

# CONSTRUCTION PROCEDURES HANDBOOK

SECTION VII	SUBSECTION L	DATE
CONSTRUCTION COMPLETION	RETENTION AND STORAGE OF CONSTRUCTION RECORDS	12/18/2018

## **RE**

The RE is responsible for providing all paper and electronic field office Contract documentation to the Regional Construction Records Liaison Officer (RCRLO).

### **Paper Documents**

The RE will box all the field office paper documentation, as outlined in the File System Index [Form DC-141](#), for the Contract no later than receipt of the Final Certificate. File number 1 is to be the file system index. The file system index is to be modified at the end of the project to correspond to the files that exist for the project. Use the pull down menu to indicate whether or not a file is included in the box. At least one inch of space should be left in each box to allow more files to be added. Records should not be placed on top of other records in the box. Records should face the long side of the box. Letter-size records may face the short side of the box to make use of available space in the box. Do not include documentation for more than one Contract in each box. Inside the box, on top of the contents, include the [Form DC-141](#) noting the contents of the box on the [Form DC-141](#) (i.e. what record files can be found in the box). Boxes will be numbered according to how the documentation material appeared in the project's file cabinet, ie. #1 of 7 (boxes). Boxes can be obtained through the Regional office.

### **Hard Drives**

The RE will contact the Regional Site Manager coordinator to remove the hard drives from the office (Construction and Materials) computers and laptops. The Regional Site Manager coordinator will give the hard drives to the RE for storage indicating this transfer on the chain of custody [Form DC-40](#). This is required for Contracts that contain the following language in 155.03.01 of the Contract's Special Provisions: When the computer system is no longer required by the RE, the Department will remove and retain (or destroy) the hard drive, and return the computer system to the Contractor, and 156.03.01 of the Special Provisions: When the computer system is no longer required by the Materials Engineer (ME), the Department will remove and retain (or destroy) the hard drive, and return the computer system to the Contractor. The Department will retain other data storage media for storage.

### **Cell Phones, Tablets and other Electronic Media (EM)**

The RE will remove all batteries from any device that has a battery. The RE will copy all pictures and video documentation of the Contract that is not included on the hard drive, onto EM such as CDs or jump drives and include with hard drives and other EM in the EM file box. Do not put batteries in storage boxes.

The RE will box all the hard drives cell phones, tablets, and EM for the Contract no later than receipt of the Final Certificate. Place hard drives and identification documentation of all projects contained on each hard drive in antistatic bags before boxing them. Wrap

the [Form DC-40](#) around the bag with elastic bands. Boxes can be obtained through the Regional office. Place cell phones, tablets and EM in antistatic bags before boxing them. Place hard drives cell phones, tablets, and EM in their own boxes. Add some manner of protection (crumpled paper, foam, bubble wrap, etc.) to protect the hard drives cell phones, tablets, and EM. Inside the box, on top of the contents, include an inventory list noting the content of the box. If a hard drive contains data for multiple projects, store the hard drive in the box of the project that reaches Completion last. If the hard drive will be stored in a box for another project, include documentation describing what project's box the hard drive will be stored in. File this record in file system index #166 Boxes containing hard drives cell phones, tablets, and EM will be numbered as the last box ie. Box #7 of 7.

The RE will complete a Record Storage Index [Form IG-103A](#). The original [Form IG-103A](#) is to be fastened (taped, stapled, glued, etc.) on each box. The RE will provide the [Form DC-141](#) of all the records in each box on top of the records in the box noting the contents of the box on the [Form DC-141](#).

If the records are transferred to a different RE or to a FM, the [Form DC-40](#) must be updated to reflect who has possession of the records, and the date when the change in custody was made. Under no circumstances are the original records to be turned over to the DAG's office. If the DAG's office requires the records, they must make copies.

### **Copiers**

Erase the copier hard drive before removing the copier from the field office and provide the RE with a certification stating that the copier hard drive has been erased.

(Check you Contract's Special Provisions 155.03.01.6.1 and 156.03.01.6.1 to determine applicability)

Ensure the copier does not have a hard drive or receive the erasure certificate from the Contractor.

