

## **8-1      Introduction**

This chapter discusses key dates of acceptance in a design-build project.

This chapter also discusses the close out and acceptance of final project documentation for both design and construction and defines the responsibilities the Design-Builder has concerning project documentation, and the responsibilities of WSDOT for project documentation and retention of documents.

Section 2.1 requires the Design-Builder to use an electronic Document Control System (DCS) to track and manage project documentation through the design and construction phases of the project. It is a best practice to start the compilation of final design documentation and final construction documentation early in a project. Planning for close out of documentation should start at the beginning of the project.

The Design-Builder is required to establish a close out task force meeting to oversee and provide input on developing design and construction documentation. These meetings begin monthly, shortly after Notice to Proceed (NTP) is given, and continue monthly until Substantial Completion given, and then weekly through Completion. Meeting personnel will include, at a minimum, Project Quality Manager, Document Control Manager, Project Manager, Design Manager and WSDOT Engineer.

## **8-2      Project Acceptance**

### **8-2.1    *Completion and Final Acceptance***

Project Acceptance is when Completion and final acceptance of the contract occurs. Final acceptance is given as the date the Final Contract Voucher Certificate (FCVC) is signed by the Secretary (or designee). The signing accepts that all obligations of the contract are complete and acknowledges the final amount due to Design-Builder. Failure of the Design-Builder to perform all the obligations under the contract shall not prevent WSDOT from unilaterally accepting the contract as provided in Section 1-09.9(2).

The FCVC is part of the Final Estimate Package. The WSDOT Engineer will create and transmit the Final Estimate Package for signature. Refer to *Final Estimate – Contract Acceptance* in SS 1-09.0 of the WSDOT Construction Manual M 41-01 for information on what documents are required in the Final Estimate Package, the transmittal of the package, and who reviews and signs the FCVC.

In order for the project Completion Date to be established, all the physical work on the project must be completed, and the Design-Builder must have furnished all documentation required by the contract. This includes all approved Affidavits of Wages Paid, and the signed FCVC. (**Note:** Establish the Completion Date as soon as the last item of paper work is received.)

WSDOT will give the Design-Builder written notice of the Completion Date of the contract after all of the Design-Builder's obligations under the contract (with the exception of warranty work) have been performed by the Design-Builder. Completion of the contract shall occur within 90 calendar days of Physical Completion. The following events must occur before the Completion Date can be established:

1. The work on the project must be complete pursuant to the contract documents.
2. The Design-Builder must furnish all documentation required by the contract and required by law.

Refer to the Section 1-08.5, General Provisions for more information, and SS 1-08.5 of the WSDOT Construction Manual M 41-01 for more information on Completion.

## **8-2.2 *Physical Completion***

Physical Completion occurs prior to Completion and final acceptance of the contract, and is given when Design-Builder has achieved the following:

- Completed all construction work
- Satisfied all conditions for acceptance by utility owners
- Satisfied all requirements regarding Final Cleanup pursuant to Section 1-04.11, General Provisions
- Furnished the Design Documentation Package and Project File as required in Section 2.12, Project Documentation, and as noted further in this chapter

The Design-Builder will notify WSDOT when all of the above referenced conditions have been met. Upon receipt of the notice, WSDOT will perform final inspection pursuant to Section 1-05.11. Should WSDOT identify any defects or deficiencies in the work, the Design-Builder shall immediately remedy such defects or deficiencies at no additional cost. Upon full compliance with bulleted items listed above, the WSDOT Engineer will give the Design-Builder written notice of the Physical Completion Date for the contract.

Refer to the Section 1-08.5, General Provisions, of the RFP, and SS 1-08.5 of the WSDOT Construction Manual M 41-01 for more information on Substantial and Physical Completion.

## **8-2.3 *Substantial Completion***

Substantial Completion occurs prior to Physical Completion. Before Substantial Completion will be given by the WSDOT Engineer, the Design-Builder is required to notify the WSDOT Engineer that the following have occurred prior to Substantial Completion:

The Design-Builder has completed all site work such that WSDOT and the traveling public have full and unrestricted use and benefit of the facilities from both the operational and safety standpoint, and only minor incidental work, replacement of temporary substitute facilities, or correction or repair remains for the Physical Completion of the total contract.

