the MC that a Contract Modification is needed, regardless of the amount. Approval must be granted prior to start of work covered under the contract modification. The Contract Modification Justification form is located in Pantry 20XX Statewide Forms.

Step 1.2 The appropriate Level of Authority must sign and date the CMJ.

Level of Authority MATCH SIGNATURE APPROVAL

Less Than \$25,000.....LPPM approval

\$25,000 to \$49,999.....WisDOT LP Project Supervisor

\$50,000 or more.....WisDOT LP Project Development Manager

Task 2 Contract Modification Reports

Step 2.1 The PL creates the Contract Modification Report in Field Manager by selecting “Add Contract Modification”.

Step 2.2 Explanation of headings and description:

- **“Short Description”**...a short description of the contract modifications
- **“Contract Modification Description;** detailed description of the change.
- **Always address Contract Time, whether additional time (working days, etc.) is granted, or no extra time is granted due to the change.**
- **“Increase/Decrease, New Item, and Time Extension”**...After the word **“Reason”** list the best Reason Code that applies to the item. Only one Reason Code is allowed per item. Only use the two letter initials.

CR (Cost Reduction)

MI (Miscellaneous)

PC (Plan Change)

PI (Plan Inadequacy)

RO (Request by Others)

SE (Safety Enhancement)

SS (Change/Credit Standards and Specifications)

Step 2.3 New Categories/Project ID's

To add a category or a project to a contract, contact Regional Planning to get funding approved and added to FIIPS. Once approved, the MC will add the new category/project into PrCA and the Project Leader can download into Fieldmanager and move forward with the Contract Modification.

Step 2.4 After the Report is complete.

- Save/Close.
- Generate the Contract Modification you have just created.
- When asked for supervisor approval, mark **NO**.
- Print two copies. Copies should say “**Pending Approval**” in the Status Box.

Note: *This will create a means of posting against this item of up to 90% of the change work assuming the Contract Modification Justification form has the appropriate approvals.*

Task 3 Collecting Signatures

Step 3.1 A **Letter of Transmittal** for the contractor’s signature may not be needed. If an authorized representative of the prime contractor is available to sign the two copies of the modification, then a letter of transmittal is not needed.

If a letter is needed, the MC should send the letter along with the **two copies of the Contract Modification**, including other related documentation pertinent to the change, to the contractor for his/her signature.

Step 3.2 After the contractor returns the two-signed original copies; both original copies will need the signature of the appropriate Level of Authority in accordance with the LP Document Approval Designation chart.

Step 3.3 A final letter of transmittal, signed by the Management Consultant needs to be prepared identifying the contract modification has been fully executed. (fully executed contract modification packet includes all documentation of the CMJ)

Signatures on the Contract Modification:

The appropriate title reference for each signature is as follows:

Title in Box	Designated Signatures
Prime Contractor	Prime Contractor’s Signature
Prepared By	Person who prepared the Contract Modification
Recommended By	Management Consultant
Authorized by	Appropriate person: LPPM, Local Program Project Supervisor or Local Program Project Development Manager

Task 4 Distribution of copies

Contractor	<ul style="list-style-type: none"> ○ Original Letter of Final Transmittal ○ Original signed (executed) Contract Modification
Project Leader: (to be retained with the project field files and turned in with	<ul style="list-style-type: none"> ○ A copy of Letter of Final Transmittal ○ Original signed (executed) Contract Modification ○ Original Contract Modification Justification

the finals)	
Management Consultant	<ul style="list-style-type: none"> ○ A copy of the Letter of Final Transmittal ○ A copy of the (executed) Contract Modification ○ A copy of the Contract Modification Justification
Central Office: Regional Oversight Engineer, Bureau of Project Development	<ul style="list-style-type: none"> ○ A copy of the Letter of Final Transmittal ○ A copy of the (executed) Contract Modification ○ A copy of the Contract Modification Justification
Central Office: Bureau of Business Services	<ul style="list-style-type: none"> ○ A copy of the Letter of Final Transmittal ○ A copy of the (executed) Contract Modification ○ <u>Scanning Contract Modifications to Expenditure Accounting (See Below)</u>

Region Oversight Engineer:

SW Region: Doak Christenson
SE Region: Javad Hosseini
NE Region: David Buschkopf
NC Region: Frank Alfaro
NW Region: Albert Nemec

*Administrative change orders are for items already in the contract, such as non-conforming material, fuel cost adjustment, railroad flagging, etc. Therefore, it is not necessary to obtain the contractor’s signature. If something new is added to the contract, the contractor’s signature is required. However, you should make sure the contractor receives a copy of all administrative change orders.

