**Checklist for Electronic Files  
SW Region Projects**

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| Project ID: 5587-00-72 | |
| Project Manager: Tim Maedke  Project Engineer: Gretchen Bockenhauer |  |
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(Project Label)

2018 NEW: La Crosse office recommends providing electronic files to the region instead of having to print off hard copies. The exception are field diaries, haul tickets and seed/fertilizer labels or other documents which are submitted hard copy. We do not expect scanning of these items or any items which would too time consuming to scan. Please inform the PM and CS if you will provide project project records hard copy or electronically.

In-House staff must transfer or retain all records to the P drive with the exception of those stated above.

Do NOT provide duplicate files in both electronic and hard copy format.

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| **INSTRUCTIONS** |
| **Project Engineer** – Fill in date completed and initial in PE line  ***Note:*** If item not applicable to the project, place N/A in date field |

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| **SUMMARY** |

# This document has been prepared in the interest of uniform application of construction contract management during construction and the finals closeout process. It is intended to be a living document to provide easy access to project information during the course of the project. It is not by any means all encompassing. Construction personnel should study and become familiar with the Construction and Materials Manual, Standard Specifications ([Wisconsin Department of Transportation Roadway standards](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-75.pdf)), Southwest Improvement Guidance (SWIG) Chapter 8 and all the tools recently made available to aid the administration process (see below). Throughout this document various forms are referenced. These can be found at the following link [http://www.dot.wisconsin.gov/forms/index.htm](http://apwmad0p1746:5786/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-75.pdf) or in the current year Statewide Pantry files.

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| **ADDITIONAL MANUALS** | | | | |
| **Timely Decision Making** | | | | |
| Project Engineers should use the Project Administration Tools developed in the Timely Decision Making manual that can be found at the following link [http://wisconsindot.gov/Pages/doing-bus/eng-consultants/cnslt-rsrces/rdwy/admin.aspx](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-75.pdf). Items include the following:   * Preconstruction Meeting Agenda (Use the SW Region template, linked in SWIG 8-01) * Weekly Progress Meeting Agenda (Use the SW Region template, linked in SWIG 8-55) * Line of Communication * 3-Week Look-Ahead Schedule (relative to size of the project) * Request for Information (RFI)   + Contract Request for Information Log (DT2501)   + Request for Information (DT2502) | | | | |
| **Finals Process for Let Project Closeout** | | | | |
| The "Finals Process for Let Project Closeout" Manual is a project administration tool that provides guidance designed to expedite finaling out construction contracts. The "Finals Process for Let Project Closeout" Manual is available on-line at: [http://wisconsindot.gov/Pages/doing-bus/eng-consultants/cnslt-rsrces/rdwy/admin.aspx](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-75.pdf)  IMPORTANT: For the Southwest Region, please follow **this SW Region** Construction Administration Guide and the Regional Flowcharts. These include all of the statewide guidance as well as additional region specific guidance and directions.  **Field Software User’s Guide for Construction Staff (FSUG)**  The purpose of this guide is to provide Project Engineers and support staff a data entry guide for FieldManager, FieldBook, Field Information Tracking (FIT), and Materials Information Tracking (MIT). The guide also covers the backup process and provides a list of support contacts. The guide is located in the Statewide Pantry\Statewide Manuals and Guides folder. | | | | |
| **I. START CONSTRUCTION** | | | |
| ***Check appropriate box and initial at line*** | **√ Yes** | **√ N/A** | **PE** |
| 1. PDF of Plans, Special Provisions and all Addendums downloaded from HCCI (Highway Construction Contract Information) <ftp://ftp.dot.wi.gov/dtsd/hcci/>   (verify all project staff have the addendums inserted into plans) |  |  |  |
| 1. Are any Section Corners / Geodetic Survey Monuments disturbed as a result of this project? |  |  |  |
| 1. Right-of-Way commitments reviewed |  |  |  |
| 1. ECIP – The full approved hardcopy of the ECIP is required in the field office |  |  |  |
| * 1. Project Engineer reviews submittal using the ECIP Review Checklist as guidance. See [SWIG 8-15-1](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-15.pdf) for link to the ECIP Review Checklist. If incomplete, Project Engineer contacts contractor to obtain missing information. After submittal is considered complete, 14 day review period begins and ECIP is passed on to Stormwater Engineer and DNR.   2. Complete ECIP Submitted *<CLICK HERE TO ENTER A DATE>*   3. ECIP Approved by PM *<CLICK HERE TO ENTER A DATE>*   4. Enter dates into FIT on the Acceptance tab. Note DNR concurrence is same as approval date |  |  |  |
| 1. Schedules – Per SS 108.4 the contractor must submit an initial Progress Schedule at least 14 days before the Preconstruction Meeting. Project Engineer will review the submitted schedule and compare to the requirements in108.4 before acceptance (NOT APPROVAL) of the schedule. Additional guidance can be found in CMM 1.65.2.2. |  |  |  |
| 1. Source of materials submitted / reviewed for completeness & **copy to Materials Engineer and Labor Compliance** |  |  |  |
| 1. Utilities- Are the dates listed in the special provisions met or on schedule to be met |  |  |  |
| 1. Requests to sublet approved |  |  |  |
| 1. Proof of Railroad Insurance received (if required) |  |  |  |