- The Design-Builder has ensured that all work completed to achieve Substantial Completion has been performed in accordance with the requirements of the contract documents.

- The Design-Builder has ensured that the facilities may be operated without damage to the project or any other property on or off the project site, and without injury to any person.
- The Design-Builder has obtained all design and construction approvals by utility owners.
- The Design-Builder has ensured that the facilities are ready to be opened for public traffic and that remaining work can be completed within single lane or shoulder closures between times given in the RFP, in accordance with the Technical Requirements of the RFP.

Upon compliance with all requirements noted above, the WSDOT Engineer will grant the Design-Builder written notice of the Substantial Completion Date.

Substantial Completion is often linked to contract insurance requirements, therefore the Contract Administration and Payment System (CAPS) Unit of Accountability and Financial Service (AFS) must be notified of the Substantial Completion Date (email to [caps@wsdot.wa.gov](mailto:caps@wsdot.wa.gov)).

Refer to the Section 1-08.5, General Provisions, for more information on Substantial and Physical Completion and SS 1-08.5 of the WSDOT Construction Manual M 41-01.

## 8-3 Close Out of Final Design Documentation

All documentation for design need to be submitted for review in accordance with the Quality Management Plan (QMP), as described in Section 2.28. The QMP includes an organization chart of the Quality Assurance (QA) and Quality Control (QC) personnel for design of the project and their responsibilities along with the lines of authority for each employee.

The final design documents need to reflect the actual condition of the constructed work, to the same degree of detail as the Request for Construction (RFC) documents. It is the responsibility of the Design-Builder to do all work necessary to complete the required documentation for the design and construction of the project, and to obtain WSDOT acceptance of the final project documentation.

### 8-3.1 *Design Documentation Package*

The Design-Builder will prepare a Design Documentation Package (DDP) for the project.

The DDP preserves the major decision documents generated during the design process and is retained for 75 years. The DDP documents explain design decisions, design criteria, and the design process that was followed. In each DDP, a summary (list) of the documents in the DDP is required. The summary (list) is the DDP checklist. The DDP checklist is an appendix to the RFP and can be further discussed in [Chapter 300](#) of the WSDOT Design Manual M 22-01.

The DDP will include signed and approved cover pages of the *Design Approval*. In a design-build project, the *Design Approval* is completed prior to issuing a RFP. A copy of the *Design Approval* can be found in the appendices of the RFP. Environmental documentation completion is recommended to be complete prior to issuing an RFP, if not, it is required prior to Execution.

### **8-3.2 Project File**

The Project File (PF) contains the remaining project documentation that is pertinent to construction, but not necessary to be retained for 75 years. This will include documentation for planning, scoping, programming, design, contract assembly, utility relocation, needed Right of Way, advertisement, award, construction, and maintenance review comments for a project. The PF is completed for all projects.

The PF will include all applicable components identified in the WSDOT *Project File Checklist*, Refer to RFP appendices for *Project File Checklist*, or the WSDOT *Design Manual M 22-01*. Elements that do not apply to the project are to be noted on the checklist with clarifying statements explaining why they are not applicable.

The Design-Builder needs to obtain copies of WSDOT generated information created during the Conceptual Design that may not be included in the original Request for Proposal, but are needed by the Design-Builder in order to complete the DDP and PF items.

The DDP and PF are to be maintained throughout the project by the Design-Builder.

For additional DDP and PF submittal requirements, refer to Section 2.12, Project Documentation, and [Chapter 300](#) of the WSDOT *Design Manual M 22-01*.

### **8-3.3 Project Development Approval**

Significant revisions to the concept design as documented in the *Design Approval* shall be noted and updated in the Project Development Approval (PDA). The Design-Builder is required to submit a draft of the PDA within 60 calendar days of the last RFC design submittal. The WSDOT Engineer will Review and Comment within 25 calendar days. All comments shall be resolved before the PDA is finalized and submitted to the WSDOT Engineer for approval. The WSDOT Engineer's approval is required prior to Completion.