Scanning Contract Modifications to Expenditure Accounting

Mailbox to receive scanned Contract Modifications: DOTDTSLocalProgramContMods@dot.wi.gov.

Please prepare the Contract Modifications for scanning in the following manner;

- 1.) Put your initials in the upper right hand corner of the first page of the Contract Mod to help identify who the Contract Mod is coming from.
- 2.) Print a bar code sheet in Color (Not Black & White) for this process.
- 3.) Put a scanned Bar Code Sheet in front of every Mod being scanned. Just the Mods for Let Projects are to be scanned, not the CMJs, Cover Letters, and not for any LFA’s.
 - LFA Contract Modifications are to be sent Inter-D to ***DOT Expenditure Accounting***
- 4.) The first page after the bar code sheet needs to be the first page of the Contract Mod.

Bar Code Sheets are available in Pantry Software.

Materials

Reference Materials:

CMM Section 8-50 Materials Testing and Acceptance

SS 106.1

General

For general guidance on Materials records and testing refer to CMM, Section 8-50 Materials Testing and Acceptance

NOTE: HMA verification testing is ALWAYS done by the DEPARTMENT.

Material Tracking System/ Materials Information Tracking System (MTS/MIT) classes may be requested by contacting the DOT Technical Course contact, Sandra Hoff .

Sandra.hoff@wi.dot.gov

Every project shall have a contractor and department representative (WisDOT) designated as a Materials Coordinator person. See Standard Specification 106.1

Project Leader

- Designates Contractor and department representative (WisDOT) Materials Coordinators at Preconstruction meeting
- ALL Materials shall be approved prior to incorporating them into the project
- Obtain all sources of materials listing at the pre-con
- Hand out Materials Testing Guide (ie: e-Guide) to prime contractor at Pre-con meeting
- Contact MC regarding the waiving of nuclear density testing for small quantities

Management Consultant

Source of Material

- Review Source of Materials
- copies to PL & DOT materials
- Filing: File, PL Packet, Regional materials for review

Material Guidelines

Project Leader

1. DT1310 Document

The DT1310 document is prepared to address non-conforming materials. The DT 1310 document can be found in MITS.

2. IDR Summary and Index report

The report must show the most current quantity of materials used in the work as well as any penalties or payment withheld for non-conforming materials incorporated in the work.

3. **Materials Diary**

Containing information for materials incorporated not found on MIT prefix 155 or a 900-test report record. Information related to the basis of acceptance, compliance requirements should be included as a stand-alone document.

4. **Test Report Index**

Print out all test records—while project is on-going. This must be obtained through MITS, for finals submitted via a request to MC.

5. **Materials Testing Guide (eguide)**

The sampling and testing guide can be found at the following link

<http://www.atwoodsystems.com/wisdot>

Provide a copy to contractor prior to Start Work, preferably at Pre Con

6. Refer to FDM Chapter 8 regarding Conflict of Interest as it pertains to materials testing.

7. Submit all Materials Records to MC. Be sure MITS data has been sent before turning in finals boxes

Materials Certificate –DT1310

Project Leader

- Create a DT 1310 in MITS for every construction contract. (If you have non-conforming items enter the deviation. If there are no non-conforming items choose ‘No Except’
 - Deviation is the reason for the material failing to meet the Standard Specifications, Special Provision or CMM.
 - State in your deviation if a price reduction was issued and how much.
 - Also if the material was not removed, explained why the material was allowed to stay in place
- Send to MC for signature
- Include DT1310 as part of MITS send

Management Consultant

- Review materials as part of Finals process
- Sign DT 1310 certificate
- Notify PL of date that the DT 1310 report is signed
- Enter the Materials Certification date into Materials Tracking System

Suspension of Work/ Resume Work

CMM 2.48

Suspension of Work and/or Time

- Used to stop work and/or time during construction season

Notice to Resume

- Required on ALL contracts that have been suspended. (Unless time to resume is specified in the Special Provisions)
- gives the contractor authority to be on WisDOT property
- defines when time starts

Project Leader

- enter dates in Field Manager, merges FIT and sends

Management Consultant

- Prepare the letter to suspend or resume work, with concurrence of LPPM

Estimates

CMM 2.36,SS 109.6, 109.7

There are three types of payments:

- Progress Payment Estimate (Intermediate)
- Semi-Final Estimate
- Final Estimate

*****Negative payments and Semi-Final Estimates created by PL, prior to the finals review will be denied, unless prior approval from MC has been granted.**

Project Leader

Progress Payment Estimate

DO NOT SEND AN ESTIMATE UNTIL THE FOLLOWING DATES HAVE BEEN ENTERED IN FIELDMANAGER

- Construction Started Date
- Time Charges Start Date
- Notice to Proceed
- PL is responsible to insure the accuracy of all quantity postings

As the project progresses, item postings are made in Fieldmanager for payment to the contractor. Progress payment estimates are made bi-weekly if the contractor is due a payment of a \$1,000.00 or more. More frequent payments are appropriate for larger sums owed.

