

MANAGING THE PROJECT RECORD

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PROJECT RECORD FILING SYSTEM

The following filing system was developed for use during facility construction projects. The files then become the historical and Office of Public School Construction (OPSC) audit records for the project. Each section can be kept in a binder with tabs for the various bullets. Some sections will require more than one binder for a large project. The entire system can be easily adapted to files.

Each binder should be labeled with the project site, project title, project year and the project number. When it is a state School Facility Program project, you may want to use the state number.

AGENCY SUBMITTALS

- OPSC
 - SAB 50-01
 - SAB 50-02
 - SAB 50-03
 - SAB 50-04

(Additional forms may be applicable to a specific project; see www.opsc.dgs.ca.gov/SAB+Forms/default.htm for more information.)

- CDE
 - SFPD 4.0
 - SFPD 4.1
 - SFPD 4.2
 - SFPD 4.3
 - Substantial Enrollment Certification (or waiver)

(Additional forms may be applicable to a specific project; see www.cde.ca.gov/facilities/field/forms.htm for more information.)

- DSA
 - SSS 102
 - SSS 5
 - SSS 6 (Inspectors and Contractors)
 - SSS 6AE (Architects)

This binder should contain every submittal and every document received from a public agency for the project. Identify them by tabs, indicating the form number, so that each document can be easily located. Include copies of everything you send with a form, such as Board Agenda items. Also include each response letter that constitutes an approval. (Each form submitted/approval received should be cross-filed in the Form Files for the district.) Some forms may be included in more than one project record.

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SITE ACQUISITION

- Appraisals
- Testing & Surveys
- CEQA Documents
- Site Approvals
- Eminent Domain
- Escrow
- Acquisition Correspondence (Legal)

The testing and survey documents contained in this section are those performed during the due diligence phase of the project, they should not be confused with tests and surveys necessary for planning or those required during construction. Each type should be filed with the appropriate phase of the project.

PLANNING (Architecture & Engineering)

- Needs Assessment
- Building Data
- Educational Programming
- Utility Location Analysis
- Design Committee Meeting Minutes
- Cost Estimates
- Architect Correspondence

Various architectural drawings will be a part of this phase and should be labeled with the same information as the binder.

PRE-QUALIFICATION OF BIDDERS

- Advertisements
- Tally of Submittals (Qualified potential bidders)
- Successful bidder's pre-qualification packet

Pre-qualification of bidders is not required and will not be appropriate to all projects. If you do choose to pre-qualify bidders, you will need to store additional records. During pre-qualification a folder for each submitting company is created. Conversations and correspondence can be logged on the inside cover of the folder. This can provide helpful notation for legal reference. All correspondence, reference calling logs, and notes to file go together in that company's file. Only the successful bidder's packet goes forward to the project records. Be sure that all confidential information is appropriately marked when you place it in the project record.

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BIDDING

- Bid Advertisements
- Specification Document
- Addenda to Specifications
- Bid Tally Sheet
- Bid Documents from top 3 bids

The Specifications may be too large to add to this binder and may be a separate document. I find it helpful to request one copy of the spec delivered to me unbound and 3-hole drilled for this binder. This binder copy allows you to make photocopies of pages, which is difficult with the bound editions. This section would also include DVBE compliance documentation when appropriate.

CONSTRUCTION

- Notice to Proceed
- Project Schedules
- Construction Meeting Minutes
- Requests for Information (RFI's)
- Bulletins (also known as Construction Change Directives, or Architect's Supplemental Instructions (ASI).)
- Construction Correspondence

This binder can be taken to the job meetings so that you have reference information from previous meetings with you. Architect and contractor terms for RFI's, bulletins, change order directives, etc. may vary.

This binder often becomes a series of binders. When you need to split the binder up, do so by whole sections. For example move all of the schedules and Minutes to a separate binder. You may want to keep the most recent of each section in your meeting binder.

During construction you will receive 20-day notices from sub-contractors. You need to keep them, but don't spend any time on them. Just place them in files by project. On the rare occasion that you need one, your legal counsel will ask you to look for it.

INSPECTION

- Inspector's Log
- Inspection Notices
- Testing Reports
- Punch Lists
- Photographic Documentation

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The quality of the inspector's log is very important for the district. I require a copy of the month's log to be submitted with the inspector's payment application. This provides the district with an up-to-date record of the project and gives you the opportunity to review the quality of the log.

The photographs may need to be kept in separate photo books. They should be dated and annotated by the inspector. Video logs may also be kept. This photo record can be significant in later resolving the status of the project at specific dates. It can also establish values in case of a disaster qualifying for FEMA reimbursement. Digital photos may not prove as useful for court documentation as traditional photos because they are so easily altered.