When all project development documents are completed and approved, the PDA is approved. The PDA Approval becomes part of the DDP.

It is a best practice to start the compilation of design documentation early in a project and to acquire PDA before the Completion of the project.

Refer to Section 2.12, Project Documentation; and [Chapter 300](#) of the WSDOT *Design Manual M 22-01* for more information on what needs to be contained in the DPA.

### 8-3.4 Technical Memoranda

The Design-Builder is required to provide technical memoranda that document decisions made during completion of the design regarding components not included in the Mandatory Standards. The memoranda shall be provided with associated preliminary design documents at the task force meetings. Technical memoranda shall be dated, indicate the project title, and include the stamp and signature of a Licensed Professional Engineer. Technical memoranda need to follow the format shown in Section 2.12.

### 8-3.5 Design Analyses

A Design Analysis is a process and tool used to document important design decisions, summarizing information needed for an approving authority to understand and support the decision. A Design Analysis is required where a dimension chosen for a design element that will be changed by the project is outside the range of values provided for that element in the WSDOT *Design Manual M 22-01*.

In design-build contracts, there can be a Pre-Approved Design Analyses prepared and made part of the RFP appendices. If required, the Design-Builder shall update the Pre-Approved Design Analyses by preparing documentation that conforms to the [Chapter 300](#) of the WSDOT *Design Manual M 22-01*, uses the Design Analysis template, and submitting this documentation to the WSDOT Engineer for review and approval. The Design-Builder shall conduct all work necessary to complete the Design Analyses for the project. All Design Analyses shall be prepared by, or under the direct supervision of, a Licensed Professional Engineer. The cover of each Design Analysis shall carry the Licensed Professional Engineer's stamp and signature.

Design Analyses approved after contract award will be addressed in accordance with Section 1-04 of the General Provisions.

Refer to Section 2.12, Project Documentation, and [Chapter 300](#) of the WSDOT *Design Manual M 22-01* for further information.

### 8-3.6 WSDOT Quality Verification Design Documentation

The design document deliverables from the Design-Builder will often be submitted to the WSDOT Engineer in partial submittal packages for review in the months leading up to the contract Physical Completion, when the entire submittal is due. A best practice is to have the WSDOT Quality Verification (QV) teams review and verify those partial submittals as they are submitted, so that the majority of the final submittal at Physical Completion has been previously reviewed and verified.

For some design documentation (i.e. additional Design Analyses is a good example) the WSDOT QV personnel may need to coordinate between the Design-Builder, HQ Design and FHWA to ensure FHWA is appropriately involved in the approval process if the contract has FHWA Federal-aid or Federal oversight.

During the production of these design documents, WSDOT QV personnel may apply the QV Audit processes in their review of the documents to determine if the deliverables meet contract requirement. The CATS Audit System is used to document any such WSDOT audits. Upon final submittal of the Documents, the WSDOT Engineer will need to ensure completeness of the Documents.

WSDOT QV efforts may require locating and providing the Design-Builder with design documents that WSDOT prepared either prior to or during the design-build contract. Therefore, discussions with the WSDOT design team, early in life of contract, on obtaining those design documents can be beneficial for later in the contract.

### **8-3.7 Approval and Retention of Final Design Documentation**

Prior to Physical Completion or termination of the contract, the Design-Builder is required to submit all design documents prepared in the performance of the contract. The final design documents shall include, at a minimum, the following:

- DDP including a copy of the original DA and PDA
- PF
- Updated electronic Micro Station and InRoads files in accordance with the WSDOT *Electronic Engineering Data Standards* (copy in RFP appendices), including all RFC sheets, reference files, and base mapping (topography, including survey updates).