An item may be marked complete in Fieldmanager after it has been completed, measured, documented and verified.

Please instruct the Project Leaders when entering Pay Period Date in the estimate comment field, to keep it short.

Even just entering a date from _____ to _____ is enough information.

Management Consultant

Fieldnet Approval

- Verify payment of items are accurate
- Print copy of Fieldnet estimate of items for every estimate, Intermediate, Semi-Final, Final
- Place in MC file

Project Close-out

Semi-Final Estimate Sent by MC

- **Submit following the Finals Review of Records**
- Documents the final quantities of all bid items used on the contract.
- All quantities will have been measured, documented and/or verified prior to submittal.

- All required documents (including materials test reports) are to be received and accepted prior to the semi-final estimate being sent to the contractor, and the MC's Final Review of Records.

MC print and provide Subcontractor Certification DT1340 and Contractors Evaluation of Project Team DT2509

- The contractor has 30 days to review and submit a written statement of agreement or disagreement with the final quantities. If disagreement, the contractor provides a written statement detailing reason for disagreement.
Subcontractors Certification DT1340 required to be returned with Semi-Final.
- **NEW Project Construction meetings/conference call continue throughout the finals process to determine project closeout status.**

Final Payment

All bid items must be marked complete in Fieldmanager (PrFM) prior to generating the final estimate.

- The final payment will be made upon agreement of final quantities between the department and the contractor.
- Should they be unable to agree upon final quantities, the final estimate will be sent with the quantities WisDOT has documented. The contractor then has the option of pursuing the claims process.
- All retainage will be released with the final payment.
- **Final payment cannot be made until Subcontractors Certification DT1340 is received.**

MC Finals Close-out

- Request Final Invoice from the Construction Consultant firm 30 Days following the Final Estimate
- Prepare Completion Certificate in Project Tracking
- Send to Bonding Company and FHWA if applicable
- Send Annette.czerneski@dot.wi.gov a copy of the Fieldmanager contract after Final Estimate

Liquidated Damages

SS 108.11 CMM 2.34.2

Based on the Project Construction Leader's daily diary charges from Fieldmanager, Liquidated Damages are calculated in PrCA. Charges will be applied beyond the number of working days or beyond the Completion Date of the contract.

Project Leader

- All time extensions require a Contract Modification approved by the LPPM
- Should monitor the project contract time. If a Working Day contract, use the Weekly Report of Working Days for potential for Liquidated Damages.
- To stop charging time, enter a date in Time Charge Stop Date in Fieldmanager
- New estimate is required to release any held liquidated damages

ASP 4

Prompt Payment

CMM 2.40.1

*Applies to Sub-Contractors of all tiers.

ASP 4 requires that within 10 calendar days of receiving a progress payment, contractors must pay the subcontractors for satisfactorily completed work.

Project Leader

- Should focus efforts on promoting compliance.
- Shall discuss the prompt payment requirement at the pre-construction meeting
- Post progress payment reports at the construction field office.

Management Consultant

When a prompt payment issue is received, document your actions;

Refer to Construction and Materials Manual 2.40.1. Contact the prime contractor to determine reason for non-payment and try to resolve before following the process outlined.

- *Write a memo regarding a complaint received.*
- *Confirm WisDOT has paid on that particular estimate.*
- *Send letters to all subcontractors asking if they have been paid promptly as per the CMM*
- *CC: the prime contractor, BPD Regional Oversight Engineer, and the LPPM.*
- *Request confirmation of payment from the prime contractor.*
- *First complaint handled directly by MC, if multiple complaints follow CMM letter*

If the payment problem is not resolved;

- *Inform (by registered mail) the prime contractor of default.*
- *CC: Bonding Company, BPD Regional Oversight Engineer, and the LPPM.*

If the payment problem is resolved;

- *Send a closure letter to the complainant.*
- *CC: BPD Regional Oversight Engineer, and the LPPM*

Refer to CMM for example letters.

Retainage Reduction

SS 109.6.3.3 ASP-4

Refer to ASP-4 for process to reduce retainage

Recordkeeping – Audit Trail

As you enter quantities into Fieldmanager, a critical part of the entry is the REMARKS field. The remarks will identify an audit trail of the quantities. Retention of source documents is critical to this audit trail.