| 1. Project Engineer Packet / Project Engineer folder - Project Engineer should arrange to pick up from Contract Specialist (or Project Manager) prior to construction starting. |  |  |  |
| 1. Preconstruction Meeting (see SWIG 8-1-10 for procedures and links to templates) |  |  |  |
| * 1. Materials Reporting System (MRS) E-Guide created / distributed by WPMC |  |  |  |
| * 1. QMP and HMA Cold Weather Paving Plans (if required) submitted / reviewed for completeness |  |  |  |
| * 1. Meeting Held  *<CLICK HERE TO ENTER A DATE>* |  |  |  |
| * 1. Line of Communication form (attach to Preconstruction Meeting Minutes) |  |  |  |
| * 1. Preconstruction minutes distributed **(cc Contract Specialist & QA Construction Engineer, Contract Specialist will enter date in Project Tracking)** |  |  |  |
| 1. Work with PM to update Project Website, or create, if needed   *<CLICK HERE TO ENTER A DATE>* |  |  |  |
| 1. Shop Drawings forwarded to appropriate approval / review authority    1. Storm Sewer – Project Engineer    2. Electrical    3. Retaining Walls    4. Ancillary Structures (sign bridges / overhead sign supports)    5. Other (ex. sanitary, water) |  |  |  |
| 1. Blasting plan received from contractor (when applicable) |  |  |  |
| 1. Lane Closure System (LCS) information entered 2 weeks prior to start [http://transportal.cee.wisc.edu/closures/](http://www.dot.wisconsin.gov/forms/index.htm) (if required) |  |  |  |
| 1. Notice to Proceed (Start Notice) Sent *<CLICK HERE TO ENTER A DATE>*   **Must request contract refresh!** (See FSUG p 25) |  |  |  |
| 1. Haul Roads – discuss haul road routes at the preconstruction meeting.   Video / log haul routes with maintaining authority and contractor prior to use. |  |  |  |
| **I. START CONSTRUCTION - continued** | | | |
| ***Check appropriate box and initial at line*** | **√ Yes** | **√ N/A** | **PE** |
| 1. Wage Board reviewed for completeness    1. Contact Region Labor Compliance Specialist (LCS) for checklist. Complete and return to SW Region Labor Compliance Specialist (LCS) |  |  |  |
| 1. List of Items for field office (hard copy or electronic)    * 1. Plans, Special Provisions and all addenda (hard copies)      2. SW Region Construction Administration Guide (CAG) (SWIG 8-1-1)      3. SW Region Construction Flow Charts (SWIG 8-1-1)      4. Field Software User’s Guide for Construction Staff (FSUG – Statewide Pantry)      5. SiteHealth.dotm form containing emergency contact information, and map or directions to the nearest hospital or clinic completed and posted near the phone and at the entrance to the field office. (Statewide Pantry forms)      6. Emergency Project Contacts List (post in a window where it can be seen from outside the field office) (SWIG 8-1-5)      7. Line of Communication Form (Statewide Pantry forms)      8. Regional Contacts are found in [SWIG 2-1](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-02-01.pdf#sw2-1)      9. Design documents (see [SWIG 7-40-1 & 2, attachment 2](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-07-40att.pdf))         1. Plan Letter         2. Contract Time of Completion         3. Notes to Construction         4. Real Estate Commitments         5. Wetland Tracking Form (if applicable)         6. Utility Work Plans & Permits         7. State Municipal Financial Agreement (SMFA) (Contains FIIPS Funding Categories) (if applicable)         8. State Municipal Maintenance Agreement (SMMA) (if applicable)         9. Traffic Management Plan (TMP)         10. Incident Management Plan (IMP - if applicable)      10. Erosion Control Binder (hard copies) 2. ECIP including amendments – update as needed 3. Environmental Commitments – Environmental Documents 4. 401 / 404 permits, if applicable 5. Erosion Control Inspections and Orders    * 1. Materials Documentation 6. QMP Documentation 7. Cold Weather Paving Plan (if applicable)    * 1. Contract Requirements (see special provisions) 8. Davis Bacon Wage Rates 9. Buy America    * 1. Contract Modifications & Justification Records |  |  |  |
| 1. FieldManager 2. Enter Time Charges Start Date (Site Times Tab) See FSUG p 6 for guidance. 3. Enter Construction Started Date (General Tab) See FSUG p 5 for guidance. 4. Enter all subcontractors on approved sublets in FieldManager. All approved subcontractors are to be listed. See FSUG p 9 for guidance. |  |  |  |
| 1. FIT - See FSUG p 41-46 for guidance 2. Enter ECIP Approval Date – Acceptance tab 3. Enter Field Office Information - Staff / Field Office tab. Enter info so that someone unfamiliar with the project can find it, include address if possible. 4. All personnel MUST be entered in FIT with phone and email address before entering Time Charges Stopped or auto-emails at substantially complete will not work. Includes traffic control, prime, designated contractor / WisDOT materials staff, project staff. |  |  |  |

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| **II. DURING CONSTRUCTION** |
| ***\* DO A FIT MERGE & SEND PRIOR TO ANY WORK STARTING ON THE PROJECT*** |
| **PROJECT ENGINEER EXPECTATIONS** |
| * Enforce Construction Contract, Plans, Standard Specifications and Special Provisions * Know Plans, Specs and Specials prior to project start * Start project on schedule * Look ahead at upcoming Contractor operations * Stay on top of “issues” * “Final as you go”   + Stay on top of quantity placement / documentation.   + Keep a running “to do list”. Make contractor aware of “to do list” items as the project progresses, discuss at weekly progress meetings.   + Promptly finalize the project. * Resolve “issues” diplomatically * Keep communication open. * Maintain job duties   + Do NOT allow the Project Engineer to cross the line and do the Prime Contractor’s work. This creates Liability   + Do NOT coordinate / direct Subcontractors. * Public Relations (Establish criteria with PM for lines of communication) * Representative of **WisDOT, WisDNR and FHWA**   + Communicate with the PM during the entire project. PM is here to help. Discuss with PM project status, issues, or questions; have alternatives to resolution of issues prior to contacting PM. * **Document in the project diary all PM discussions and when PM has made a site visit to the project** |