The final design documents need to reflect the actual condition of the constructed work, to the same degree of detail as the RFC documents. The WSDOT Engineer will review the submittal and advise the Design-Builder of their acceptance of the final design documents or will provide comments detailing issues to be resolved. The Design-Builder shall address all comments in a manner consistent with the comment resolution process outlined in the Design-Builders QMP, and then resubmit the final design documents to the WSDOT Engineer. The WSDOT Engineer's approval is required prior to Completion.

Once the DDP is approved by the WSDOT Engineer, the WSDOT Engineer is responsible for assuring the DDP is retained in a permanent retrievable file for a period of 75 years, in accordance with the WSDOT records retention policy.

Once the PF is approved by the WSDOT Engineer, with the exception of the DDP, the WSDOT Engineer can purge the PF when retention of the final temporary construction records are no longer necessary.

Once the PDA is complete and approved by the WSDOT Engineer, it remains valid for a period of 3 years.

## 8-4 Close Out of Final Construction Documentation

### 8-4.1 As Built Plans

As Built drawings should reflect the same degree of detail as the awarded plan drawings or Released for Construction (RFC) drawings. As Built plans are necessary as a way of preserving the historical detail of what occurred on the project. As Built plans can also be used as a basis to plan and design future projects in the same location and to make repairs to damaged structural components or other non-functioning facilities. In addition, State law RCW 19.122.020(23), requires that owners of “underground facilities” be able to locate these facilities within 24 inches of the outside dimensions. As Built plans offer a convenient means for recording these facilities.

Prior to Physical Completion of the contract, the Design-Builder shall update and re-release all RFC plans affected by significant revisions made during construction in accordance with Section 2.28. Revisions to the RFC plans are to be performed by, or under the direct supervision of, the Engineer of Record (EOR). Re-issued RFC plans will need to include the professional engineer's stamp and signature. The As Built plans will reflect the detail of the RFC plans and will be submitted to the WSDOT Engineer for review.

Refer to Section 2.12, Project Documentation, for more information on preparing, compiling, numbering, and marking of As Built plans.

#### 8-4.1.1 Acceptance and Retention of As Built Plans

Once As Built plans are compiled by the Design-Builder, they will be submitted to the WSDOT Engineer for Review and Comment. The WSDOT Engineer will advise the Design-Builder of acceptance or will provide comments detailing issues to be resolved. The Design-Builder will address all comments in a manner consistent with the comment resolution process outlined in the Design-Builder's QMP, and then resubmit the final As Built plans. The WSDOT Engineer's approval is required prior to Completion.

Once the WSDOT Engineer accepts and approves As Built plans from Design-Builder, the WSDOT Engineer will be responsible for submitting As Built plans to HQ Engineering Records for retention.

Refer to Section 10-3.11A of the WSDOT Construction Manual M 41-01 on preparing and submitting As Built plans to HQ Engineering Records.

Retention of As Built plans are stored in ILinx or silverfiled for 75 years at HQ Engineering Record Services.

## 8-4.2 Construction Final Records

All records that are created during the administration of a construction contract can be placed in one of two categories, *Permanent Records*, records kept by the Headquarters and State Archives for future reference, and *Temporary Records*, records kept by the Region for a limited period of time after which the Region discards them.

The Design-Builder is required to conduct all work necessary to provide **construction temporary and permanent final records**.

These records will include field books, inspector's record of field tests, project and inspector's diaries, *Inspector's Daily Reports* (IDR)s, invoices, weigh bills, contaminated material disposal bills, item quantity tickets, receiving reports, project ledgers, mass diagrams, plotted cross-sections, computer listings, working profiles, and any other documents that could be considered a basis of payment for work performed or materials furnished. Section 2.12, Project Documentation and Section 10.3 of the WSDOT *Construction Manual M 41-01* provides further descriptions and examples of temporary and permanent final records.

The Design-Builder is required to submit final records to the WSDOT Engineer prior to Completion or termination of the contract.

The Design-Builder shall prepare and submit final records as shown in Section 2.12, Project Documentation.

