



1.65.1 GENERAL

Contract documents include plans, special provisions, addenda, and standard specifications, among other documents. If there is a question about which document takes precedence over another, the governing order is provided in [standard spec 105.4](#).

1.65.1.1 Forms

Standard forms are provided for reporting progress on various phases of work and for reporting other activities pertaining to the administration of the contract. Contracts that have been executed in the Transport Construction Administration System (CAS) and FieldManager® for administering contracts will not use several of these forms.

The examples of completed forms have been prepared to cover typical situations. On occasion it may become necessary to modify a form report to meet unique circumstances. Any modifications should be made with discretion and only with the approval of the agency issuing the form. The forms are to be distributed either in accordance with instructions printed on each form or, if instructions are not printed on the form, in accordance with instructions provided in the pertinent procedures of this manual.

1.65.1.2 Requirements for Records and Reports

The engineer and department representatives under the engineer's jurisdiction are required to maintain accurate and complete records of the work during the administration of a construction contract.

It is of 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.

Department personnel should be capable of or should be taught to compute quantities of contract items. The engineer should closely monitor qualification of personnel. A systematic method of making computations by breaking a problem into logical and simple steps, while avoiding shortcuts, should be followed. Emphasis is to be placed on accuracy, precision, neatness, and completeness. The computations should be made on assumption they must withstand review or analysis in future years.

1.65.1.3 Records Retention Policies

Construction records are to be created, filed, and maintained as specified in approved WisDOT Records Retention/Disposition Authorizations (RDA). RDAs approved by the department and the Wisconsin Public Records Board constitute required policy for records retention and disposition. Copies of RDAs are available upon request from region records coordinators, or on the following DOTNet web site:

<http://dotnet/bmsrecords/rda&genscheds.html>

The engineer provides direction to contract specialists, field personnel, and all involved parties to organize and maintain project records consistently throughout the project. Personnel are encouraged to file records as they are created or received into separate file folders per current RDAs. Suggested folder labels include the following key identifiers, including RDA # and title. See examples below:

- RDA 186A – Paper "As Built" Highway Plans File
- RDA # 381: Construction Project Engineer's & Inspector Diary – Paper
- RDA 410: Region Construction Contract & Project File
- RDA 350A: Hazmat Assessment Remediation Project Case Files – WisDOT Hazmat Responsible Party
- RDA 350: Hazmat Assessment Remediation Project Case Files – WisDOT Not Responsible Party:

As needed, personnel may need to set up additional file folders for subcategories of records within each RDA. Include Project ID and RDA # on these folders as well. See RDA description for folder organization suggestions. For example, for the RDA 410: Region Construction Contract & Project File; create subfolders with the following headings:

- Contract Modifications
- Invoices & Payment Detail

- Erosion Control Implementation Plan (ECIP)
- Project Correspondence
- Construction Project Field & Finals Records
- Structures Project Records
- Materials Project Records
- Source Documents
- Pictures and Videos

See RDAs for complete descriptions of records contents and requirements for retention and disposition. Do not mix files and records with different RDA numbers. Do not mix files and records with different retention and/or dispositions.

Special circumstances that develop or become apparent after acceptance of the work may necessitate an extension of retention policies specified in the particular RDA. For example, a potential lawsuit arising from a project-related traffic accident would require extending the retention period for plans, diaries, and photographs that provide information about the traffic control status at the scene of the accident. Pending open records requests, audit proceedings, and/or pending RDA changes are other circumstances that require the department to place a hold on records disposition.

1.65.2 PROGRESS SCHEDULE

1.65.2.1 General

When required by the contract, the contractor must prepare form [DT1997](#) Progress Schedule and submit the completed form is submitted directly to the region office at least 14 days before the preconstruction conference. An example of the completed form is shown below in [Figure 1](#). The instructions for filling out the form (page 2 of DT1997) are shown below in [Figure 2](#).

See [standard spec 108.4](#) for information on relationship bar charts (RBC) and critical path method (CPM) progress schedules.

The region will review the schedule and approve if satisfactory. Schedules that lack detail, offer unrealistic rates of progress, show unsatisfactory coordination of interrelated operations, or other problems will be returned for revision and re-submittal.

If construction falls significantly behind schedule, the engineer should consider requesting a revised schedule from the contractor.

1.65.2.2 Acceptance of Progress Schedule

Answers to the following questions must be YES, before a progress schedule can be accepted.

