

## SECTION 165 Contract Records

### 165.1 General

Contract documents include plans, special provisions, addenda, and standard specifications, among other documents. If there is a question about which document takes precedence over another, the governing order is provided in [standard spec 105.4](#).

#### 165.1.1 Forms

Standard forms are provided for reporting progress on various phases of work and for reporting other activities pertaining to the administration of the contract. Contracts that are administered in the AASHTOWare Project Construction and Materials® will not use several of these forms.

The examples of completed forms have been prepared to cover typical situations. On occasion, it may become necessary to modify a form to meet unique circumstances. Any modifications should be made with discretion and only with the approval of the agency issuing the form. The forms are to be distributed either in accordance with instructions printed on each form or, if instructions are not printed on the form, in accordance with instructions provided in the pertinent procedures of this manual.

#### 165.1.2 Requirements for Records and Reports

The engineer and department representatives under the engineer's jurisdiction are required to maintain accurate and complete records of the work during the administration of a construction contract.

It is of prime importance that measurements and calculations of contract quantities are accurate, records of contract quantities are complete and detailed enough to sustain an audit, and records of activities pertaining to the contract contain sufficient detail and are clear enough to be read and understood by anyone unfamiliar with the contract.

Department personnel should be capable of or should be taught to compute quantities of contract items. The engineer should closely monitor qualification of personnel. A systematic method of making computations by breaking a problem into logical and simple steps, while avoiding shortcuts, should be followed. Emphasis is placed on accuracy, precision, neatness, and completeness. The computations should be made on assumption they must withstand review or analysis in future years.

#### 165.1.3 Records Retention Policies

Construction records are to be created, filed, and maintained as specified in approved WisDOT Records Retention/Disposition Authorizations (RDA). RDAs approved by the department and the Wisconsin Public Records Board constitute required policy for records retention and disposition. Copies of RDAs are available upon request from region records coordinators, or WisDOT staff can view on MyDOT web site:

<https://wigov.sharepoint.com/sites/dot/forms-docs/Pages/DTSDWisDOTApprvdRDAsbyDiv.aspx>

The engineer provides direction to contract specialists, field personnel, and all involved parties to organize and maintain project records consistently throughout the project. Personnel are encouraged to file records as they are created or received into separate file folders as prescribed in current RDAs. Suggested folder labels include the following key identifiers, including RDA # and title. See examples below:

- RDA 186A: Paper "As Built" Highway Plans File
- RDA 381: Construction Project Engineer's & Inspector Diary - Paper
- RDA 410: Region Construction Contract & Project File
- RDA 350A: Hazmat Assessment Remediation Project Case Files - WisDOT Hazmat Responsible Party
- RDA 350: Hazmat Assessment Remediation Project Case Files - WisDOT Not Responsible Party

As needed, personnel may need to set up additional file folders for subcategories of records within each RDA. Include Project ID and RDA # on these folders as well. See RDA description for folder organization suggestions. For example, for the RDA 410: Region Construction Contract & Project File, create subfolders with the following headings:

- Contract Modifications
- Invoices & Payment Detail
- Erosion Control Implementation Plan (ECIP)
- Project Correspondence
- Construction Project Field & Finals Records
- Structures Project Records
- Materials Project Records
- Source Documents
- Pictures and Videos

See RDAs for complete descriptions of records contents and requirements for retention and disposition. Do not mix files and records with different RDA numbers. Do not mix files and records with different retention and dispositions.

Special circumstances that develop or become apparent after acceptance of the work may necessitate an extension of retention policies specified in the particular RDA. For example, a potential lawsuit arising from a project-related traffic accident would require extending the retention period for plans, diaries, and photographs that provide information about the traffic control status at the scene of the accident. Pending open records requests, audit proceedings, and pending RDA changes are other circumstances that require the department to place a hold on records disposition.

## **165.2 Progress Schedule**

### **165.2.1 General**

When required by the contract, the contractor must prepare [DT1997](#) Progress Schedule and submit the completed form directly to the region office at least 14 days before the preconstruction conference. An example of the completed form is shown in figure 165-1. The instructions for filling out the form (page 2 of DT1997) are shown in figure 165-2.

FIGURE 165-1 Example Progress Schedule, DT1997

Wisconsin Department of Transportation  
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### PROGRESS SCHEDULE

DT1997 2/2006 (Replaces EC707)

Project Id 8170-04-71	Name of Road Westfield - Norway	County Sawburn	Hwy. No. 70	Contractor Good Roads Construction
Contract Time 60 <input checked="" type="checkbox"/> Working Days <input type="checkbox"/> Calendar Days	Estimated Start Date 5/16/2002	Estimated Completion Date 8/1/2002	Prepared By P.D. Cue	Date 3/5/2002

1. The contractor shall submit a copy of the progress schedule to the Region's Project Manager prior to beginning work and 14 days prior to the preconstruction conference. At any time the work falls behind schedule, the Contractor shall submit a revised schedule, if requested by the Engineer.

2. Bar graphs shall be drawn chronologically in the sequence the work will be performed to depict the progress schedule. On working day contracts, the controlling item must be identified.