### 8-4.2.1 Permanent Final Records

The Design-Builder is responsible to provide permanent final records to be assembled and numbered as required in Section 2.12, Project Documentation prior to Completion or termination of the contract. Section 10.3 of the WSDOT *Construction Manual M 41-01* allows permanent final records to be either paper or electronic.

To submit electronically, two requirements must be met:

1. The project must be in CCIS
2. All final records must be filed electronically

If the Design-Builder chooses to submit electronic permanent final records, WSDOT Information Technology (IT) ECM Support must be contacted to request an Enterprise Management Content (ECM) set-up for use. If the Design-Builder chooses to submit electronic permanent final records, the WSDOT Engineer staff may want to assist the Design-Builder in setting up the ECM by contacting IT by email. The IT email address is given in the ECM User Guide, which is discussed further in this section. Once contacted, IT establishes a directory to deposit the files. The directory contains a folder for each of the eight books, with additional subfolders as needed for each document type. Refer to the ECM User Guide, which is available in folder titled, My Favorites at web address <http://wsdotecm/Portal> for instructions on use of the Electronic of the directory and filing of records. Section 10-3 of the WSDOT *Construction Manual M 41-01* also provides further information on electronic permanent final records.

Section 2.12, Project Documentation provides a list of the numbered permanent final record books. The following provides a short description of those books. Refer also to Section 10-3 of the WSDOT Construction Manual M 41-01.

Final Record, Book 1 is the first book of the permanent final records for a construction contract. It contains indices to the records that have been compiled for both permanent and temporary final records. It also identifies Key Personnel that have worked on the project and provides specific summary information. Final Record Book No. 1 is to be signed by the Regional Administrator or designee. Final Record Book No. 1 should contain a title sheet (DOT Form 422-009) and should be assembled with a semi rigid, water resistant cover.

1. **Index** – Section 1 of Final Record Book No. 1 is the first of two indices within Final Record Book 1. It is an index or detailed listing showing the various sections of Final Record Book No. 1 itself. An example of an index for Final Record Book No. 1 can be found in Figure 10-2 of the WSDOT Construction Manual M 41-01. The second index is actually the first section of the book. It provides a detailed listing of all records that have been kept and assembled for the project, including both permanent records and temporary records. An example of this index can be seen in Figure 10-3 of the WSDOT Construction Manual M 41-01.
2. **Design-Builder Project Personnel List** – Section 2 of Final Record Book No. 1 contains a copy of the listing of all design-build personnel assigned to the project and their classifications. The list should contain the name and classification of managers, supervisors, supervisors, testers, engineers, and any other Design-Builder personnel who were responsible for signing documents or forms or were responsible for decision-making on the project. Each person noted should place their identifying signature and initials after their name on the listing in the same manner as it appears in other final record documents. WSDOT Form 422-001 can be used as a guide in creating a Project Personnel Signature Listing.
3. **Comparison of Quantities** – Section 3 of Final Record Book No. 1. Not required for design-build projects.
4. **Final Estimate Sheets** – Section 4 of Final Record Book No. 1 contains a copy of the Final Contract Voucher Certification (FCVC), which will be prepared by WSDOT and provided to Design-Builder for review and signature.
5. **Contract Estimate Payment Totals** – Section 5 of Final Record Book No. 1 contains a copy of the CAPS report obtained from the final estimate. This document will be given to Design-Builder by WSDOT. See Section 10-3.15 of the WSDOT Construction Manual M 41-01 for further information.
6. **Change Orders** – Section 6 of Final Records Book No. 1 contains a listing of all change orders prepared for the completed project.
7. **Record of Construction Materials** – Section 7 of Final Records Book No. 1 contains a tabulation showing the source of all construction materials. For design-build contracts, this would be a copy of the Design-Builders Record of Materials (ROM). See Section 2.25, Control of Materials for additional information.

When preparing the individual Final Record Books, other than Book No. 1, it is not necessary to label pages within each book. Where it is appropriate, a table of contents may be added to identify sections within a particular book.