| **MANDATORY ELEMENTS OF FIELDMANAGER (FSUG p 10-22)** |
| * A Daily Diary is required for each day of the week, including Saturday, Sunday, and holidays unless time has been suspended. Input must include time charges and the controlling item of work. If there was no work done, report that for the day. On a carryover project you may state in your diary on the last day worked “No work will be performed on this project until” *<CLICK HERE TO ENTER A DATE>* and then resume your diary in the spring with the first diary page stating “First day worked since” *<CLICK HERE TO ENTER A DATE>* * An Inspector’s Daily Report is required for each day that a contractor worked. Input must include men and hours for the contractors that worked, weather, and the inspector’s comments. IDR’s need to be up to date at the time of estimate submittal. * **Working Day Contracts**   On Working Day Contracts print a copy of "Weekly Report of Time Charges" in the field office, Project Engineer must sign this. (Find this form in FieldManager under Miscellaneous Reports.) It is recommended to have the contractor also sign the report. File the report in the field office with the project records and email a copy to the contractor as an attachment to the weekly meeting minutes every week.   * **Completion Day Contracts**   On completion day contracts, the number of adverse weather days should be reviewed monthly. The contractor should request adverse weather days at the end of each month. The contractor should provide a schedule and documentation showing that the controlling item of work was delayed due to adverse weather and was outside their control. The Project Engineer reviews this submittal, discusses it with the Project Manager and responds monthly. If in agreement with the additional days, and contractually allowed, the Project Engineer should extend the completion date of the contract at the end of the project. This information is filed in the field office with the project records, discussed at the weekly meetings and recorded in the weekly meeting minutes. (SS 108.10)   * **Estimates** are submitted twice a month for any contract that has payment due of $1,000 or more. **Project Engineers double-check estimates before generating / sending for approval to reduce the number of denials** / rollbacks**.** (FSUG p 18-21) After sending an estimate, project staff are required to merge your FieldManager data in Field Information Tracking (FIT) AND then send FIT data to the Project Tracking System for Project Managers, Supervisors and Contract Specialists to view in the system.  **Enter Estimate Comments Box (Exactly as described):  “Date to Date” OR FY (New Fiscal Year begins July 1st)** (ONLY enter dates where work was performed on this estimate) **Post in field office & Send PDF to Prime Contractor** |

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| **II. DURING CONSTRUCTION - continued** |
| **Do** **Not send the first estimate until the following dates have been entered in FieldManager (FSUG p5 & 6)**   * **Construction Started date** * **Time charges Start date** * **Notice to Proceed (Start Notice) - must request a contract refresh from CAS (FSUG p 5 & 25)** * **Project Engineer is responsible for the accuracy of all quantity postings** |
| **MANDATORY ELEMENTS OF FIT Merge & Send (FSUG p 45 & 46)** |
| *Note: FieldManager must be closed prior to merging* |
| You are required to send a FIT file when:   * The ECIP is approved * Anytime a date is entered or modified in FieldManager * **CCO created or approved (Before sending to CS, change status from Draft to Pending Approval, then do a FIT merge and send)** * An estimate is sent * Weekly * Anytime any information is modified in FIT (i.e. DQI, structures, claim submitted, punch list completed, contact information is updated, etc.) |
| ***MISC. ITEMS DURING CONSTRUCTION*** |
| 1. Stockpiles - The contractor is responsible for providing the following information: (See FSUG p 17)    1. Where is the material stored / secured? (field staff should visit the site if reasonable)    2. Documenting the material will be used for this project only    3. Provide an invoice for the material    4. Providing any required testing information / certifications       1. Ex. aggregates - production tests       2. Ex. Geo grid – certified report of test       3. Ex. piling – certified report of tests / mill inspection   Do not pay more than the bid item price – even when there is an invoice submitted for more dollars than the bid price. Recommended guidance is to not pay more than 75% of the bid price for the stockpile request.   1. Weekly Erosion Control Inspections and Orders (and > .5” rain). Use Erosion Control Order form (ECOrderWS1074.dotm - Statewide Pantry Forms) to correct deficiencies. 2. Weekly meetings (see [SWIG 8-55](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-55.pdf#sw8-55) for the agenda, modify to fit your project)    1. Minutes and attendance record emailed to Prime Contractor and all attendees    2. Project Engineer should request an updated schedule if the critical path is behind by 14 days or more on an interim completion date, a calendar day contract or a completion day contract. Project Engineer should request an updated schedule if the contractor is behind by 10 working days or more on a working day contract.    3. See Timely Decision Making Manual and SWIG 8-55-1 for additional guidance.    4. Consider continuing meetings, possibly by teleconference, through the finals process to ensure good communication and adherence to the requirements of the Finals timeline. 3. Weekly Update – consider using weekly update emails to local businesses, residents and media – discuss with Project Manager. Keep the project website up to date. 4. Quantity verification with the prime and subs should occur periodically through the project; at a minimum each stage change so differences can be accounted for as the project proceeds. 5. Materials    1. Certs submitted prior to materials being incorporated into the project.    2. Update SOM / QMP    3. Test Results submitted in a timely manner    4. Take required QV tests    5. Verify QC testing is meeting required frequencies    6. Contact WisDOT for IA testing    7. Don’t pay for materials until certifications or acceptable test results are received 6. 30 & 60% documentation reviews (materials)    1. In an effort to facilitate the “final as you go” intent, notify regional materials staff to complete interim reviews of project materials documentation at 30% and 60% complete, based on most recent estimate paid. 7. Haul Routes – ensure contractor is hauling to approved sites and on agreed upon routes |