Project Leader

- PL needs to be consistent with the approach used when determining quantities for an item from start to finish of the project.
- The source document numbering system and format of the hardcopy needs to be clear and consistent.
- There are various methods for documenting the origin of postings, however only use one at a time:
 1. Direct Entry:
 - Use Direct Entries for lump sum items
 - Direct Field Entry/with use of a data collector or laptop
 - Direct Field Verification/with use of a data collector or laptop
 - Direct Field Measurement/with use of a data collector or laptop
 2. Field Diaries
 - See Field Diary #3- page 6
 3. Tickets
 - See Tickets dated XX/XX/XXX
 4. Spreadsheets
 - See Spreadsheet 1.001 *Include trail to source document.
 5. Estimate only; Estimate the quantity when you do not have a final measurement, or when quantities are not checked and subject to change.

Acceptance

CMM 2.50, SS 105.11.1

Partial Acceptance

- Consider upon contractors request
- Relieves the contractor of maintenance responsibility only
- Places maintenance responsibility on the owner/ sponsor
- Does not relieve contractor of responsibility for defective work or damage
- Letter to include detailed information regarding what is being accepted.
- MC consult with PL for decision/determination

Substantially Complete - sent for all projects

CMM 2.50, SS 105.11.2.3

- **Locals attend Final Walk Punch List**
- Completion of all work **except punch list items**
- Lanes of traffic are open on finished surface
- Signage and permanent traffic control devices are in place and operating
- Letter to include punch list items and required documentation (must exclude plant establishment)

Project Leader

- Sends email request to MC with the date required in the letter and the “punch list” items including any outstanding issues.
- Enter Contract Time Stopped in Fieldmanager
- FIT merge and send; This triggers a process that populates the Substantially Complete date based on the Time Charges Stopped date resulting in the Substantially Complete date email notification to the user set-up on the contract

The Labor Compliance (ERO) will get the notice as long as the CS set-up all of the names properly for the contract. You can check this by going to the “Contact Information” Tab in PT and then look in the “email notification” Tab. The persons listed here will receive the notice. If you don’t see any names listed, then it was not set up properly.

Conditional Final Acceptance

CMM 2.50.2, SS 105.11.2

- Based on the project completion and not on the final records being checked
- All contract work complete including punchlist and submission of contract required documents