Work Items or Operations	Quantity & Units	Est. Daily Production	BAR GRAPH LEGEND												Proposed Actual			
			Month	Week of	5/16	5/23	5/30	6/6	6/13	6/20	6/27	7/4	7/11	7/18				
Clearing	52 Sta.	5	<input type="checkbox"/> Month	<input checked="" type="checkbox"/> Week	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Excavation	31,320 CY	1,200			5	5	5	5	5	5	5	5	5	5	5	5	5	5
Borrow	10,556 CY	1,000			5	5	5	5	5	5	5	5	5	5	5	5	5	5
Misc. Drainage Structure					5	5	5	5	5	5	5	5	5	5	5	5	5	5
Base Course	37,100 TON	2,500			5	5	5	5	5	5	5	5	5	5	5	5	5	5
Asphaltic Conc. Pavement	57,860 TON	3,000			5	5	5	5	5	5	5	5	5	5	5	5	5	5
Pavement Marking					5	5	5	5	5	5	5	5	5	5	5	5	5	5
Topsoil	64,500 SY	3,000			5	5	5	5	5	5	5	5	5	5	5	5	5	5
Landscape Items					5	5	5	5	5	5	5	5	5	5	5	5	5	5

**FIGURE 165-2 Instructions for Filling Out DT1997**

1. **General.** A comprehensive progress schedule can be a valuable asset to the contractor as well as the engineer in identifying, at an early date, a rate of progress that will not result in completion within the contract time. In working day contracts, the progress schedule is also necessary to determine the controlling item for which to charge working days. Therefore, the contractor must prepare the progress schedule so that it will accurately reflect the sequence of operations and realistic production rates for the various items of work.
2. **Controlling Item.** The controlling item is one that must be partially or wholly completed to allow progress essential for the completion of the work within the contract time. The contractor must identify, by using the legend shown on the front of the form, which item is controlling at any time. The controlling item may be a bid item or a portion of bid items (such as at a particular location), or it may be an operation, such as painting or clean-up. An item may be controlling for a period, then be non-controlling for a time, then again become controlling.
3. **Estimated Working Days Per Month.** This will vary depending on the type of work and the time of the year.
4. **Estimated Daily Production.** The value entered in this column should be the daily rate of production proposed by the contractor during each period that the item is controlling.

See [standard spec 108.4](#) for information on relationship bar charts (RBC) and critical path method (CPM) progress schedules.

The region will review the schedule and approve if acceptable. Schedules that lack detail, offer unrealistic rates of progress, show unacceptable coordination of interrelated operations, or other problems will be returned for revision and resubmittal.

If construction falls significantly behind schedule, the engineer should consider requesting a revised schedule from the contractor.

#### **165.2.2 Acceptance of Progress Schedule**

Answers to the following questions must be YES, before a progress schedule can be accepted.

- Was it submitted to the engineer 14 calendar days before the preconstruction meeting?
- Does it include activities that describe essential features of the work and activities that might potentially delay contract completion?
- Does it include activities that are controlling items of work?
- Does it identify the contemplated start and completion dates for each activity?
- Does it provide a duration, ranging from one to 15 working days, for each activity?
- Does it provide the sequencing of all activities?
- Does it provide the quantity and the estimated daily production rate for controlling items of work?
- Does it include a narrative that lists the work-days per week?
- Does it include number of shifts per day and hours per shift?
- Does it include department-specified holidays?
- Does it provide the estimated number of adverse weather days consistent with the monthly anticipated adverse weather days?
- Does it show completing the work within interim completion dates?
- Does it show completing the work within the specified contract time or completion date?

#### **165.2.3 Progress Payments**

Until the engineer accepts the progress schedule, the department will not make progress payments, with the exception of payments for the value of materials stockpiled on the job or specifically earmarked for the job, as specified in [standard spec 109.6.3.2](#).

### **165.3 AASHTOWare Project Construction and Materials**

This web based application has a unified database combining data from the design estimate stage through construction contract administration. The application provides the means to administer a construction contract including the creation of Daily Work Reports (DWRs), engineer's diaries, change orders and payment estimates plus the ability to summarize and report project specific, contract specific, and performance measure information. The system is accessible by department staff and contractor representatives. Instructions on how to use this web based application including training and support are provided by the BPD Design and Construction Technologies section on the AASHTOWare Project Knowledge Base (AWPKB) web site at:

<https://awpkb.dot.wi.gov/Content/Default.htm>

Additional support is provided by contacting AASHTOWare Project Administrators at:

[AWPSupport@dot.wi.gov](mailto:AWPSupport@dot.wi.gov)

### **165.4 Materials Reporting System / Materials Tracking System / Materials Information Tracking**

The department's Materials Reporting System (MRS) software allows contractors to submit selected material testing data to the department electronically, estimate pay adjustments, and print reports. Qualified personnel may obtain MRS software from the department's materials system vendor web site at:

<http://www.atwoodsystems.com/>

The department's Materials Tracking System (MTS) and Materials Information Tracking allow project staff to administer construction materials testing, reporting, and documentation