- Was it submitted to the engineer 14 calendar days before the preconstruction meeting?
- Does it include activities that describe essential features of the work and activities that might potentially delay contract completion?
- Does it include activities that are controlling items of work?
- Does it identify the contemplated start and completion dates for each activity?
- Does it provide a duration ranging from one to 15 working days for each activity?
- Does it provide the sequencing of all activities?
- Does it provide the quantity and the estimated daily production rate for controlling items of work?
- Does it include a narrative that lists the work-days per week?
- Does it include number of shifts per day and hours per shift?
- Does it include department-specified holidays?
- Does it provide the estimated number of adverse weather days consistent with the monthly anticipated adverse weather days?
- Does it show completing the work within interim completion dates?
- Does it show completing the work within the specified contract time or completion date?

1.65.2.3 Progress Payments

Until the engineer accepts the progress schedule, the department will not make progress payments, with the exception of payments for the value of materials stockpiled on the job or specifically earmarked for the job, as specified in [standard spec 109.6.3.2](#).

PROGRESS SCHEDULE

DT1997 2/2006 (Replaces EC707)

Wisconsin Department of Transportation

Page _____ of _____

Project Id 8170-04-71		Name of Road Westfield - Norway		County Sawburn		Hwy. No. 70		Contractor Good Roads Construction	
Contract Time 60		or Completion Date of		Estimated Start Date 5/16/2002		Estimated Completion Date 8/1/2002		Prepared By P.D. Cue	
<input checked="" type="checkbox"/> Working Days <input type="checkbox"/> Calendar Days								Date 3/5/2002	

1. The contractor shall submit a copy of the progress schedule to the Region's Project Manager prior to beginning work and 14 days prior to the preconstruction conference. At any time the work falls behind schedule, the Contractor shall submit a revised schedule, if requested by the Engineer.
2. Bar graphs shall be drawn chronologically in the sequence the work will be performed to depict the progress schedule. On working day contracts, the controlling item must be identified.


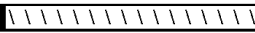




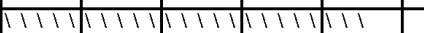
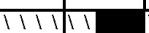
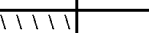
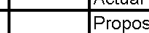

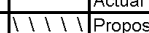
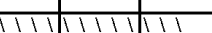



<input type="checkbox"/> Month <input checked="" type="checkbox"/> Week of _____ →		5/16	5/23	5/30	6/6	6/13	6/20	6/27	7/4	7/11	7/18	
Estimated No. of Working Days per <input type="checkbox"/> Month → <input checked="" type="checkbox"/> Week		5	5	5	5	5	5	5	2	5	5	
		BAR GRAPH LEGEND										
		 Controlling Item					 Non-Controlling Item					
Work Items or Operations	Quantity & Units	Est. Daily Production										Proposed Actual
Clearing	52 Sta.	5										Proposed Actual
Excavation	31,320 CY	1,200										Proposed Actual
Borrow	10,556 CY	1,000										Proposed Actual
Misc. Drainage Structure												Proposed Actual
Base Course	37,100 TON	2,500										Proposed Actual
Asphaltic Conc. Pavement	57,860 TON	3,000										Proposed Actual
Pavement Marking												Proposed Actual
Topsoil	64,500 SY	3,000										Proposed Actual
Landscape Items												Proposed Actual

Figure 1: Example Progress Schedule, form DT1997

Instructions

DT1997

1. General. A comprehensive progress schedule can be a valuable asset to the contractor as well as the engineer in identifying, at an early date, a rate of progress that will not result in completion within the contract time. In working day contracts, the progress schedule is also necessary to determine the controlling item for which to charge working days. Therefore, the contractor shall prepare the progress schedule so that it will accurately reflect the sequence of operations and realistic production rates for the various items of work.
2. Controlling Item. The controlling item is one that must be partially or wholly completed to permit progress essential for the completion of the work within the contract time. The contractor shall identify, by using the legend shown on the front of the form, which item is controlling at any time. The controlling item may be a bid item or a portion of bid items (such as at a particular location), or it may be an operation, such as painting or clean-up. An item may be controlling for a period, then be non-controlling for a time, then, again become controlling.
3. Estimated Working Days Per Month. This will vary depending on the type of work and the time of the year.
4. Estimated Daily Production. The value entered in this column should be the daily rate of production proposed by the contractor during each period that the item is controlling.

Figure 2: Instructions for Filling Out Form DT1997

1.65.3 PROJECT TRACKING SYSTEM

This system provides the means to summarize and report project specific, contract specific, and performance measure information. The appropriate regional information technology personnel may install this application. Many of the systems installed in the field computer feed this application with the progress and payment information. Instructions on how to use this computer system, training, and support are available through the region office to appropriate region office personnel. The BPD Roadway Standards and Methods section provides consultation services for the system.