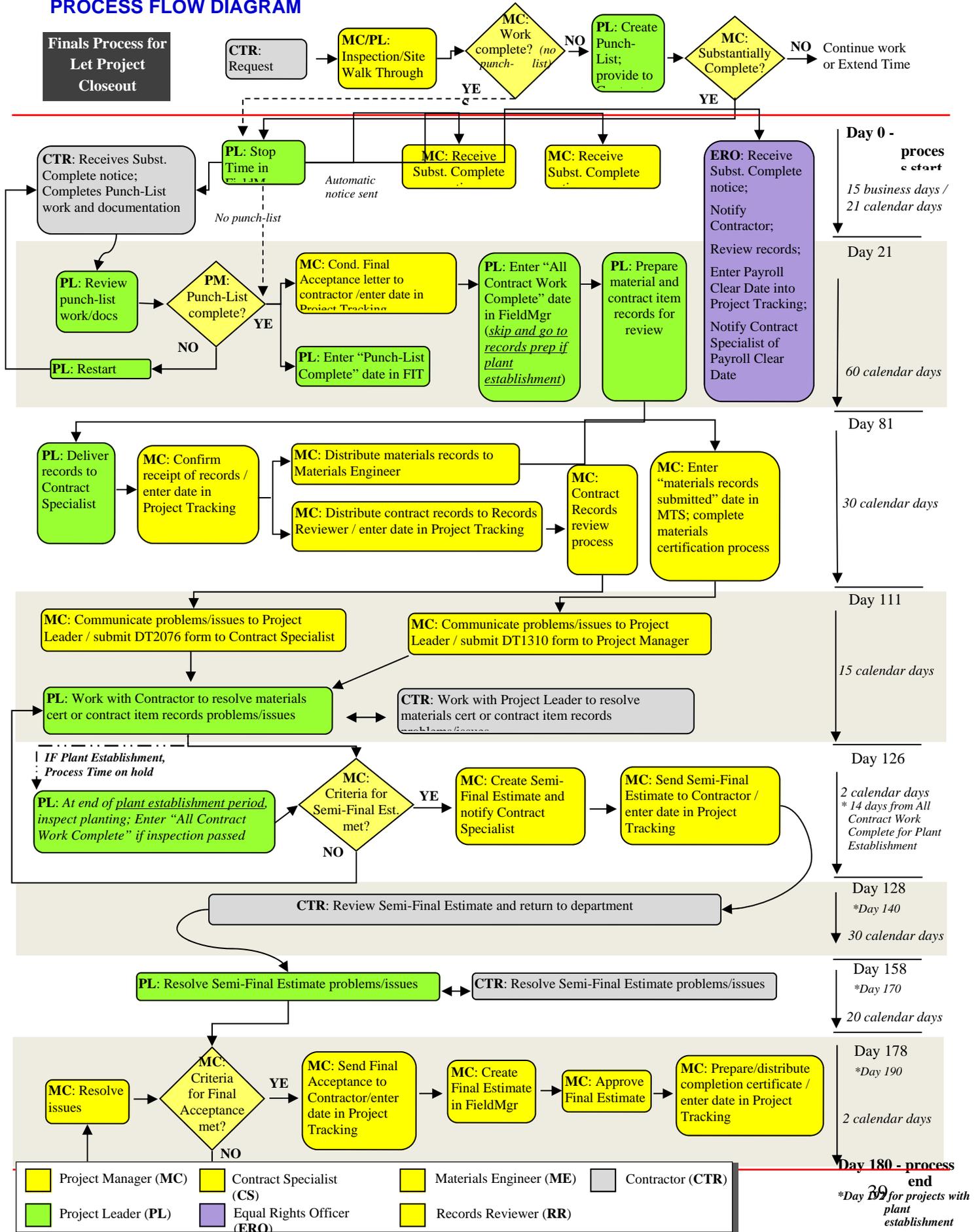
Final Acceptance

CMM 2.50.2, SS 105.11.2

- All contract work complete
- All Contract Records approved
- Based on workmanship can be revoked within a year
- Signed Semi-Final Estimate returned from contractor
- Subcontractors Certificate DT 1340

Let Project Closeout Process

PROCESS FLOW DIAGRAM



As-Built Plans

CMM 1.65.13

AsBuilt Plan process for Statewide Local Program

Project Leader

- Download the Plans & Proposal from the WisDOT HCCI site under "Plan/Proposal"
- Monitor and download any changes or additions due to amendments made to the advertised plan from the HCCI site and adding them to the as-built plan
- Using the current required edition of Adobe Acrobat specified in the annual computer requirements, makes changes/additions to the electronic plan
- Submit both an electronic copy and a hardcopy of the as-built plan to the MC with the final records.
- Make an additional copy of the CD, clearly labels the contents on the CD, i.e..AsBuilt Plan, Project ID, LPPM, MC, County, etc. and forwards to the Region Office,

SE Region: 141 NW Barstow Street, Waukesha, WI 53186

SW Region: 2101 Wright St. Madison, WI 53704-2583

NW Region: 1701 N. 4th Street Superior, WI 54880
718 W Clairemont Ave Eau Claire, WI 54701

NC Region: 510 N. Hanson Lake Road Rhinelander, WI 54501
1681 Second Avenue S. WI Rapids, WI

NE Region: 944 Vanderperren Way Green Bay, WI 54304-5344

Make an additional hardcopy of the AsBuilt plan and forwards to the appropriate representative of the Local Public Agency involved in the project. If they have requested an electronic copy instead of/in addition to the hardcopy, that is done also

Management Consultant

- MC logs and tracks all AsBuilt submittals for both WisDOT and the Local in Project Tracking

BOS would like **all** structures submitted with separate as-builts, the same way as-builts for bridges are submitted. This means that any as-builts for structures with a letter designation should be submitted separately from the project as-built. (see the Bridge Manual for a list of letter designations in section 2.5 of this link

http://dotnet/dtid_bos/extranet/structures/LRFD/BridgeManual/Ch-02.pdf)

Finals Checklist

CMM 1.65.11

Upon completion of the contract, construction field personnel are required to turn in certain documents, forms, records and reports developed or received during the life of the contract.

Project Leader

- Mark each Item Complete: (Go into FieldManager and choose each item. Change the item and open the Documentation tab. Answer YES to 'Item Complete').
- Print the Item History to Date report from FieldManager for each item.
- Print the Project Diary from FieldManager or from FITS
- Verify your Liquidated Damages are correct. If you have overrun days that will not be compensated for please contact the MC to be sure the appropriate charges are applied.
- Verify the Time Stopped Date in FieldManager.
- Merge and Send FITS data
- Confirm all Contract Modifications are Approved and paid.
- Deficiency/Incentive/Disincentive items accounted for.
- Stockpiled Items are balanced.
- Contractor's Performance reports signed by the Construction MC.
- All entries, tapes, tickets and spreadsheets are checked by someone other than the person who entered them
- Records to be submitted in State Records box 10 ½ X 15 ½ ,obtained from DOT