### **Project Engineer's Diaries, Book 2**

A complete, well-kept Project Engineer's Diary is a valuable administrative tool. Diaries done by both the Design-Builder and the WSDOT Engineer are filed in this book. See Section 10-3.6A of the WSDOT Construction Manual M 41-01 for more information on what should be included in the Project Engineer's Diary. WSDOT Form 422-014 is available for use for Project Engineer's Diaries.

### **Inspector's Daily Report, Book 3**

IDRs are permanent final records and shall include the key points of record. Each of the Quality Assurance (QA) inspectors shall summarize their daily inspections, tests, and material sampling activities in an IDR, in accordance with Section 2.28. The QA inspectors shall use WSDOT's *Inspector's Daily Report*, DOT Form 422-004, 422-004A, and 422-004B, or a similar form approved by the WSDOT Engineer, to maintain a written record of inspection results, and shall provide copies of the daily reports to the WSDOT Engineer the next business day.

The QV inspector's IDRs will also be filed in this book. The WSDOT Engineer will include or provide to the Design-Builder the QV IDRs for inclusion in this book.

Refer to Section 10-3 of the WSDOT Construction Manual M 41-01 for further information.

Subject to the following, it is acceptable for Quality Assurance (QA) inspectors to produce IDR's by recording information onto a recording device while at the job site for later transcription to a paper format:

1. All information required on the regular handwritten form must appear on the typed version.
2. The QA inspector must read and sign the typed document. (It is desirable for this to take place within 24 to 48 hours of the reporting period. However, it is recognized that certain situations may not permit this time frame and therefore it is not mandatory).
3. The QA inspector may make and initial hand corrections to the typed document.

Please note that inspectors who use lap top computers can also produce electronic versions of the IDR document. The electronically produced document must be complete, including the inspector identification block (the old signature block), consistent with the above criteria.

## Contractor's Daily Report of Traffic Control, Book 4

WSDOT Form 421-040A and 421-040B, Contractor's Daily Report of Traffic Control, are completed by the Design-Builder's Traffic Control Supervisor and included as part of the Project's Permanent Final Records. The Contractor's Daily Report of Traffic Control is discussed in more detail in Section SS 1-10 of the WSDOT Construction Manual M 41-01.

## Pile Driving Records, Book 5

The *Pile Driving Record* DOT Form 450-004 or *Pile Driving Log* DOT Form 450-004A should be included and made a part of the Permanent Final Records. The requirements for pile driving and pile driving records are further detailed in [Chapter 6](#) of the WSDOT Construction Manual M 41-01.

## Post Tensioning Records, Book 6

The *Post Tensioning Record* DOT Form 450-005 should be included and made a part of the Permanent Final Records. The requirements for post tensioning and post tensioning records are further detailed in [Chapter 6](#) of the WSDOT Construction Manual M 41-01.

## Contaminated Material Disposal Bills, Book 7

These records can consist of disposal invoices paid to take contaminated materials.

## Miscellaneous Records, Book 8

- As Built plans
- Completed Shop Drawings
- Section 2.12, Project Documentation identifies key documents for miscellaneous records, however miscellaneous records can also include other optional records that the WSDOT Engineer and Design-Builder feel of significant importance and should be part of the permanent records. Optional records can include correspondence or photographs deemed significantly important such as articles or photographs regarding project openings to public use or dedication. Placing these in the permanent final records will make them a matter of permanent record where they will be retained for future reference.

## Material Certification

At the conclusion of the contract, the Design-Builder shall submit a final Materials Certification Checklist to the WSDOT Engineer. The materials certification is to be signed by the EOR, and the Construction Quality Assurance Manager (CQAM). The Design-Builder may use the *Contract Materials Checklist Form* (DOT Form 350-115) or develop its own checklist with the same information as part of the Material Certification Package. The Materials Certification Package shall include all necessary supporting documentation. This documentation shall consist of all documentation practices used for material acceptance, and an explanation of any deficiencies noted in the checklist. The summary of this documentation shall be organized in an order similar to Division 9 of the *Standard Specifications*.

