Construction & Materials Tips

Texas Department of Transportation

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Source Document/Contract Records and SiteManager (SM)

Complete documentation of all contract activities is an extremely important part of any construction project. These records provide a permanent record of tests, inspections and work performed. They also provide proof of and support for the decisions and actions taken. Ultimately these records show that the contractual obligations of the contractor have been fulfilled and the public's funds have been properly spent.

Suggestions to Establish and Maintain Good Recordkeeping Practices

The recordkeeping process can be complicated and when done properly is time consuming. The importance of this work should be remembered. To help make this job easier here are some suggestions to establish and maintain good recordkeeping practices:

♦ Keep records up-to-date, accurate, neat, and complete. This will save time throughout the process. To achieve this:
  • enter records on the day of the event
  • enter information in a manner so another person could easily complete the entry, when needed, without additional instructions.

NOTE: The person that enters the record should be thoroughly knowledgeable about the contract and the information being entered. Remember, records provide documentation of tests, inspections, and work performed and support decisions and actions to show that tax dollars were spent wisely.

♦ All individuals involved in the recordkeeping process should have thorough knowledge of the department's record retention policies and procedures. These individuals should be able to identify the information that should be recorded and the timeframe for recording the information., Record keeping can become a daily routine.

Recordkeeping Policies and Procedures Resources

The Construction Division maintains several online manuals that document the department's recordkeeping policies and procedures. The manuals can be accessed at the <u>Construction Division collection of online manuals</u> and include:
♦ *Construction Contract Administration Manual*
♦ *Estimates Manual*

♦ *SiteManager Contract Administration User Manual* and
♦ *SiteManager Materials Management Manual.*

The *Construction Contract Administration Manual* serves as the department's contract administration policy manual. This manual provides information to ensure all work is administered in accordance with the specifications, terms and conditions of the contract, and with state and federal laws, regulations, and department policies.

The *Estimates Manual* serves as the department estimate policy manual and provides record keeping procedures to document contract pay quantities.

This manual also includes procedure for the Contract Information System (CIS) and Construction and Maintenance Contract System (CMCS) for maintenance and/or construction projects. The Construction Division is currently in the process of incorporating SiteManager references to the *Estimates Manual*.

The *SiteManager Contract Administration User Manual* and *SiteManager Materials Management Manual* document SiteManager procedures. Materials policy is found in the Materials and Tests Collection.

The project diary serves as the time charge record in SiteManager. Project diary entries must be made each day regardless of work performed. The following list provides examples of diary entries:
♦ Date
♦ Record verbal instructions and minor conditions.
♦ Weather conditions
♦ Work in progress, including temporary erosion control methods employed.
♦ Location of work
♦ Contractors and subcontractor's work force
♦ Arrival and departure of equipment
♦ Quantity of equipment and its usage at the project
♦ Important instructions to the contractor
♦ Names of official visitors and a summary of any discussions with the visitors
♦ Unusual construction or work conditions
♦ Decision making discussions with the contractor
♦ Disagreements with the contractor
♦ Detailed information that may have a connection with a probable dispute or claim against the department
♦ Project completion and final inspection
♦ Other important features of the project, such as discussions concerning Disadvantaged Business Enterprise (DBE) and Equal Opportunity (EEO)
♦ Record time suspension and reason
♦ Record resumption of work

♦ Record all materials brought onto the project even if they are material-on-hand and the date that the material arrived
♦ Record the date that Storm Water Inspections were performed and any violation by the contractor of Project Specific Locations (PSLs) in the ROW or within one mile of the project
♦ Record traffic control being used
♦ Time inspector is on the project
♦ Credit Days – Enter reason for credit day in SiteManager Daily Work Report (DWR) and Diary. (Exception for Saturday & Sunday – unless the contractor is working.)

NOTE: The SiteManager DWR contains 10 different categories on the first tab under 'Remarks' to record information. These categories are:

- Accident
- Contractor Work Hours
- Dispute/Claim
- EEO Issues
- GENERAL
- General
- Other
- Safety Violations
- Traffic and
- Visitors.

Records Management Resources from GSD

Keeping good records does not mean keeping all records indefinitely. The Records Management Section of the General Services Division (GSD) provides guidance on general records management issues on their website. Information on the Records Retention Schedule is also available. Specific information on District Construction Records can be accessed online. The link to Division/Office Schedules of Unique Records include records maintained by the Construction Division and other Divisions. To establish record retention practices that conform to the standards described in these online resources, review of these sites is recommended.

Electronic Data Management Systems (EDMS)

Electronic Data Management Systems (EDMS) will provide the department with a means of maintaining project records that are not stored in SiteManager electronically. Several districts and divisions now have EDMS to allow storage of electronic records and allow scanning and storing hard-copy records. Ideally, most, if not all, documentation will be electronically stored from cradle to grave in the future.

Contact Information

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