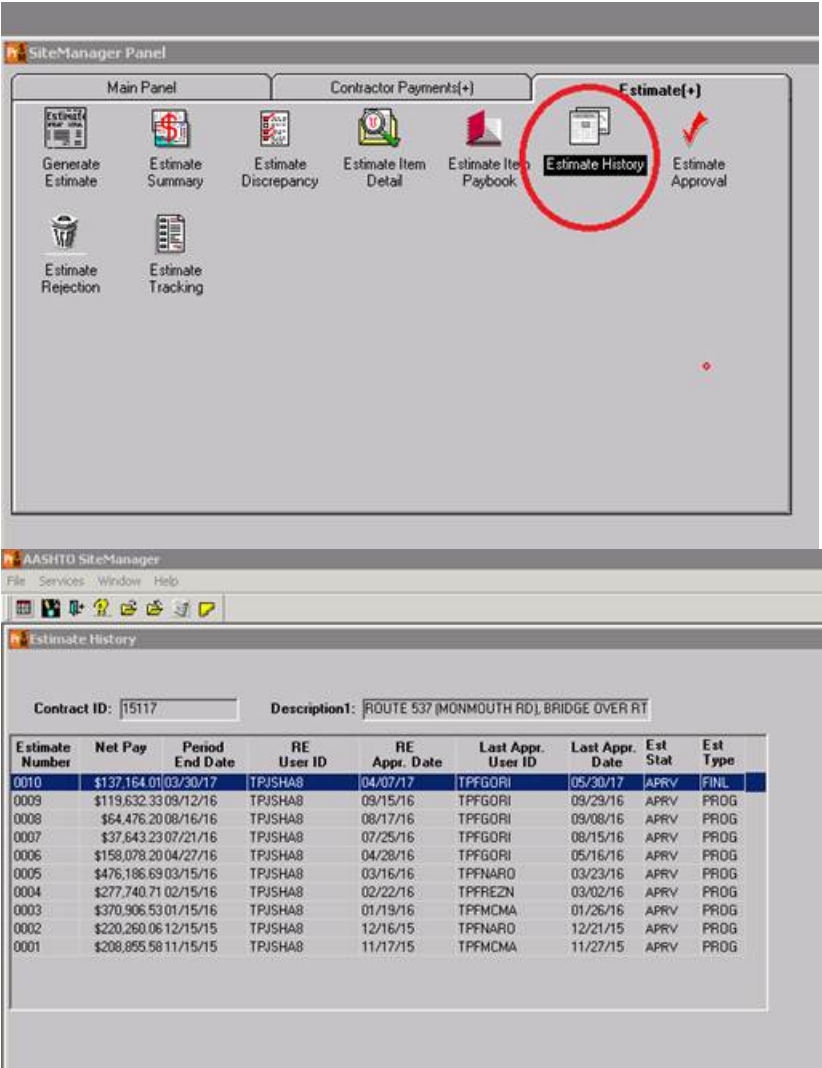
If the RE changes at any time during the project, a [Form DC-40](#) must be completed to transfer the project records from one RE to the next.

The RE will contact the RCRLO to arrange transfer of the boxes to the Regional office. The RE will complete and provide the [Form DC-40](#) to the RCRLO with the transfer of the records.

### **Archiving Project in Site Manager**

The Regional Closeout Engineer will send an e-mail request to Support, AASHTOWare <[aashtoware.support@dot.nj.gov](mailto:aashtoware.support@dot.nj.gov)>, to archive the project after the Region confirms the receipt of the Final Closeout package with the Bureau of Program Coordination (As per CPH Section VII Subsection B "[Sample B](#)" - Stage 5 Step 2)

The Regional Closeout Engineer can track Final Certificate approval in Estimate History located in Site Manager as shown in the following screen shots:



Prior to sending the e-mail to Support, AASHTOWare, the Regional Closeout Engineer must verify Critical Dates and Key Dates mentioned in the Request to initiate [Form DC-20](#) memorandum (See C93 within [Form DC-155](#)) in Site Manager as shown in below screen shots:

**For Critical Dates**

AASHTO SiteManager

File Edit Services Window Help

Contracts

Description Location Payment Data **Critical Dates** Primary Personnel Prime Contractor DBE Commit Training Plan

Contract ID: \_\_\_\_\_

Critical Date Description	Actual Date	Required to Activate	Required to Finalize
Accepted Date	00/00/00	N	Y
Adjusted Completion Date	00/00/00	N	N
Contract Archived Date	00/00/00	N	N
Award Date	00/00/00	Y	N
Contractor Bankruptcy Date	00/00/00	N	N
Checked Out to Field Date	00/00/00	N	N
Contractor Default Date	00/00/00	N	N
Execution Date	00/00/00	Y	N
Contractor Final Certificate Date	00/00/00	N	Y
Letting Date	00/00/00	Y	N
Official Contract Start Date	00/00/00	N	N