1.65.4 MATERIALS TRACKING SYSTEM / MATERIALS INFORMATION TRACKING

Use the computerized Materials Tracking System (MTS) for construction materials testing reporting and documentation. Electronic reporting and documentation of project materials tests and records using the MTS is preferred. Instructions for using the MTS are available on the WisDOT MTS web site at:

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

Each region and the Bureau of Technical Services, Materials Management section, offer training and support services. Web and system program support is provided at:

<mailto:support@atwoodsystems.com>

1.65.5 FIELD INFORMATION TRACKING

Structures, field office, staff, acceptance dates, performance measures, and various field reports are required and entered into this computer application. Instructions for using the program are available and issued to the appropriate project personnel by the transportation region office. Each region also offers training and support services.

1.65.6 TRNS•PORT CONSTRUCTION ADMINISTRATION SYSTEM AND FIELDMANAGER®

Project personnel utilize these computer programs to prepare Item daily records (IDRs), construction pay estimates, project diaries, inspector's diaries, and progress reports. The region office issues instructions for using the computer programs and makes them available to the appropriate project personnel.

Training and support services are available in each region also. Consultation is available through the BPD -

Roadway Standards and Methods section.

All let contracts will be administered using the appropriate modules in the Trns*port application. Trns*port will also be used for all LFA agreements over \$25,000. For agreements under \$25,000, when only a single reimbursement is anticipated after the construction work is completed, paper methods may be used.

1.65.7 PANTRY SOFTWARE

Personnel may use various customized spreadsheets and documents known as “Pantry software” to perform various computations for quantities, mix design, and tracking of project items. Review all computations before payment.

Each region transportation office has instructions for using the program, training, and support services available for appropriate project personnel.

At the start of a contract, check records or key them into proper systems to provide statewide information to various management systems and several field reports required for the engineer.

1.65.8 FIELDMANAGER®

General	Site Times	Breakdowns	Site Events	R/O Distribution	Attachments
Projects: 1166-07-72, 1166-07-74, 1166-09-75					
Awarded Cont. Amt.: \$8,928,905.19			Current Cont. Amt.: \$8,929,905.19		
% Complete(awrd): 0%			% Complete(curr): 0%		
Location: USH 51 MARATHON					
Route: 51					
Prime Contractor: HOFFMAN CONSTRUCTION COMPANY					
Project Engineer:	John Stiller				
Resident Engineer:	Jan Johnson				
Managing Office Manager:	David Wendt				
Managing Office:	Wisconsin Rapids				
Managing Office Comments:					
Contract Level Settings					
Notice To Proceed Date:	03/22/2006		Create Electronic Files:	<input checked="" type="radio"/> Yes <input type="radio"/> No	
Construction Started Date:	03/22/2006		StandAlone Contract:	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Open To Traffic Date:	00/00/0000		Contract Closed:	<input type="radio"/> Yes <input checked="" type="radio"/> No	
All Contract Work Completed:	00/00/0000		View IDRs in FieldBook for	14 days	
			View IDR Attachments in FieldBook for	14 days	

Figure 3: FieldManager® Change Contract Documentation-General Screen

As shown in [Figure 3](#) the Change Contract Documentation-General screen in FieldManager® contains contract information. At the beginning of a contract fill in all fields in a timely manner to ensure correct and accurate information for data transfers to other construction and financial systems.

The contract file from Trns*port CAS will automatically fill in some fields that can only be modified in CAS. A refreshed contract file will then be needed. If the field has a white background it can be revised as needed.

The following sections provide guidance on the fields within FieldManager®.

1.65.8.1 A - General

1.65.8.1.1 Projects

The unique project ID in a contract. If a contract has multiple project IDs, all of the numbers will be shown. This field is filled in automatically.

1.65.8.1.2 Awarded Cont. Amt.

The original contract amount as bid. This field is filled in automatically.

[1.65.8.1.3 % Complete\(award\)](#)

The original contract amount divided by the amount of contract completed.

$\$ \text{ Completed} / \$ \text{ Original Amount} = \% \text{ Complete (Award)}$. This field is filled in automatically.

[1.65.8.1.4 Location](#)

The highway designation (CTH, STH, I, local), number, and county contract is performed. This field is filled in automatically.

[1.65.8.1.5 Route](#)

Regards the highway number or letter designation. This field is filled in automatically.

[1.65.8.1.6 Prime Contractor](#)

The prime contractor is the contractor who is awarded the contract and the only agent for the agreement with the state. This field is filled in automatically.

[1.65.8.1.7 Current Cont. Amt.](#)

The current contract amount that is the original, plus/minus any revisions.

[1.65.8.1.8 % Complete\(curr\)](#)

The revised contract amount divided by the amount of contract completed.

$\$ \text{ Completed} / \$ \text{ Revised Amount} = \% \text{ Complete (Current)}$. This field is filled in automatically.