Final Construction Project Records – DT2075

- Project files should include official documents, documentation of all approval actions, documentation that fully supports expenditure of fund, documentation of project decisions, and project correspondence if applicable, including but not limited to the following:

- As Built Plan (electronic & hardcopy)
- Project Diary (hardcopy & bound)
- Item History to Date reports (hardcopy & bound)
- IDR Summary & Index
- Estimates (hardcopy)
- Contract Proposal
- Contract Modifications
- Explanation of Variation
- Weekly Progress Reports (Working Day Contracts)
- Contractors Schedule
- Meeting Notes (precon, weekly, business, etc.)
- Correspondence Folder (email, video, pictures, etc)
- Design Quality Index
- Notice to Proceed Letter
- Work Suspension, if applicable
- R/W Commitments
- Request to Sublet
- Erosion Control Implementation Plan
- Report of Contractors Performance
- Project Team Evaluation of Contractor
- Contractor Evaluation of Project Team
- Weekly Site Visit/Meeting Reports
- Piling Records & Driving Data
- Haul Road Logs
- Shop Drawings
- Structure clearances
- Sign Bridge Anchor Rod Record
- Odometer Log/ Locating No Passing Zones
- Tie Sheets for Section Corners
- Property Monument Map
- Materials Folder
 - DT1310
 - Soils Report
 - Test Report Record
 - QA/QC Contract Programs
 - Concrete
 - Plant Inspections
 - Scale Checks
 - Delivery Invoices
 - DT2321
- Releases
 - Borrow Pits
 - Waste Sites
 - Stock Pile Sites
 - Haul Roads & Logs
 - Construction permits
 - Shop drawings
- Source Documents:
 - Delivery Tickets
 - Receipts
 - Survey Records
 - Measurements
 - Computations
 - Final yardage sheets
 - Final cross sections
 - CD with Civil 3D for Borrow
 - Buy America Documentation
 - Buy America Certification Form WS 4567
- Backups
 - Email
 - Supporting Documents
 - Pantry
 - FIT
 - Fieldmanager

Contract Transfer

Project Leader

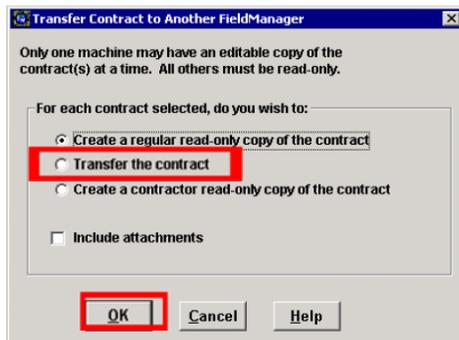
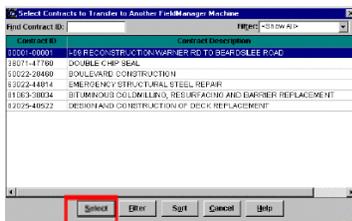
Contract Transfer

- Create back up disks prior to transfer
- Transfer FIT database to MC
 - **FIT**>file>export (zip file)>save to file>check contract id>continue to export and delete the file on this pc
 - Will go to folder on c:dotpt/export folder>export.zip
 - Attach to email and send to MC
 - Transfer FieldManager

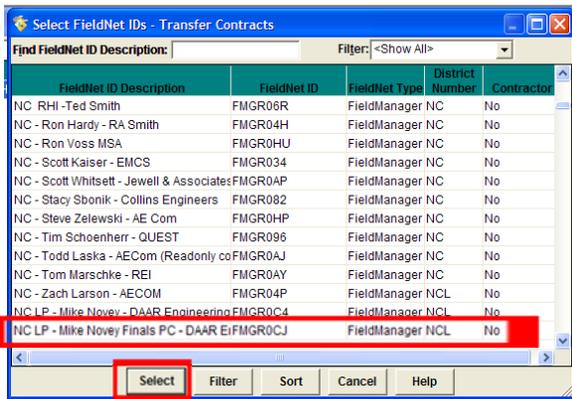
Field Manager> file>export>transfer contract> **Yes** to use Field Net



- Select the contract you wish to transfer, and click the **SELECT** button.



- Choose **TRANSFER THE CONTRACT**
- Click **OK** to transfer the contract.



- Select from list Fieldnet ID for your MC (DOT NOT TYPE IN)
- Choose **SELECT**
- The file will be saved to the Outbox.
- Go to **UTILITIES, FIELDNET, SEND OUTBOX TO FIELDNET**

Management Consultant

- Open FieldManager, choose inbox and receive mail

Reports

Explanations of Variations

Whenever the variation between the final quantity and the contract quantity or revised contract quantity, is in excess of that which is normal for the item of work, a statement is to be made explaining the reason for the variation.