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| **II. DURING CONSTRUCTION - continued** |
| 1. Structure Information (FSUG p 43 & 44)    1. All falsework plans must be sealed by a Professional Engineer (P.E.) Project Engineer should verify that falsework plan is being followed.    2. All temporary structures require an inspection by the contractor and Form DT2007 provided prior to opening to traffic.    3. Contact Bridge Designer / BOS for ANY structural field adjustment approvals.    4. Notify Bridge Maintenance Section, Mike Williams at 608-516-6484, Steve Katzner at 608-516-6425 (Mad), or Dave Bohnsack at 608-792-6084 (Lax) immediately when any structure is completed to set up an initial inspection (while contractor is still on site). Notify Mike Williams at 608-516-6484, Steve Katzner at 608-516-6425, Shiv Gupta at 608-215-0595 (Mad) or Dave Bohnsack at 608-792-6084 (Lax) for ancillary structures.    5. Email Structure Clearance forms / pdf to [DOTDLDTSDStructuresRecords@dot.wi.gov](mailto:DOTDLDTSDStructuresRecords@dot.wi.gov) and to SWR Bridge Maintenance Engineer. (BrdgVertHorzClear.dotm / BrdgVertHorzClearDividedHwy.dotm – Statewide Pantry Forms)    6. Email all Structural Shop Drawings to [DOTDLDTSDStructuresRecords@dot.wi.gov](mailto:DOTDLDTSDStructuresRecords@dot.wi.gov).    7. **PILING RECORD (DT1315): Email** to addresses below, with PM concurrence   ORIGINAL- FINAL BOX  EMAIL COPY TO [DOTDTSDStructuresPiling@dot.wi.gov](mailto:DOTDTSDStructuresPiling@dot.wi.gov)  EMAIL COPY TO [DOTDTSDGeotechnicalPiling@dot.wi.gov](mailto:DOTDTSDGeotechnicalPiling@dot.wi.gov)   * 1. **PILE** **DRIVING DATA (DT1924): Email** to addresses below, with PM concurrence   ORIGINAL- FINAL BOX  EMAIL COPY TO [DOTDTSDStructuresPiling@dot.wi.gov](mailto:DOTDTSDStructuresPiling@dot.wi.gov)  EMAIL COPY TO [DOTDTSDGeotechnicalPiling@dot.wi.gov](mailto:DOTDTSDGeotechnicalPiling@dot.wi.gov)   * 1. Bolt tightening (PreInstallVerifTestOfHighStrengthBoltsDT2114.dotm form - Statewide Pantry DT Forms)   2. Anchor Bolts and Sign Structure Installation (PreInstallVerifTestOfHighStrengthBoltsDT2114.dotm, HighStrengthSteelAnchorRodInstallTensioningRecDT2321.dotm, AncStrucPreInstallVerifTestOfHighStrengthBoltsDT2322.dotm forms - Statewide Pantry DT Forms) |
| 1. Contract Modifications, Justification Records -- Tracking and Approval Log   Guidance on Contract Modifications is found in the FSUG, p14-16, CMM 2-42, SWR Flowchart II and SWIG 8-10. |
| |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | **CCO#** | | | **Issue identified (mm/dd/yyyy)** | **CMJ Approved (mm/dd/yyyy)** | **CCO Approved (mm/dd/yyyy)** | **Time Added** | **CCO $ Amount** | | | **1** | | |  |  |  |  |  | | | **2** | | |  |  |  |  |  | | | **3** | | |  |  |  |  |  | | | **4** | | |  |  |  |  |  | | | **5** | | |  |  |  |  |  | | | **6** | | |  |  |  |  |  | | | **7** | | |  |  |  |  |  | | | **8** | | |  |  |  |  |  | | | **9** | | |  |  |  |  |  | | | **10** | | |  |  |  |  |  | | | **11** | | |  |  |  |  |  | | | **12** | | |  |  |  |  |  | | | **13** | | |  |  |  |  |  | | | **14** | | |  |  |  |  |  | | | **15** | | |  |  |  |  |  | | |  | \*See Attached for additional CCOs  \*\* Fuel Cost Adjustment information is found here (use ONLY this location for correct amount):  <http://wisconsindot.gov/hcciDocs/contracting-info/fuelcostadjustmentcomputations.pdf> | | | | | | |
| 1. RFI Tracking – Maintain Contractor Requests for Information Log (ContRFILogDT2501.xltm – Statewide Pantry DT Forms) |

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| **II. DURING CONSTRUCTION - continued** | | | |
| 1. ECIP Amendment Tracking   The ECIP is a living document, adhere to the ECIP and update when necessary, most particularly in winter carry over situations or when project conditions or schedules require construction methods not previously described in the ECIP. If the Contractor is not abiding by the ECIP, it is the Project Engineer’s job to bring this to the PM’s attention. Maintain good communication with WDNR and know your project site well! Be familiar with the resources on your project (wetlands, streams, rivers, lakes, tributaries, drainage patterns, etc.) Understand your project site with regards to soil type, moisture content and runoff volume and know where any drainage will be leaving. Concentrate on these areas to minimize the possibility of releases into wetlands or waterways. Protect the perimeter area of the site and the disturbed areas from erosion and pollutant accumulation that may result from off-site runoff. Minimize the size of disturbed areas exposed at any one time and the duration of the exposure. Stabilize any disturbed areas as soon as possible. | | | |
| |  |  |  | | --- | --- | --- | | Amendment Number | Short Description | Date | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | | | | |
| ***Check appropriate box and initial at line*** | **√ Yes** | **√ N/A** | **PE** |
| 1. Submission of CLAIM   This field originates in FIT – Acceptance tab (FSUG p 43-46) and is used to identify when the most recent claim is certified by the prime contractor (SS 105.13) (ClaimSubmittalForm.dotm - Statewide Pantry Forms). |  |  |  |