#### 8-4.2.1.1 Acceptance and Retention of Permanent Final Records

The Design-Builder will submit final records (including all RFC documents) prior to Completion or termination of the contract. The WSDOT Engineer will Review and Comment on the submitted permanent final records and advise the Design-Builder of acceptance of permanent final records or will provide comments detailing issues to be resolved.

If the Design-Builder chooses to do permanent final records electronically once complete and assembled, they are sent to the WSDOT Engineer for review through the ECM. When one group completes their review, the records are locked to that group and are made available to the next. If a reviewer finds issues within the records, comments are added and the records are returned to the previous reviewer. Once all reviews are complete, HQ Record Services are notified by the WSDOT Engineer that the final records for the contract are complete.

WSDOT Engineer will include all QV *Inspector's Daily Reports* in Book 3 of final permanent records if not included by Design-Builder.

The WSDOT Engineer will include all WSDOT Project Engineer diaries in Book 2 of the final permanent records or provide diaries to Design-Builder to include in Book 2.

Once WSDOT Engineer accepts and approves WSDOT Form 422-012 should be completed and affixed to each final record book when submitted with the files to WSDOT Engineering Records for filing. The address for Engineering Records may be found on the most current version of DOT Form 722-025. All final records sent to Engineering Records for filing will be kept permanently as the permanent final records for the completed project.

Retention of paper permanent final records, are sent to WSDOT Engineering Records by the WSDOT Engineer and stored by State Records Center for 75 years.

Retention of electronic permanent final records, are archived and stored electronically in ILink, for 75 years.

#### 8-4.2.2 Temporary Final Records

The Design-Builder is required to collect and submit to the WSDOT Engineer temporary final records. Temporary final records consist of all construction records that are not retained as permanent final records.

If temporary final records are kept in numbered books then, in order to eliminate confusion with permanent final records, these books are to be numbered consecutively beginning with Book Number 9. Refer to Figure 10-3 in the WSDOT Construction Manual M 41-01 for example.

Temporary Records submitted by the Design-Builder will consist of Nonconformance Reports (NCR)s, Nonconformance Issues (NCI)s, Material Certification (shown below), and the documents listed in Section 2.12.

## Material Certification

At the conclusion of the contract, the Design-Builder shall submit a final Materials Certification Checklist to the WSDOT Engineer. The materials certification is to be signed by the EOR, and the Construction Quality Assurance Manager (CQAM). The Design-Builder may use the *Contract Materials Checklist Form* (DOT Form 350-115) or develop its own checklist with the same information as part of the Material Certification Package. The Materials Certification Package shall include all necessary supporting documentation. This documentation shall consist of all documentation practices used for material acceptance, and an explanation of any deficiencies noted in the checklist. The summary of this documentation shall be organized in an order similar to Division 9 of the Standard Specifications.

### 8-4.2.2.1 Acceptance and Retention of Temporary Final Records

All records designated as temporary final records, once reviewed and accepted by the WSDOT Engineer, will be retained by the WSDOT Engineer. The WSDOT Engineer should ensure that those records designated as temporary final records are also assembled as a portion of the overall project final records.

All records designated as temporary final records, will be retained by the WSDOT Engineer for a period of 3 years after which they may be destroyed. If a claim, lawsuit, or other circumstance is found to be pending at the end of this 3-year period, the WSDOT Engineer should further retain those pertinent records until the issues have been resolved. The date for the beginning of this 3-year retention period for State-funded projects is the Acceptance Date; the date the State Construction Engineer signs the FCVC accepting the project. If Federal funds are involved in the project, the date for the beginning of this 3-year retention period is the date that FHWA accepts the final payment voucher. The Headquarters Accounting and Financial Services Division will send a Retention of Records on Federal Aid projects letter to the Region that specifically indicates the retention period.

**Note:** Sources for this chapter were:

- Section 2.1, 2.12, 2.25 and 2.28 of the RFP Technical Requirements
- General Provisions of the RFP
- Close Out Training Module
- WSDOT Construction Manual M 41-01
- WSDOT Design Manual M 22-01
- Discussions with DB Work Group members