[1.65.8.1.9 Project Engineer](#)

The name of the project leader for the contract. This field is required for all contracts. Check with region engineer or contract specialist for any region requirements needed for this field.

[1.65.8.1.10 Resident Engineer](#)

The name of the supervisor for this contract. Check with region project manager or contract specialist for any region requirements needed for this field.

[1.65.8.1.11 Managing Office Manager](#)

The name of the project manager for this contract. Check with region project manager or contract specialist for any region requirements needed for this field.

[1.65.8.1.12 Managing Office](#)

The transportation region that manages the contract.

[1.65.8.1.13 Managing Office Comments](#)

Any comments relating to the project that may be useful.

[1.65.8.1.14 Notice to Proceed Date](#)

The Notice to Proceed date is the same as the date given in the start notice described in [CMM 2.22](#). If this date is not filled in, a warning message will be given when Estimate #1 is generated in FieldManager[®]. If this estimate is sent by FieldNet[®] to process a voucher in Trns*port CAS it will not work. Contact the region contract specialist to fill in the Notice to Proceed Date in Trns*port CAS before sending Estimate #1 for processing. This field is automatically filled in and is contained in the contract file imported into FieldManager[®].

[1.65.8.1.15 Construction Started Date](#)

The date construction work actually started on the contract. This date does not begin any site time charges assessed to the contract.

[1.65.8.1.16 Closed to Traffic](#)

The date the road was closed to traffic.

[1.65.8.1.17 Open to Traffic](#)

The date a closed road was open to traffic.

[1.65.8.1.18 All Contract Work Completed](#)

The date that all work is completed in the field. See [CMM 2.50](#) for details of the acceptance process.

[1.65.8.1.19 Create Electronic Files Y/N – DEFAULT](#)

This should always be on YES (Y). The created files to be sent via FieldNet[®] to Trns*port CAS.

[1.65.8.1.20 StandAlone Contract Y/N – DEFAULT](#)

This should always be marked a NO (N). Once changed in FieldManager® it cannot be changed back.

[1.65.8.1.21 Contract Closed Y/N – DEFAULT](#)

This will always be marked NO (N) until a final estimate is processed.

[1.65.8.1.22 View IDRs in FieldBook for "x" days - DEFAULT](#)

This field is defaulted at 14 days. If FieldBook is used in conjunction with FieldManager® the time can be modified.

[1.65.8.1.23 View IDR Attachments in FieldBook for "x" days - DEFAULT](#)

This field is defaulted at 14 days. If FieldBook is used in conjunction with FieldManager® the time can be modified.

1.65.8.2 B - Site Times

Site times are applicable to all construction and maintenance work under the following conditions:

- Contracts let to bids.
- Work performed by counties or other agencies under negotiated agreements or service and supply contracts.
- Railroad or utility contracts or agreements
- Contracts involving site clearance, marking and signing, planting, or similar items.

The use of site times is not applicable to contracts or agreements covering purchase of materials, preliminary or construction engineering services, soundings or material investigations, appraisal, or other similar service contracts.

A contract may have several site times associated to it. The "00" site is associated to the whole contract regardless of multiple projects in a contract. Subsequent sites are related to special provisions in the progress and prosecution of a contract that may have interim time and damages associated to them. These site damages can only be assessed in full days.

The site time is the contract completion time for a contract. The three types of contract completion time are:

- Completion day contract.
- Working day contract.
- Calendar day contract.

The time charges start date and time charges stop date must be filled in for all three types of contracts.

[1.65.8.2.1 Time Charges Start Date and Time Charges Stop Date](#)

Daily time charges are controlled on the contract through the FieldManager® daily diary. For a completion date contract the time charges start date does not influence liquidated damages at the end of a contract. The actual contract completion date is used with the time charges stop date to assess liquidated damages. For a working day contract the time charges start and stop date are used to calculate contract site time charged.

For a calendar day contract you need to fill in a time charges start date 10 or less days before the notice to proceed date, or the site time charges will be assessed automatically 10 days after the notice to proceed date. The time charges stop date along with the number of calendar days charged is used to assess liquidated damages. Please note time charges after the first estimate to ensure that time is starting and stopping as intended.

The time charges start date will show the date of the start of contract time. It will be the date on which work under the contract of a controlling item was started; or the date ten days after the date of notification to proceed or of final execution of the contract; or the starting date, if given, in the contract special provisions; or the notice to proceed written notification, whichever is earliest.

