

## SECTION 113 – RECORDS

This section describes records necessary to administer an ITD construction contract by District staff consisting of Resident Engineers (RE), project coordinators (PC), inspectors, materials testing staff, office staff, and District Records Inspector (DRI).

**113.01 Contract Item Work Report.** Contract Item Work Report (CIWR). Prepare a Contract Item Work Report (formerly a ledger sheet) for each pay item in the contract. Also, any additional payment items (or reductions) listed on the progress and final estimate must be supported by a CIWR.

Include units as completed, and reference a source document for each pay item entry. The source document will usually be an inspector's Daily Work Report (DWR) (formerly an ITD Standard Construction Diary [ITD-0025](#)), a pay item sheet or load tickets. In some cases, cross sections, the mass diagram, computer runs or other materials may be the source document. Reference the source document in the CIWR.

Make entries each day work is performed and pay units are completed. Examples of items in this category are aggregate base, asphalt applied, plant mix, concrete. Post other items periodically (usually weekly or as established by the Resident Engineer) if the work covers several steps requiring considerable time before acceptance can be made. Examples of such items in this category are fence, guardrail, and clearing & grubbing.

The top portion of the CIWR provides a record of the bid and authorized quantity and any changes thereof. Compare the authorized and actual quantities periodically, to timely detect significant overruns or under-runs, which should be addressed via change order per [Subsection 104.02](#) of the Standard Specifications.

Perform cost accounting procedures as follows on single or multiple projects let under one contract:

- Prepare a CIWR sheet for each contract item listed in that contract.
- Progressively post all quantities.
- Enter all change orders.
- Cross-reference CIWRs and prepare estimate vouchers at least monthly. (See [Subsection 109.05](#), Partial Payments, in the Standard Specifications for details.)
- The project and contract number will represent all the projects in the contract. CIWR entry categories should include the actual project number.

When project CIWRs must be corrected due to errors, delete the incorrect entry and “repost” the correct entry to avoid any confusion resulting from the new entry.

**113.02 Materials Inspection Summary and Certification.** See the Department's QA Manual for material inspection summary and certification requirements.

### **113.03 Daily Work Report (Standard Construction Diary).**

**General.** The Daily Work Report (DWR) in SiteManager or Standard Construction Diary ([ITD-0025](#)) provides the Department with a complete and accurate record of the contractor's operation(s), and to support the fact that the project was constructed in conformance with the contract plans, specifications, and special provisions. The DWR(or ITD-0025) provides facts and figures to justify pay quantities, and information to support or deny a contractor's claim for extra work, delays, or suspended or eliminated work, or changed conditions. *Maintain force account records whenever there is a possibility of a contractor's claim* (See [Subsection 109.03](#) of the Standard Specifications).

**Preparing and Submitting Daily Work Report.** Instructions for preparing the ITD-0025 Standard Construction Diary are included with the ITD-0025 in Form Finder. Instructions for preparing SiteManager Daily Work Reports are included in the SiteManager User Guide (SMUG). Complete the DWR throughout the day as the work happens. Do not take notes and then write the official DWR (diary) at a later time. Electronic DWR's (diaries) are acceptable if they are being completed throughout the day (e.g. on a laptop computer in the field).

Measure, and then document quantities in the ITD-0025 or DWR and supporting source documents, on a daily basis.

When multiple projects are awarded under one contract, quantities should be reported under the appropriate project funding code (work authority) according to actual placement on the project. Both stations and funding codes should be reported with pay quantities to assist office personnel and the District Records Inspector in cross checking reported quantities. Bid items shown in summaries, proposals, and estimates are to be used only as a guide in identifying locations and estimated item quantities. Proration is permissible for items such as mobilization, lump sum items, trainees, and traffic control, based on detailed estimates. Questions regarding charges to projects should be directed to the Project Accounting Unit of the Financial Services Section.

The Resident Engineer or designee should review and initial all project DWRs. The DWR approval process is as shown in the SMUG. It is the Engineer's option to file project diaries by date, operation, or the reporting individual. Prepare diaries in ink or electronically. Avoid the use of light blue colors, as these may not reproduce. **Print legibly. Do not use longhand.** Diaries or DWR's become a source document when used to report quantities, and are critical in defending the Department against claims.

### **113.04 Pay Document Inspection Program.**

**General.** Verify all quantities by a checking process directed by the Resident Engineer. To the extent possible, computing and checking should progress concurrently with the project. Both the computer and the checker should initial checked project records, along with the date(s) when the check was completed. Print the name and sign above, when signatures are required.

Routine records checking will provide early errors and omissions detection, keep the checking current, and expedite final payment (and project closeout) as each phase or item is completed. Checks must

assure that the items are correct from source document to final estimate. Checks should verify computations (including mathematical accuracy), activity documentation, and specification, policy and procedures compliance.

The Resident Engineer should also verify final quantity estimate accuracy through a system of concurrent independent project records checking. The District Records Inspector (DRI) will be assigned this responsibility. More details covering the records inspection review program may be found in the DRI Inspection Guide Lines.

**Independent Inspection.** The independent records inspection includes the following:

- Routinely check the project records as the work progresses.
- Provide a complete check from source document to final estimate for all items.
- Provide a written report of findings after each inspection.
- At the District's option, the DRI can submit a monthly status report to the District Engineer documenting ongoing DRI reviews.
- The DRI will reconcile the final estimate with the CIWR before submittal to the Contractor.
- The Final Inspection And Review Of Final Estimate And Records ([ITD-1996](#)) must be submitted with the final estimate to the Financial Services Section.