| 1. Bench Marks   A bench mark sheet is required to be completely filled out for every new permanent bench mark installed (survey monument or “mushroom cap” on a bridge). A monument can be obtained from the Regional Survey Coordinator for installation in the bridge, in the same proximity of the nameplate. Obtain the monument prior to the concrete pour to be sure that the monument is placed per plan. Fill out the bench mark sheet completely, including the survey notes, and the datum to which the bench mark should be tied. The survey datum can typically be found on either the front or the back of the cover sheet of the plan set. (BenchMarks.dotm - Statewide Pantry Forms) |  |  |  |
| 1. Cold Weather Paving   If applicable, Email CS to send the “Allow” or “Direct” letter as directed by the PM (see [SWIG 8-35](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-35.pdf) For guidance) (FIT – Acceptance tab-FSUG p 43) *<CLICK HERE TO ENTER A DATE>* |  |  |  |
| 1. Modify LCS when stages are completed (if applicable) |  |  |  |
| 1. Remove closure information from LCS when road open to traffic |  |  |  |
| 1. Haul Roads – Review with maintaining authority after completion |  |  |  |
| 1. Punch List Criteria -- **Once list is complete, provide to the Contractor and email to CS to send with Substantially Complete letter prior to or at the time of entering time charges stopped.** (This starts the finals process) **If there is no Punch List, CS must still be notified to send substantially complete letter.**    1. The Project Manager and Project Engineer (along with a representative of the local or maintaining authority, if they are participating in the financing of the project)jointly conduct an inspection (site walk through) of the contract work. The Project Manager will categorize the work as one of the following (SS 105.11.2.1):       1. Unacceptable or not complete       2. Substantially Complete (complete except for Punch List)       3. Complete and no Punch List work is required.    2. If the department determines that the work is unacceptable or not complete, the Project Engineer should take one of the following actions with the approval of the PM:       1. Direct the contractor to continue work on the project in order to complete all work or remedy unacceptable work.       2. If there is no time left under the contract but department determines that liquidated damages are not going to be assessed, write a change order to extend time and DO NOT enter Time Charges Stopped until AFTER the change order extending the time is approved, or LD’s **will be charged**. |  |  |  |
| **II. DURING CONSTRUCTION - continued** | | | |
| ***Check appropriate box and initial at line*** | **√ Yes** | **√ N/A** | **PE** |
| * 1. The project is Substantially Complete and the Project Engineer creates a Punch List for the Contractor if ALL of the contract work is complete except for the following:      1. Minor corrective work.      2. Cleanup of the job site.      3. Any documents required under the contract that have not been submitted.      4. Signed construction release forms   2. The contractor must complete Punch List work within 5 Business Days of receipt of the Punch List and submit required documentation within 15 Business Days of receipt of the Punch List. While not encouraged, it is possible for the Punch List deadlines to be extended by mutual agreement between the Project Manager and the contractor (SS 105.11.2.1.3).   3. Once the Punch List is verified as complete and all documentation is received (or if there are no Punch List items) the Project Engineer will enter the “Punch List Complete Date” field on the FIT - Acceptance tab. (FSUG p 43)   <Enter ***mm/dd/yyyy*>** |  |  |  |
| 1. Records reviewed for missing contractor supplied documentation |  |  |  |
| 1. Final site walk through date | ***mm/dd/yyyy*** | | |
| 1. Punch List sent to Contract Specialist, CS will send with Substantially Complete Letter | ***mm/dd/yyyy*** | | |
| **III. FINALS DATES** | | | |
| ***These dates can be viewed in a read-only version of Project Tracking available to state staff (Project Engineers and PMs) at this location:*** [N:\Apps\ProjectTracking\TRACKING\tracking.exe](file://MAD31ZP1/N3PUBLIC/Apps/ProjectTracking/TRACKING/tracking.exe)(available on the Madison & LaCrosse N-drives) | | | |
| 1. Time Charges Stopped (FSUG p 6)   This date is entered in FieldManager when the Project Engineer can stop assessing contract time charges on the project after concurrence from the PM and if:   * 1. The Project Manager and Project Engineer have completed a site walk through and a Punch List has been compiled.   2. All Contract Items and Change Order work have been completed except for the Punch List and contract items associated with plant establishment periods.   3. All lanes of traffic are open on a finished surface.   4. All signing, marking and traffic control devices are in place and operating.   5. All drainage, erosion control, excavation, and embankments are completed.   6. All safety appurtenances are completed. | ***mm/dd/yyyy*** | | |
| 1. Substantially Complete   This date populates automatically in Project Tracking from the Time Charges Stop date. Substantially Complete is granted when the contractor has made the facility available for use by the general public. This is the start of the Finals Process for Let Project Closeout. | ***mm/dd/yyyy*** | | |
| 1. Open to Traffic (FSUG p 5)   Project Engineer enters this date in FieldManager when the project has all traffic control devices removed and all lanes are open to traffic on a finished surface. | ***mm/dd/yyyy*** | | |
| 1. Punch List Complete (FSUG p 5 & 43)   Project Engineer enters this date in FIT when all Punch List items are completed in the field, the last inspection is passed and all required contractual documentation has been submitted, with concurrence from Project Manager. (This should be the same date as item E unless there is a Plant Establishment Period) **Email CS when this has been entered.** | ***mm/dd/yyyy*** | | |