Contract time charges are excluded for activities occurring before and after the major operations of the contract. The time charges start date can be influenced by activities that are indirectly related to actual construction processes. The activities performed before the start, resumption of, or after the suspension or completion of actual construction are not considered controlling items to be charged as contract time, so they should not be used as a start date for contract time. These activities include:

- Construction staking, initial layout before grading work begins.
- Move-in of equipment by the contractor.
- Clearing, grubbing, stripping, and subsequent final clean-up of aggregate pits or quarries and borrow

- or subbase pits.
- Delivery, installation, and removal of temporary traffic control devices.
- Exploratory digging of test holes.
- Construction, maintenance, and subsequent obliteration of access roads to pits or quarries.
- Setting up and dismantling of crushing, asphaltic, or concrete batching or mixing plants.
- Preliminary blasting or crushing for test samples.
- Watering sod, when performed after completion of all sod replacement, and all other construction work is completed. The 10-day watering requirement remains in effect, however.
- The production of aggregate stockpiles when no other work is in progress nor has been ordered to start.
- Repairs to equipment performed at the work site before the start of work, during official suspension, or after contract work is completed.
- Curing and protection of concrete after all other construction work is suspended or completed.

1.65.8.3 C - Breakdowns

WisDOT does not use breakdowns.

1.65.8.4 D - Site Events

Site events are used to document the suspension or resumption of a contract. Site events should reflect only those changes in actual job activity that are provided for under the provisions of the contract or are authorized by contract change order.

Suspension and resumption of work must be filled in when a change in the status is directly related to a charge of contract time. This is generally the case in connection with contracts let to bid, and only when suspension of work and contract time is permitted in the contract or authorized by a contract change order. If permitted, use the "Time Suspend" and "Time Resumed" events only on calendar day and completion date contracts that must be carried over the winter months with no work activity. Use of the "Time Suspend" event must be followed by a "Time Resumed" event.

1.65.8.5 E - R/O Distribution

Read-Only distribution is used to send read-only copies of the FieldManager contract(s) to other FieldManager users. There are two types of read-only copies that can be created and sent. The first type contains all information in the contract and is meant to be sent to a project manager or supervisor for review. The second type, intended to be sent to contractors contains a version of the contract that excludes many of the remarks/comment fields, and several reports.

1.65.8.6 F - Attachments

WisDOT does not use attachments.

1.65.9 TRAFFIC IMPEDIMENTS

Engineers are required to enter traffic impediment information if a closure or restriction, as defined below, occur on a highway project:

1. Closure
 - Detour of all or any part of a project.
2. Restriction
 - Lane restriction: If any lane is closed.
 - Width restriction: Any highway project where the lane or shoulder width is less than what is listed in the STN log.
 - Height restriction: Any highway project where the available height along the roadway is decreased from its current clearance.
 - Weight restriction: Any highway project where the maximum weight is less than what is currently posted for the project.

1.65.9.1 Reporting Impediments

All closures and restrictions are required to appear on the statewide construction map that can be found at the following link:

<http://www.dot.wisconsin.gov/travel/road/workzones.htm>

The closures will appear in the Wisconsin Lane Closure System (LCS) used by region staff, the DMV Oversize Permits unit, State Patrol, and others throughout the DOT. In order for the closure or restriction to appear on the statewide construction map and be available for the DMV oversized/overweight permitting system in time, LCS data should be entered at least two weeks in advance by 10 am on Mondays. If you are unable to meet the two-week requirement, you must contact the DMV oversized/overweight permitting section before creating your traffic impediment record.

Access to LCS is available at:

<http://transportal.cee.wisc.edu/closures/>

The user manual for LCS is also available at the above site.

1.65.10 ITEM DAILY RECORD

Prepare the Item Daily Record using the Field Manager[®] software for contracts processed in Trns•port system. Instructions in use of the system are in the user manual available in each region Office.

Begin the item logging as soon as work is started. For most items, make entries daily. For certain items it may be more efficient to make entries on a weekly basis or just before preparing a construction estimate. Use inspector's diaries, plant books, survey books, and other records used as source documents to obtain the quantities. For items such as excavation, base and surface course that normally require many days for completion, you will require several sheets for recording.

Reference IDR entries to the source documents by a brief note in the Remarks field as these examples illustrate:

- If the source document consists of measurements and computations on 8-1/2" X 11" sheets, the note in the Remarks field could be "See source document sheets _____ through _____."
- If weigh tickets are the source, the remark could simply be "See weigh tickets."
- If the IDR quantity entries are from a field book, the remark might be "See page ____ of Asphaltic Plant Book."
- For items such as Finishing Roadway, which are entered in the IDR without being transferred from another source, specify "Direct Entry."

It will be impractical to measure certain items accurately as the work progresses therefore, enter quantities based on estimates. Excavation items generally fit this category. Base he estimates on inspectors' load counts, representative cross-sections, or visual checks of completed sections. A weekly estimate of item quantities as determined by these methods will be sufficient. Record the method used for estimating in the "Remarks" column.