The DRI should make arrangements with the Resident Engineer to independently audit records as items are completed. Project personnel must compute and check quantities for each item before this audit should be performed. The DRI should indicate that source documents, CIWR, records and computations, and/or audit work papers have been verified for accuracy and compliance by audit symbols and/or initials and dates.

Any additional help required to keep the records inspection current should be provided from qualified personnel that are not assigned to the Resident Engineer in charge of the project.

Written reports will keep the district informed of the status of records, payments, checking, and provide a record for the project files. The report should document any discrepancies and corrective action(s) taken. The DRI should not make changes to project records. Any discrepancies should be rechecked by project personnel who originated the entry. If necessary, make corrections and document the actions taken. The District Engineer, in writing, can waive the necessity of rechecking if the item dollar value is deemed insignificant.

**Disposition of Adverse Findings.** The DRI will report procedural deviations (not minor mathematical errors) to the District Engineer as soon as they are discovered. The District Engineer will resolve in writing all differences shown on the ITD-1996, which have not been resolved by the time the final estimate is prepared.

If the adverse disposition letter is prepared by the Resident Engineer, it should either be signed by the District Engineer or be accompanied by a letter indicating District Engineer concurrence.

The adverse disposition letter should contain at least the following information:

- Brief History.
- Justification for accepting the exception.

- Assurance that material was received.
- Corrective action(s) taken. (i.e. Action plan to prevent deviations from happening on current and future projects.)

On Federal-aid projects, federal participation or non-participation recommendation(s) must be included in the adverse disposition letter. On State projects, acceptance for final payment should be recommended.

### **113.05 Recordkeeping on Special Projects.**

**General.** These procedures are to be followed on projects completed by local forces under actual cost agreements, safety program projects, and projects completed by state forces involving federal funds. These procedures are not to be used when the project involves only utility or railroad work, such as railroad grade crossing projects, when the work is accomplished by the Utility or Railroad Company. (See [CA Manual 105.07](#).)

**Project Administration.** The District Engineer will assign an engineer (Project Coordinator) to each project. This assignment should be given to an individual whose construction knowledge is commensurate with project type and complexity. This may be a Resident Engineer, Traffic Engineer, or Maintenance Engineer depending on the project type.

Hold a preconstruction meeting between the engineer and the local agency before beginning work to clarify local agency roles and requirements. Point out that the work performed and documents supporting this work must be in accordance with [2 CFR 200 Super Circular](#). (See the District Records Inspection Guide Lines for these documents.) Place Preconstruction meeting minutes in the project files, and submit a copy to the District Materials Engineer.

**Inspection.** The inspection required on these projects will depend on the complexity and nature of the work, and will be at the discretion of the assigned engineer. A final acceptance letter from the District Engineer will be required on all projects with charges to CN, UT, SF or ER to verify completion and compliance with plans and specifications.

**Materials Inspection and Acceptance.** Accept small quantities of miscellaneous materials by visual inspection and documenting on Form [ITD-0854](#) (Resident Engineer's Letter of Inspection of Contract Items) submitted with Form [ITD-0852](#) (Materials Certification Checklist). Submit Form ITD 0853 (Materials Inspection Summary) as needed.

Accept small material quantities taken from local government agency stock, by a certification provided by a responsible representative of the local government agency. For larger material quantities (or material supplied by the State), the local governmental agency (or state) should obtain a certification from the supplier. This will then be submitted with the ITD-0854.

Form ITD-0852 must accompany Form ITD-0854, and be submitted to the District Materials Engineer for approval.

**Changes.** Any plan, specification or agreement changes should be accomplished via change order per [Subsection 104.02](#) of the Standard Specifications. Show the local agency as the Contractor.

**Forms and Reports.** The following forms and reports are also required on all special projects:

- Form [ITD-2242](#) required on all projects.
- Materials certification on all projects (Forms [ITD-0852](#) and [ITD-0854](#)).
- A final acceptance letter from the District Engineer is required on all projects, except those constructed by state forces.
- A Final Inspection And Review Of Final Estimate And Records ([ITD-1996](#)) will be required on all projects. The audit conducted by the District Record Inspector shall be in accordance with requirements outlined in [2 CFR 200 Super Circular](#).
- The Invoice Entry and Tracking Form should be prepared when required. The form should be signed by a responsible representative of the local jurisdiction performing the work.

**113.06 Construction Photographs.** A good set of photographs is an invaluable supplement to project records. The following are suggestions and tips:

- Take pictures of situations which are difficult to adequately describe.
- Take pictures of any situation that you suspect might develop into a dispute or claim.
- Fill up the viewing screen with the object you are trying to show.
- To be admissible as court evidence, photographs must be documented properly, including a time and/or date stamp or electronic stamp.
- If possible, take pictures of the project site before construction begins.
- When accidents occur on the project, get pictures of the traffic control devices which existed at the time of the accident.

**113.07 Records Retention.** All project records should be scanned and uploaded to ProjectWise. All records must be retained for a minimum of three years from the date of the final voucher. See [49 CFR 18.42](#) for details.