| 1. All Contract Work Complete (FSUG p 5)   Project Engineer enters this date in FieldManager when all Punch List items are completed in the field, the last inspection is passed and all required contractual documentation has been submitted, with concurrence from Project Manager. (This should be the same date as item D unless there is a Plant Establishment Period, then All Work Complete needs to wait for the end of the Plant Establishment Period) **Email CS when this has been entered.**   * 1. **NEW:** See [SWIG 8-50-25](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-50.pdf#sw8-50-25) fill out the SW Region Project Completion Notification and send to regional Communication Manager | ***mm/dd/yyyy***  ***mm/dd/yyyy*** | | |
| **III. FINALS DATES - continued** | | | |
| 1. Conditional Final Acceptance   CS enters this date in Project Tracking after All Contract Work Complete with concurrence by the PM. Conditional Final Acceptance relieves the Contractor of maintenance responsibility for the completed work. | ***mm/dd/yyyy*** | | |
| 1. Contract Records Submitted for review   When Project Engineer brings final boxes to Project Manager, Project Manager or Project Engineer must email Contract Specialist to enter date in Project Tracking. | ***mm/dd/yyyy*** | | |
| 1. Contract Records to Reviewer   When the reviewer begins the review of the final boxes, **the Project Manager** must email Contract Specialist to enter date in Project Tracking. | ***mm/dd/yyyy*** | | |
| 1. Contract Records Reviewed, completed and signed   When the reviewer completes the Contract Items Review - DT2076 (found in Statewide Pantry Forms) and the PM accepts the project records as complete and accurate, CS enters this date in Project Tracking. (See [SWIG 8-75-5](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-75.pdf#sw8-75-5) for DT2076 guidance) | ***mm/dd/yyyy*** | | |
| 1. Certification of Materials (DT1310) Completed and Signed   Materials Engineer enters this date in MTS when the regional staff completes the review of Materials records and the PM accepts the project materials records as complete and accurate. | ***mm/dd/yyyy*** | | |
| 1. Submission of Claim (FSUG p 43-46)   Project Engineer, with concurrence from PM, enters this date in FIT when the most recent claim is certified by the prime contractor (SS 105.13) | ***mm/dd/yyyy*** | | |
| 1. Payroll Clear   Labor Compliance Specialist enters this date in CRCS when the LCS has accepted all of the payrolls associated with the project as complete and accurate, which populates the date in Project Tracking. | ***mm/dd/yyyy*** | | |
| 1. Reduce Retainer (only if requested by PM, materials review completed, quantities issues discussed with Project Engineer/PM, and payroll issues discussed with LCS) ([SWIG 8-75-1](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-75.pdf#sw8-75-1)) | ***mm/dd/yyyy*** | | |
| 1. Semi-Final Estimate   This date is automatically populated in Project Tracking when the Project Engineer sends the Semi-Final Estimate. | ***mm/dd/yyyy*** | | |
| 1. Semi-Final to Contractor   CS enters this date in Project Tracking when the CS sends the SF to the contractor. | ***mm/dd/yyyy*** | | |
| 1. Semi-Final from Contractor   CS enters this date in Project Tracking when the CS receives the SF from the Contractor. | ***mm/dd/yyyy*** | | |
| 1. Semi-Final Issues Resolved   CS enters this date in Project Tracking when the Contractor and department agree to all quantities and all required documents are received. | ***mm/dd/yyyy*** | | |
| 1. Subcntr Final Pmt Cert (Subcontractor’s Final Payment and Retainage Certification)   CS enters this date in Project Tracking when the Contractor returns the signed certification to the CS. **Final Estimate cannot be sent without this**. | ***mm/dd/yyyy*** | | |
| 1. Final Estimate Created   This date is auto-populated in Project Tracking when the Project Engineer creates the Final Estimate in FieldManager. | ***mm/dd/yyyy*** | | |
| 1. Final Estimate Approved   This date is auto-populated in Project Tracking when the PM approves the Final Estimate in FieldNet. | ***mm/dd/yyyy*** | | |
| 1. Final Acceptance   CS enters this date in Project Tracking after the Final Estimate has been approved. | *mm/dd/yyyy* | | |
| 1. Completion Certificate   CS enters this date in Project Tracking when the PM signs the Completion Certificate. | ***mm/dd/yyyy*** | | |
| **IV. FINALS RECORDS** | | | |
| **Project Engineer must be familiar with, and utilize the CMM in completing the finals documentation. Items A, B, and C must each be bound separately and given to the PM at the time that the finals documentation is complete.**  **In an effort to streamline the process of finals checking, and to develop some consistency between consultant firms in the way that finals documentation is assembled, please compile finals in the order shown below. FINALS NOT ASSEMBLED IN THIS ORDER WILL BE RETURNED. IN MADISON / EDGERTON – All finals items must fit in 8½ x 11 wallets.** | | | |
| **IV. FINALS RECORDS - continued** | | | |
| 1. ***FIELDMANAGER ITEMS*** | | | |
| Check to make sure that all of the following conditions are satisfied (1-6). Then print off and bind the information separately from sections (7-10). | **√ Yes** | **√ N/A** | **PE** |
| 1. Are all approved Justification Records / Contract Modifications complete and entered? |  |  |  |
| 1. Are the stock piled items reduced to zero? (FSUG p 17) |  |  |  |
| 1. Are deficiency / incentive / disincentive entered correctly? |  |  |  |
| 1. Are all IDRs generated with complete quantities posted? |  |  |  |
| 1. Are all items marked complete and quantities checked?  * Select the Documentation tab * Compare the authorized quantity to the quantity placed and quantity paid. * Notes field - Enter an explanation for the variation between the quantities. Whenever the variation between the final quantity and the contract quantity is greater than 5% for a major item or 10% for a minor item and the dollar amount exceeds $5000 (for a minor item), a statement is to be made explaining the reason for the variation. Use the Explanation of Variation Report from FIT (see C. 2 below) to determine which items need an explanation of variation. * Documentation field – Enter Date & Initials of staff who checked this item.  Example: All postings checked as of MM/DD/YYYY Initials |  |  |  |