If plan quantity is used for payment of a particular item, insert a copy of the Supplemental Contract Agreement, Form DT1380 in the IDR as a supporting document. Insert documentation of spot checks or observations used to verify that the work performed is in substantial agreement with plan quantity when convenient to do so. Find a supplemental contract agreement form in the Field Information Tracking System (FIT).

After completing final quantity calculations and preparing the final estimate, make the IDR part of the contract records by printing the inquiry report "Item History to Date."

1.65.11 FINAL PROJECT DOCUMENTATION

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. For contracts administered in FieldManager field personnel may turn in materials in electronic format, as specified in the RDAs covering those records "Finals" documentation requirements need to be based on current RDA descriptions and retention/disposition requirements. Finals records provide consistent contract documentation in all WisDOT regions with records retention authorization (RDA #) and title noted.

- RDA 186A: *Paper "As Built" Highway Plans File* – see procedures in section 1.65.13 AS-BUILT PLANS
- RDA 381: *Construction Project Engineer's & Inspector Diary – Paper*
- RDA 381A: *Construction Project Diary & Inspector's Daily Report - Electronic Data*
- RDA 410: *Region Construction Contract & Project File*. See detailed list of typical Construction Project Field & Finals Records; Structures Project Records; Materials Project Records; Source Documents; Pictures and Videos; and Other Field Project Records such as Releases, close out records, construction permits, temporary limited easements (TLE), etc.
- RDA 148: *FieldManager™ Construction Contract Detail – Electronic Data*

- RDA 129: *Construction Contract Project Data – FIT Data*

Field personnel may submit certain required records in electronic format, including those forms listed below:

DT1315	Piling Record
DT1924	Pile Driving Data
DT1926	PCC Plant Automatic Controls Check
DT1347	Weekly Force Account Cost Record
DT1380	Supplemental Contract Agreement
DT1925	Sublet Request
DT1579	Contract Change Order
DT1997	Progress Schedule
DT1583	Report of Contractor's Performance
DT2220	Determination of PCC Field Batch Weights
DT1310	Certificate - Materials Used on Highway Project
DT1582	Completion Certificate

1.65.12 PRESERVATION OF RECORDS

The State Public Records Board has approved policies for retaining records and reports relating to construction contract administration in RDAs noted in section 1.65.1.3 Records Retention Policies above. RDAs specify required retention and disposition of records. They also provide direction for maintaining records in alternative formats, including microfilm, scanned images, and electronic databases. When/if records are maintained in electronic format, the department must also comply with the provisions of Chapter ADM 12: Wisconsin's Electronic Records Administrative Rule in order to ensure continued access to the record for the duration of the retention period.

The retention policies specified in RDAs approved by the Wisconsin Public Records Board meet standards defined in the Federal Highway Administration's Highway Program Manual for the retention of records relating to federal aid contracts. See RDA #410: Region Construction Contract & Project File.

The retention periods provided in RDAs are minimums. Special circumstances that develop or become apparent after acceptance of the work may necessitate an extension. Place a hold on records disposition and do not destroy any records if/when any of the following occurs:

- Open records request for the records under s. 19.35(5), Wis. Stats. (Open Records Law),
- Audit involving these records has commenced,
- Litigation involving the records. For example, a potential lawsuit arising from a project-related traffic accident would require extending the retention period for plans, diaries, and photographs which provide information about the traffic control status at the scene of the accident.
- RDA amendments under development.

DOT Records personnel, auditors and/or General Counsel will provide notice when the records disposition restriction is lifted.

1.65.13 AS-LET PLANS

For all improvement program projects, a copy of the as-let plan is available for WisDOT staff only at \\dotdtime\N4Public\Bhc\Let or <http://dotnet/dtdviewhelp/launch-dtdview.htm>. Local force account projects (negotiated agreements, service and supply, and cost reimbursement projects) will not have an as-let plan available. If a plan set is not available please contact the Bureau of Project Development at (608) 266-1020.

Note that a project plan set might come one of two ways: (1) Several projects may be bid as one contract, and there may be only one title sheet for a plan set or (2) there may be several title sheets per contract.

1. If the contract only has one title sheet for multiple projects, scan the project with the lowest project ID as a whole set. For the project ID with a higher number, scan only the title sheet as an as-let, find the lowest project ID, and look at the lowest project to view the actual plan.
2. If the contract has multiple plan sets associated to it, separate the plan set into each individual project and scan with the appropriate title sheet.