**For Key Dates**

SiteManager Panel

Main Panel Contract Administration(+) Contract Records(+)

Contracts Milestones Projects Categories Items Contract Creation Contract Archiving

Schedule Checklist Scheduled Events Checklist Event Dates Permits Correspondence

Key Dates Design Evaluation Disputes/Claims DSS Contracts

Key Date Type	Projected Date	Actual Date	Required to Activate	Required to Finalize
As-Built Qtys Agreed to by Contractor	10/12/16	10/12/16	N	Y
As-Built Qtys Sent to Contractor	05/25/16	05/25/16	N	Y
As-Built Qtys Reviewed by BCM	06/08/16	06/08/16	N	Y
Acceptance Inspection	07/08/16	07/08/16	N	Y
All Required Material Certs and Drawings	08/11/16	08/11/16	N	Y
All Required Payrolls and EEO Statements	08/11/16	08/11/16	N	Y
All ROW Issues Resolved	08/21/14	08/21/14	N	Y
All Required Releases Received	00/00/00	00/00/00	N	Y

Key Date Type: As-Built Qtys Agreed to by Contractor

Projected Date: 10/12/16

Actual Date: 10/12/16

Required to Activate

Required to Finalize

Distribution List: SUBSTANTIAL COMPL

Recipient: \_\_\_\_\_

Message Text: As-Built quantities have been agreed to by the Contractor.

**Regional Construction Records Liaison Officer (RCRLO)**

The RCRLO is designated by the RCE. The RCRLO is defined as the RLO as defined in NJDOT Policy/Procedure No. 226

<http://njdotintranet.dot.state.nj.us/policy/policies/pdf/226.pdf>.

The RCRLO is responsible for ensuring the regional public records are maintained in accordance with Policy No. 226, and for ensuring compliance with NJSA Title 47, and NJAC 15:3-1.5(a)3. Detailed information can be found at:

[http://www.nj.gov/state/dos\\_statutes-archives.shtml](http://www.nj.gov/state/dos_statutes-archives.shtml)

The RCRLO will coordinate with the RE to receive the Contract records. The RCRLO is responsible for submitting records to storage as outlined in NJDOT Policy/Procedure No. 226 <http://njdotintranet.dot.state.nj.us/policy/policies/pdf/226.pdf>. The RCRLO is also responsible for the following:

1. Combining field office and Regional records.
2. Ensuring the index for each box is accurate.
3. Labeling the combined records with an [Form IG-103A](#). The [Form IG103A](#) is titled as follows: "Construction Project Field and Regional Records combined, *Official Contract Name*", and (for each Contract) the box number (# 1 of 7 boxes, etc.), if there is more than one box of records.
4. Completing a [Form IG-12](#) and submitting it to the Records Management Unit for approval.
5. Upon approval of the [Form IG-12](#) the Records Management Unit will advise when the records will be picked up for storage. A memorandum of record will be prepared by the RCE noting the transmittal to the Records Management Unit. Records are not to be transferred in the event that a litigation hold has been issued. The records can be transferred when the litigation hold is removed.
6. Maintaining a master list of all computer hard drives sent to storage. The list will include the DP Number, Project Name and box number the hard drive is stored in. NOTE: A project specific hard drive may be stored in the records of a different project.
7. Maintain a log (chain of custody) showing the date the written and electronic Contract documentation was received and when the documentation was sent to the Records Management Unit.

Under no circumstances are the original records to be turned over to the DAG's office. If the DAG's office requires the records, they must make a copies.

**Regional Site Manager Coordinator**

The Regional Site Manager Coordinator will coordinate with the RE the removal of the Construction field office and Materials field office computer hard drives as indicated above. The Regional Site Manager is to remove the hard drives and give them to the RE for storage. See the Contracts Special Provisions Subparts 155.03.01 and 156.03.01 to determine if the above paragraph applies to the Contract.

**Retrieval of Stored Records**

The retrieval of stored records is covered by the NJDOT Policy/Procedure No. 226 available at the following link:

<http://njdotintranet.dot.state.nj.us/policy/policies/pdf/226.pdf>