| 1. Are there liquidated damages to be charged? (If so, check w/ PM) (FSUG p 6,18 &19) |  |  |  |
| 1. Item history to date for each item   In FieldManager; select the contract you wish to final, click on the Inquiries tab, double click on the Item History to Date report, and then click Select All. (You will need a print out for each item in your contract.) It will take time for the report to generate. After the report has generated, it can be printed. (Please note this will be a large report!) It is not required, but highly suggested that your source document sheets (for determining final quantities) should be filed and referenced within the body of the Item History to Date document. Other options for organizing this information are acceptable, as long as someone not familiar with the project and records would still be able to locate the needed information and be able to tie the source documents to the correct items in the Item History to Date document. |  |  |  |
| 1. Weekly Report of Time Charges (For working day contracts). |  |  |  |
| 1. Estimates |  |  |  |
| 1. Contract Change Orders   Hardcopy of signed Contract Modifications, signed justification records and all supporting documentation for each. |  |  |  |
| 1. ***MATERIALS*** | | | |
| **Bind items 1-4 together in the following order. These are the items submitted for the Materials Review*.*** Materials documentation should be compiled in left side bound pressboard report covers for **all** projects administered through the Madison and Edgerton Offices. **Three ring binders are allowed for the LaCrosse office projects only.** See [SWIG 8-45-1](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-45.pdf#sw8-45-1) for guidance. | **√ Yes** | **√ N/A** | **PE** |
| 1. DT 1310 Document (Be sure the signed hard copy and all supporting documentation is delivered to the Contract Specialist)   Field staff should have the MIT system (field version) installed on their computers. The MLT system needs to be connected to the LAN and will perform poorly unless there is cable or a high-speed connection from the field office. Additionally, the tasks that need to be done in the field can all be done on the MIT system. |  |  |  |
| 1. IDR Summary and Index Report   In FIT: Select the contract you wish to final, click on the Field Reports tab, click the down arrow and select the report IDR Summary and Index Report by Item and Category, and then click Print. (You can also view the report before printing it.) |  |  |  |
| **IV. FINALS RECORDS - continued** | | | |
| 1. Complete the 905 Report (Materials Diary) for the contract records (along with the supporting documents for the 905 report, in order of IDR and marked with the corresponding number)    1. Include Buy America Certification (WS 4567) for every contract regardless of whether there is metal / steel / iron in the contract. If there is no steel, a note can be added stating that.    2. Any unsatisfactory test reports (except IA reports) need to be clearly referenced and explained in the DT1310. |  |  |  |
| 1. Test Report Index   Contact Region Materials Personnel for a print out of the test report index. All testing reports are to be in the order of the Test Report Index.  If there is asphalt density testing on the project, there should be a nuclear density summary printed out as well. |  |  |  |
| 1. One set of Special Provisions |  |  |  |
| **Bind items 6-9 together in the following order based on the material type (HMA, Concrete, Base Aggregate). Place in the finals boxes.** | **√ Yes** | **√ N/A** | **PE** |
| 1. QC Plans |  |  |  |
| 1. Test Results & QMP Project Records   Include all Contractor Test Results and Project Records. Also include any additional project records and summaries for each QMP. Clearly define the QMP that the records apply to. |  |  |  |
| 1. Include QMP / QC reports |  |  |  |
| 1. Asphalt and concrete plant records |  |  |  |
| **All Other Material Documentation (Place in final boxes)** | | | |
| 1. ***PROJECT INFORMATION*** | | | |
| **Place all items 1-12 in order and place in a wallet or manila folder (not bound) in the finals box (DON’T number this wallet / folder, it does NOT end up on the dock / finals storage area)** | **√ Yes** | **√ N/A** | **PE** |
| 1. Contract Items Review (DT2076)   Only fill out project information data in the upper right hand corner, the rest will be filled out during the finals review (guidance found in the [SWIG 8-75-5](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-75.pdf#sw8-75-5)) |  |  |  |
| 1. Explanation of Variation (FSUG p 42)   In FIT: Click on the contract you are completing, click on the Field Reports tab, click the down arrow next to the Reports list, click on Explanation of Variation, click on view, and then click on Print. Be sure that FIT has been merged with the most recent final updates in FieldManager prior to generating the Explanation of Variation. |  |  |  |
| 1. Contractor’s Performance - DT1583   In FieldManager: Click on Utilities, Miscellaneous Reports, double click on Contractors Performance, and click on Add. After you have completed filling out the form, click on Generate to print out. A report is done for the Prime Contractor and each Subcontractor. Project Engineer **must sign each copy prior to submitting to PM, and PM must sign each copy prior to submitting to CS.** |  |  |  |
| 1. Project Team’s Evaluation of the Contractor – DT2510   Project Engineer / PM will complete the DT2510 form (found in StatewidePantry/StatewideForms/DTForms) |  |  |  |
| 1. Daily Diaries **(bind separately in left side bound press board cover provided in PE packet)** (FSUG p 42)   In FIT: Click on the contract you are completing, click on the Field Reports tab, click the down arrow next to the Reports list, click on Daily Dairy, select Start Date and the End Date, and click on View. Your Daily Dairies will appear, click on Print. |  |  |  |