1.65.14 AS-BUILT PLANS

1.65.14.1 Engineer Responsibilities

Upon completion of the project, the engineer will prepare an as-built plan. Note all changes from the as-let plan that were built into the project in red permanent ink on a clean single-sided as-let 11 X 17 inch plan. Use red ink and not pencil for best results for scanning.

For all projects, prepare a complete as-built plan noting where changes are made during construction to the as-let plan. Work on the as-built as the job is progressing, so changes can be entered while still fresh in mind.

Line out or cross out all changed original information so it is still readable. Write the corrected information above the original or close to it where possible. Urban plans or those with much detail may require some alternative approach in order to be legible, such as numbered changes shown on the plan sheets with corrective information and wording shown on supplemental non-plan sheets.

Print or letter changes. Do not write longhand. Print or letter larger than the original and draw a squiggly-line box around the correction where possible. Use blank spaces on the plan so notes are not superimposed.

Insert replacement sheets in the plan. To do this, renumber them similarly to the original plan sheets. For example, sheet 5A would replace sheet 5. Retain all original sheets that are replaced and cross them out; write down the sheet number of its replacement sheet on the crossed-out sheet. Note the sheet changes on the listing of plan sheets. Take the plan apart; insert each replacement sheet directly after the old sheet it replaces. Do not staple replacement sheets directly to old sheet.

The cover page of the as-built plan should include all of the following (see [Figure 4: Example As-Built Plan Sheet](#)):

- The words "AS-BUILT PLAN" in upper case on the title sheet, centered in the top margin and at least 0.5 inches high.
- Prime contractor
- Subcontractors
- Project manager, project leader, and other project personnel
- Date work started
- Date work completed
- Contract amount

Do not include any of the following:

- Miscellaneous Quantities and Estimate of Quantities sheets.
- Every last grade or grade change. Just show new LC, PC, PI and PT.
- Changes to the right of way sheets.