Project Leader

- Enter the reasons directly into FieldManager under each item; Documentation Box
- Merge FieldManager/FITS
- Print Explanation of Variation Report from FITS

Report of Contractor's Performance DT 1583

CMM 1.70

Project Leader

- Completes in FieldManager for each contractor on the project
- Forward to MC for additional comments and signature.
- Submit in Project Files records box.

The contractor addresses can be found on the 'All contractors list' at the following link:

<http://roadwaystandards.dot.wi.gov/hcci>

Management Consultant

- Original is put into the project file.
- Mail Prime Contractor only their ratings
- a copy of each Sub-Contractor rating to that Sub-Contractor (Prime should not get a copy unless requested to do so by the Sub Contractor)

Project Team's Evaluation of the Contractor (Timely Decision Making DT2510)

Project Leader

- Completes form from Timely Decision Making HCCI site
- Forward to MC for additional comments and signature.
- Submit in Project Files records box

Contractors Evaluation of Project Team (Timely Decision Making DT2509)

- Completes form from Timely Decision Making HCCI site
- Returned with Semi-Final Estimate

Construction Consultant Performance Evaluation (Time Decision Making DT 1087) CARS

Management Consultant

- Prepare for all consultants providing professional engineering services on project
- Prepare final invoice **CARS**

Piling & Bridge Clearances

Piling Records and Bridge Clearances

Project Leader

- A clearance measurement is to be taken whenever there is a change in vertical clearance during the project.
- The Field Information Tracking System (FITS) needs to be completed immediately documenting Structure Clearances.
- Send FITS
- Complete Bridge Vertical and Horizontal Clearance in Pantry and submit as form directs
- Transmit piling records to CO Bridge and CO Geotechnical
- Pile Record (DT1315) & Pile Driving Data (DT1924) These are located in Pantry
- Send copy to CO Bridge and CO Geotechnical using addresses on bottom of form to mailboxes; DOTDTSDGeotechnicalPiling@dot.wi.gov, DOTDTSDStructuresPiling@dot.wi.gov, cc: MC

DQI/ CQI

Design Quality Index Report (DQI)

CMM 1.70.3

Design Quality Index (DQI) is a subjective rating of the designed plan and is available through the Field Information Tracking System (FITS).

Project Leader

- Meet with contractor at project completion
- Printout a blank DQI with the 7-point descriptions
- Document together
- Enter in FIT for every Project ID
- When turning in records, include hardcopy of completed DQI

Management Consultant

Process the DQI in the following manner:

1. Verify if the plan was designed by a consultant in Project Tracking
2. Send a cover letter and a copy of the DQI to the consultant. (Route original to the LPPM).
3. When there are multiple projects on the contract, the Project ID and Main Project ID may be different. The DQI should be filed under the Project ID.
4. Verify the DQI date is entered in Project Tracking

Construction Quality Index - CQI

CMM 1.70.4

The Construction Quality Index (CQI) describes the maintainability of the constructed facility.

- CQI is performed 6 months after the project has been completed. See Work Complete Date in Project Fieldmanager.
- Complete with the LPPM, and Locals
- The agreed upon ratings will be loaded directly into Project Tracking by the MC.

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
WisDOT Hill Farms COF Staff

Email: david.stertz@dot.wi.gov
Office: 608-266-3630

Wisconsin Department of Transportation
4802 Sheboygan Ave. Madison

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.

Finalized Contracts Cleanup and Archival Process for Local Program

On a bimonthly basis, finalized contracts will be deleted from the FieldNet server. On a yearly basis, Local Program Management Consultant Contract Specialists are to send all the archived FieldManager contracts to DTSD BPD for archival purposes. This document outlines the steps to be followed for these processes.