| 1. Design Quality Index report is required for EACH Project ID. DQIs are completed in FIT. See CMM 1-70.3.1. (FSUG p 41 & 45) |  |  |  |
| 1. Bench Marks - See CAG Section II, #14 |  |  |  |
| 1. Structure / Vertical Clearance Forms - See CAG Section II, #9 |  |  |  |
| 1. Well / Drillhole / Borehole Filling and Sealing Report (DNR 3300-005) |  |  |  |
| 1. Elastomeric Expansion Device Installation Data   (ElastoExpDeviceInstallData.dotm – Statewide Pantry Forms) |  |  |  |
| **IV. FINALS RECORDS - continued** | | | |
|  | **√ Yes** | **√ N/A** | **PE** |
| 1. Log for Locating No-Passing Zones   Contractor supplied (SS 648.3.4) **Add name of spotting contractor on the form, if not already included.** |  |  |  |
| 1. Well Drillers and Water Sample Report |  |  |  |
| 1. As-built files – see updated CMM 1-65.14 for guidance and requirements.  Discuss with PM how to provide As-built to region. In La Crosse, the PM can decide to accept via email, flash drive, FTP, or any other method available and places on P drive. In-house staff should place on the P Drive and notify PM & CS.   LaCrosse - <https://ftp.dot.wi.gov/dropzone/c6215fe4>   * Name as-built plans as follows: XXXXXXXXasbuilt.pdf (lowest project ID) * Be sure all ids appear as with xxxx-xx-xx if multiple asbuilts * Ensure number of pages match title sheet pages # of # * Include all addendum sheets, if applicable. * Keep all structures in main asbuilt and copy to individual asbuiltB-xx-xxxx.pdf files. If no structures, strike through key on title page. * Include “work completed” date (Substantially Complete date) in the text box. * R/W: If not R/W strikethrough Section 4 IfRight of Way Plat, add a text box disclaimer to the first page of the RW Plat section stating “The official RW Plat should be viewed in DOTView instead of in this as-built”. |  |  |  |
| **~~Items 14-24 bind separately and place in the finals box~~** | **√ Yes** | **√ N/A** | **PE** |
| 1. Letters | | | |  |  |  |
| * 1. Notice to Proceed (Start Notice) Lax CS |  |  |  |
| * 1. Cold Weather Paving letters (if applicable) Lax CS |  |  |  |
| * 1. Partial Acceptance (if applicable) Lax CS |  |  |  |
| * 1. Substantially Complete Lax CS |  |  |  |
| * 1. Conditional Final Acceptance Lax CS |  |  |  |
| 1. Erosion Control Inspection Reports and Orders   (Fill out weekly or following > ½” precipitation events – see [SWIG 8-15-10](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-15.pdf)) |  |  |  |
| 1. Approved ECIP (including amendments) |  |  |  |
| 1. Preconstruction Meeting Minutes |  |  |  |
| 1. Weekly Progress Meeting minutes |  |  |  |
| 1. DNR 401 / USACE 404 Permits |  |  |  |
| 1. Municipal Agreement(s) (SMFA / SMMA) |  |  |  |
| 1. Environment Commitments |  |  |  |
| 1. Labor Compliance Documentation   Request to Sublet apprentice hours, etc. |  |  |  |
| 1. Earth-work yardage disks; large cross section sheets that have final yardage computations (if applicable). Place all other job related materials in the finals box |  |  |  |
| 1. Backup email, pantry spreadsheets, supporting documents, etc. on CD. |  |  |  |
| **Items 25-28 place in the finals box** | **√ Yes** | **√ N/A** | **PE** |
| 1. Paper diaries, field notes and inspection books – label clearly with Project ID, dates, sequence numbers, etc. |  |  |  |
| 1. Paper tickets for materials – base, asphalt, concrete, etc. |  |  |  |
| 1. One copy of structural shop drawings |  |  |  |
| 1. CD or USB storage device containing pictures documenting before and after construction conditions, along with any supporting documentation |  |  |  |
| **IV. FINALS RECORDS - continued** | | | |
|  | **√ Yes** | **√ N/A** | **PE** |
| Once **ALL** items in sections A-C are complete give all boxes to PM for review and send a read-only copy of the FieldManager contract to PM. **.** |  |  |  |
| ***SUBMISSION OF THE SEMI-FINAL (SF) ESTIMATE*** | | | |
| 1. Should the retainer be reduced? Project Manager may want to reduce the retainer after verifying with the payroll section there are no outstanding issues, that there are no quantity or deficient material issues. Email CS to reduce the retainer. (see [SWIG 8-75-1](http://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrces/swig/sw-08-75.pdf#sw8-75-1)) | | | |
| 1. **Semi-Final** **is created and sent by the Project Engineer, and then approved by the Project Manager after finals have been reviewed and checked.** When all administrative, quantities, and materials documentation issues are resolved, transfer all of the project records to the Project Manager in the order as described above in sections A-C. **Before the Project Engineer transfers the contract to the PM, PLEASE follow FSUG p 29-31, especially step #3, to avoid losing important FIT data!** | | | |
| 1. Do a final FIT merge & send and transfer the FieldManager contract to PM, only if directed by PM. **Before transferring the contract from the Project Engineer to the PM, follow FSUG p 29-31, especially step #3**. Project Engineer will often keep the contract until the Semi-Final Estimate is returned. (contact the PM for the proper FieldManager ID to do transfer) | | | |
| Project Manager Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: **Click here to enter a date.**  **I hereby certify that all items listed under Section IV Finals Records have been completed and are acceptable and accurate to the best of my knowledge.** | | | |
| **FIELD MANAGER** | | | |
| **Sending a working copy of a contract to another FieldManager Computer**  **- Before the Project Engineer transfers the contract to the PM, PLEASE follow FSUG p 29-31, especially step #3, to avoid losing important FIT data!**  **- PM or Project Engineer, c**heck with Kelly Addison, Madison CS **before sending** your contract to (fmgr050) after Final Estimate has been sent, follow the instructions on p 29-31 of the FSUG. | | | |