LEGAL (CONFIDENTIAL)

- Legal Correspondence

If the only legal correspondence you have is the review of the contracts and bid documents, then skip this one and include the correspondence as a section in another binder. (I am an optimist and don't usually create a Legal Binder until I see that one is needed.)

CONTRACTS

- Copy of every contract for this project
 - Architect
 - Surveys
 - Testing
 - Inspection
 - Contractor
- Modifications to Contracts
- Change Orders
- Stop Notices and Lien Releases
- Notice of Completion
- All Board Actions for the project

This binder will be required for project close-out by OPSC. Any information required for the OPSC record should be included here or in the Accounting Binder.

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ACCOUNTING

- SAB 184/SAB 50-06 with 184a or 50-06 worksheets
- Record of every warrant issued for the project by object category
- Copy of Pay Request or Invoice
- Copy of Purchase Order

This binder is set up with a divider for each object code to be used during the project. These object codes should correspond to the SAB 184A/50-06 columns.

When a purchase order is created, a copy of that PO goes in the appropriate object code section. (You are therefore filing by use of funds.) As a payment application or invoice is received and processed, a copy of the pay ap/inv is filed in the binder with a notation of the warrant issued and the warrant date (or a copy of the warrant.) A copy of the year end warrant register should be kept for audit verification (usually it is kept by Fiscal.)

When it is time to submit SAB 184 or 50-06 to the OPSC, you already have the payments in order of the columns by order of your tabs. After you have completed the 184 or 50-06, it becomes an index to that binder and should be placed in the front of the binder. At this time I place a large red notice on the binder that no documents can be added to or taken from this binder. If additional expenditures are made for the project, another binder should be started.

This binder is also useful in verifying the accounting ledger for the project. The expenditures should follow the ledger by object code by date. Accounting will have cross-files by vendor and Purchasing should have cross-files by PO number.

LABOR COMPLIANCE

- Labor Compliance Agreement approved by Dept. of Industrial Relations
- Wage Rates Verifications
- Spreadsheets
- LC correspondence

(At this writing this is a new area and the information to be retained by the district is still under development.)

PUBLIC RELATIONS

- Groundbreaking Program
- Press Releases
- Newspaper Articles
- Public Contact Log

I keep a log of calls and letters received during planning and construction. I note the name and number of each caller, the gist of the message, and any comments or

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commitments made. I have a place to note when I told the Superintendent about the call. I keep these logs at my desk for all current projects (all department staff also keep a log) after the completion of the project the logs go into the binder.

SUBMITTALS

Because of their bulk, submittals are not kept in a binder. We designate a submittal box for each project. As submittals are approved by the architect/district, they are stamped and numbered by the architect. Approved submittals are then placed in the box in number order. We place color papers with the submittal number at the start of each submittal (like a bookmark.) The architect's submittal log is kept at the front of the box to be used as an index.

At the end of the project the submittal box is forwarded to the Maintenance Department along with the Warranty Binder. This provides them information for replacement parts, service, and repair.

WARRANTY RECORDS/ OPERATIONS MANUALS

This binder is prepared by the contractor and is generally supplied directly to the maintenance department when they receive the training on the building systems. You need to be sure that it is prepared and supplied per contract requirements.

AS-BUILT DRAWINGS

The as-built drawings for a project are not maintained in the binder system, but are mentioned here because they do become part of the project record.

- **Inspector Set**
I request that my DSA inspector maintain a set of drawings that annotate any RFI responses, bulletins issued, etc. These changes are noted on the drawings and incorporated into the record set.

- **Contractor Set**
The contractor is by contract required to maintain a set of drawings that indicate how he actually constructed the project. He should indicate any deviation from the architect's drawings. Some deviation may be necessary and appropriate due to site conditions and RFI's. The most significant changes that you will need to know later often occur when they are doing the layout for underground utilities. It is important that the contractor make these entries in the as-built set, as the work occurs – not at the end of the contract! By that time the sub-contractor who did the work will be gone and you will not get an accurate document. The inspector can require that the as-built drawings are up to date on a monthly basis as part of the payment approval process.

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HELPFUL HINTS...

- Standardize the notebook size. I prefer 3” because they are large, yet small enough to carry easily.
- Get quality notebooks. This historical record that you are compiling is important and should be protected. Cheap notebooks have problems when they get loaded with material.
- Use a large-size hole punch.
- Do not allow original documents to leave the office. If you will need to send originals to other parties, have multiple signature copies.

ORGANIZING BY COLOR...

I prefer to establish a color for each site in the district, or in a larger district for each project. Binder labels can be done in the project color. File folders or labels, pending filing boxes, etc. can be done in the project color. This will assist in quick project identification.

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