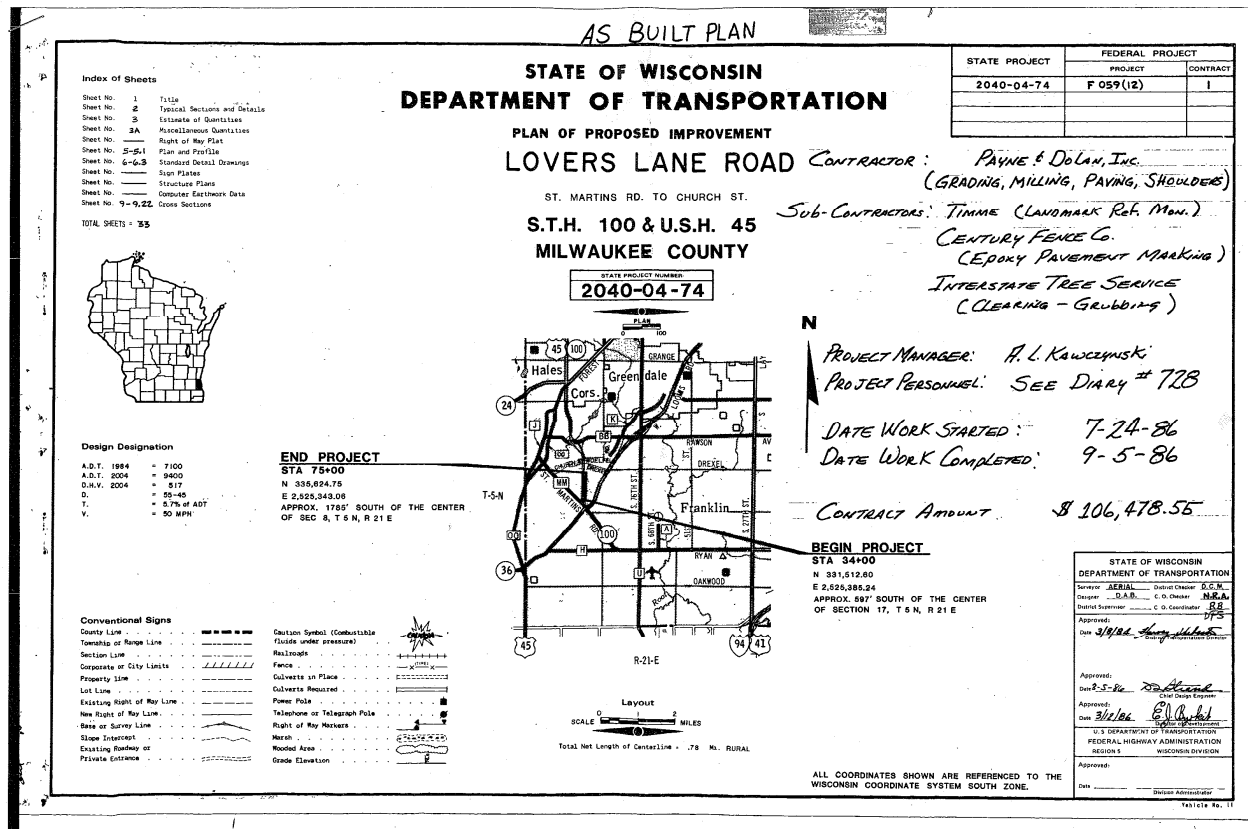


Figure 4: Example As-Built Plan Sheet

1.65.14.1.1 Highway Plans

For highway plans include the following notes on the title, plan sheets, and cross section sheets as applicable. Use this listing as a base and revise it to fit the individual project needs.

- Grade changes, changes in elevations for footings, culverts, manholes etc. Just show new LC, PC, PI and PT.
- Relocated private and field entrances.
- Changes in size and location of culvert pipes.
- Undercut areas.
- Location of drain tiles found under drain tile exploration.
- Omissions, errors and discrepancies discovered during construction.
- Features added, revised, or deleted by contract change orders.
- Corrected or new bench marks. Cross out those that no longer exist.
- Locations of borrow pits common to the mainline.
- Changes to drainage.
- Project reference ties and land ties placed during construction.
- Relocated or added utilities spanning the highway, and those located underground.
- Material type, size, and manufacturer where optional materials are allowed by specifications.
- Final dimensions, elevations, details, sizes, numbers, lengths, locations, etc., if different from the original plan.

1.65.14.1.2 Structure Plans

For structure plans include these notes on the title and detail plan sheets as applicable. Consider this listing as a base and revise it to meet individual project needs.

- Correct or new bench mark disk locations and elevations.
- Added or relocated utilities. Locate on the plan sheet and on the detail sheet if hanging from the superstructure.
- Changes in piling type or length. Note the range in length (shortest to longest) on the plan view of

- each substructure unit.
- Added or relocated piles, location, type, and length.
- Expansion joint type when options are allowed. Indicate the size and manufacturer. Cross out reference to joint types not used.
- Revisions, additions and deletions per contract change order.
- Final dimensions, elevations, details, sizes, lengths, numbers and locations if changed from plans.
- Controlling vertical clearances to the highway.
- Plain and protective surface treatment color, type, and manufacturer.
- Size of riprap or other countermeasures to counter scour.
- Underwater problems encountered that may reoccur.
- Top of water elevation together with date taken.
- Vulnerability to scour code obtained from bridge designer.
- Profiles and cross sections of streambed upstream and downstream.
- Angle of water attack relative to pier or abutment line.

1.65.14.2 Region Responsibilities

The region may retain the original hardcopy as-built for its files. Region personnel manage and maintain as-built files. Regions are responsible for ensuring that all as-builts are available.

Scan the highway plan and/or structure plan using Lanier Copier/Scanner.

- For plans with page changes, scan only the changed pages of the highway plan and/or structure plan. Choose the "Page Changes" queue when scanning.
- For plans that do not have an electronic as-let on file, scan the entire highway plan and/or structure plan using Lanier Copier/Scanner. Choose the "Complete Asbuilt" queue when scanning.
- For local force account projects scan the entire as-built highway plan and/or structure plan.
- For plans with no changes scan a title sheet only which is stamped "AS-BUILT PLAN/NO PLAN CHANGES."
- Scans will automatically transfer each evening to a storage location in C.O. and an automated e-mail sent to Purchasing, Fleet, and Distribution Section staff to notify them of work that is ready for processing.

Do not submit contracts having more than one project until all projects have been completed.

When as-built plans that have been processed by Purchasing, Fleet, and Distribution Sections are transferred back to the region server, region staff will receive an automated email. Staff will check and transfer the plans to Image shares, per DTDView requirements. When a plan is stored in the region as-built storage location, the as-let will automatically be moved in the \\dotdtimn\N4Public\Bhc\Let location, to the "HasAsbuilt" folder.

1.65.14.3 Bureau Of Project Development Responsibilities

The Bureau of Project Development (BPD) is the custodian of the data. Division of Business Management, Bureau of Business Services, Purchasing, Fleet, and the Distribution Section complete processing of plans.

1.65.14.4 Purchasing, Fleet and Distribution Section Responsibility

Provide automated e-mails, notifying personnel that as-built sheets or plans have been transferred to the working location.

- Make one set of as-built structure plans available electronically to the Bureau of Structures for inclusion in the department's official on-line bridge plan system on the extranet. A user Id and password is needed to get to the following extranet site:
https://trust.dot.state.wi.us/extntgtwy/dtid_bos/extranet/structures/index.htm