1. Annette Czerneski from DTSD Bureau of Project Development (BPD) generates a report of all finalized contracts for the last 2 months.
 - a. The report is based on the voucher date of the final estimate and will be sorted by region.
 - b. The report will be distributed to the Local Program Management Consultant contract specialists for review.
2. Local Program Management Consultant Contract Specialists review the report for their region's finalized contracts identifying which ones should be deleted on this report by a specified deadline.
 - a. If all contracts should be deleted, they can simply note that on the worksheet in the "Delete from FieldNet" column.
 - b. Return the completed report to Annette Czerneski, DTSD BPD.
3. Annette Czerneski, DTSD BPD, deletes all the contracts marked for deletion 60+ days after the final estimate unless noted not to delete.
4. Two copies of archived FieldManager contracts are required.
 - a. Copy #1 - A CD (or other media) with the archived FieldManager contract is part of the final records and stored in the contract finals box.
NOTE: Contracts CANNOT be deleted from the FieldNet server until they are archived in FieldManager. The Local Program Management Consultant Contract Specialist should complete the appropriate contract archival steps as outlined in the 2016 Field Software User's Guide found in Pantry 2016\Manuals.
 - b. Copy #2 - As outlined in the Local Program initiative in 2008, archived FieldManager contracts are forwarded to Annette Czerneski, DTSD BPD, once per year for archival purposes.
 - By the end of June of each year, Local Program Management Consultant Contract Specialists should create an USB drive of all the archived FieldManager contracts from the previous year Example: June 2016 CD/USB drive would include all contract archrivals' for contracts LET January – December 2015.
 - Send the USB drive to:

Wisconsin Department of Transportation DTSD
North Central Region Office
Attn. Annette Czerneski 1681
Second Avenue South
Wisconsin Rapids WI 54495

Project Files for LET Contracts/Projects/LFAs

Project files should include official documents, documentation of all approval actions, documentation that fully supports expenditure of funds, documentation of project decisions, and project correspondence. Reviews can be conducted at any time during the course of the Design/Construction Projects.

Project Files should contain, but are not limited to the following:

Design Project records

- Official documents, if applicable to project
 - State/Municipal Agreement
 - Concept Definition Report
 - Pavement Structure Report
 - Railroad Status Report
 - Utility Status Report
 - Real Estate Status Report
 - PS&E Documents
 - Plan Letter
 - Plan
 - Trans 220
 - Environmental Report
 - Local Force Account Agreement
- Documentation of all approval actions, if applicable to project
 - Cost Effectiveness Finding (CEF)
 - Location Study Report
 - Environmental documents
 - Exception to Standards Report
 - Design Study Report
 - R/W Plat
 - Statutory actions, if there are any
 - Final Cost Effectiveness Finding (if different than initial CEF)
 - 3R Standards
 - Certificate of Right of Way
- Documentation that fully supports expenditure of funds
 - All Contracts
 - Work Orders - CARS
 - Invoices - CARS
 - Progress Reports - CARS

- Project Cost Detail Report (MC to obtain from LPPM)
- Documentation of project decisions
 - Agreement modifications
 - Time extensions
 - Change Management Application
- Project correspondence; including email
 - local unit proposal for inclusion in local program
 - All project correspondence (between WisDOT, locals, FHWA, public, designer, DNR, utilities, etc.)
 - Project scoping document
 - Operational Planning Meeting minutes
 - Public Involvement Plan/Meeting
 - Documentation supporting Environmental Document
 - Archeological
 - Historic
 - Section 106
 - WIS DNR Letter
 - Corps of Engineers
 - Wetland banking
 - Water Quality Cert.

Construction Project Records

- As-Built Plan
- Contract Modifications
- Preconstruction Meeting minutes and attendance record
- Correspondence, email, videos, pictures, releases, etc.
- Design Quality Index
- Estimates
 - Progress payments, with supporting attachments
 - Final Payment, with supporting attachments
- Explanation of Variations
- Notice To Proceed
- Work Suspension, if appropriate
- Final Acceptance Letter
- Completion Certificate
- Item History To Date Report
- Inspector records
- Source documents, Tickets, Spreadsheets, Cross Sections, etc.
- Material's Records
 - Material Testing/ Acceptance Records
 - Material Test Report
 - Manufacturer/ Product Certification

- Materials Certification
- Materials Diary
- Project Diary
- Report of Contractor's Performance
- Summary and Index
- Special Provisions & Proposal
- Environmental Document
- R/W Commitments
- Record of site visits (Weekly Site Visit Reports) and meetings with WisDOT representative
- Project Team's Evaluation of the Contractor (Timely Decision Making)
- Contractors Evaluation of Project Team (Timely Decision Making)
- Weekly Report of Working Days (Working Day Contracts)
- Concrete Pavement Coring Log
- Piling Record & Piling Driving Data
- Non-conforming Asphaltic Density Test
- Non-conforming Material Resolutions
- Structure clearances

Management Consultants Files

- Finals Folder
 - District Review
 - Statement of Contract Time
- Contract Proposal
- Work Orders - CARS
- Invoices - CARS
- ECIP
- Request to Sublet
- DBE Good Faith Waiver, if applicable
- Area Construction Supervisors Site Visit Report
- Fieldnet Intermediate Estimate Approvals
- Consultant Evaluations - CARS
- Completion Certificate
- Project Cost Detail (MC to obtain from LPPM)
- Project Tracking