Each region and the BTS, Materials Management section offer training and support services. Web and software support is provided at: [support@atwoodsystems.com](mailto:support@atwoodsystems.com)

### **165.5 Pantry**

Personnel may use various customized statewide and region spreadsheets and forms known as "Pantry" to perform various computations for quantities, mix design, and tracking of project items. Review computations before payment. Pantry also contains a collection of statewide manuals and guides to assist personnel in the proper administration of a construction contract throughout its lifecycle. Pantry spreadsheets, forms and manuals are located on the AWPKB website at:

<https://awpkb.dot.wi.gov/Content/constr/Pantry/Pantry.htm>

### **165.6 AASHTOWare Project Construction and Materials**

This system is used to electronically administer construction contracts. Contract administration includes the entry of daily work reports, engineer's diaries, item quantity usage, change orders, and pay estimates.

#### **165.6.1 Administrators**

##### **Project Engineer**

The name of the project leader for the contract. This field is required for all contracts and is selected from a list of approved AASHTOWare Project Construction and Materials® system users.

##### **Project Engineer Office**

The employer of the project engineer for the contract is selected from the vendor reference table. The selection can either be a consultant firm or WDT000 – WisDOT for department employees.

##### **Project Manager**

The name of the project manager for this contract. This field is required for all contracts and is selected from a list of approved AASHTOWare Project Construction and Materials® system users.

##### **Supervisor**

The name of the supervisor for this contract. This field is required for all contracts and is selected from a list of approved AASHTOWare Project Construction and Materials® system users.

#### **165.6.2 Site Times**

Site times are applicable to construction and maintenance work under the following conditions:

- Contracts let to bids.
- Work performed by counties or other agencies under negotiated agreements.
- Railroad or utility contracts or agreements
- Contracts involving site clearance, marking and signing, planting, or similar items.

Using site times is not applicable to contracts or agreements covering purchase of materials, preliminary or construction engineering services, soundings or material investigations, appraisal, or other similar service contracts.

A contract may have several site times associated to it. The "00" site is associated to the whole contract regardless of multiple projects in a contract. Subsequent sites are related to special provisions in the progress and prosecution of a contract that may have interim time and damages associated to them. These site damages can only be assessed in full days.

The site time is the contract completion time for a contract. The three types of contract completion time are:

- Completion date contract.
- Working day contract.
- Calendar day contract.

The time charges start date and time charges stop date must be filled in for all three types of contracts.

#### **Time Charges Start Date and Time Charges Stop Date**

Daily time charges are controlled on the contract through the AASHTOWare Project Construction and Materials® diary. For a completion date contract, the time charges start date does not influence liquidated damages at the end of a contract. The actual contract completion date is used with the time charges stop date to assess liquidated damages.

For a working day contract the time charges start and stop date are used to establish when the working day charges will begin and end on the contract.

For a calendar day contract, you need to fill in a time charges start date 10 or less days before the notice to proceed date, or the site time charges will be assessed automatically 10 days after the notice to proceed date. The time charges stop date along with the number of calendar days charged is used to assess liquidated damages. Please note time charges after the first estimate to ensure that time is starting and stopping as intended.

The time charges start date will show the date of the start of contract time. It will be the date on which work under the contract of a controlling item was started; or the date ten days after the date of notification to proceed or of final execution of the contract; or the starting date, if given, in the contract special provisions; or the notice to proceed written notification, whichever is earliest.

Contract time charges are excluded for activities occurring before and after the major operations of the contract. The time charges start date can be influenced by activities that are indirectly related to actual construction processes. The activities performed before the start, resumption of, or after the suspension or completion of actual construction are not considered controlling items to be charged as contract time, so they should not be used as a start date for contract time. These activities include:

- Construction staking, initial layout before grading work begins.
- Move-in of equipment by the contractor.
- Clearing, grubbing, stripping, and subsequent final clean-up of aggregate pits or quarries, and borrow or subbase pits.
- Delivery, installation, and removal of temporary traffic control devices.
- Exploratory digging of test holes.
- Construction, maintenance, and subsequent obliteration of access roads to pits or quarries.
- Setting up and dismantling of crushing, asphaltic, or concrete batching or mixing plants.
- Preliminary blasting or crushing for test samples.
- Watering sod, when performed after completion of all sod replacement, and all other construction work is completed. The 10-day watering requirement remains in effect, however.
- The production of aggregate stockpiles when no other work is in progress nor has been ordered to start.
- Repairs to equipment performed at the work site before the start of work, during official suspension, or after contract work is completed.
- Curing and protection of concrete after all other construction work is suspended or completed.

#### **165.6.3 Site Events**

Site events are used to document the suspension or resumption of a contract. Site events should reflect only those changes in actual job activity that are provided for under the provisions of the contract or are authorized by change order.

Suspension and resumption of work must be filled in when a change in the status is directly related to a charge of contract time. This is generally the case in connection with contracts let to bid, and only when suspension of work and contract time is permitted in the contract or authorized by a change order. If allowed, use the "Suspend Available Time Charges" and "Resume Available Time Charges" fields only on

the main contract site time records for working day contracts that must be carried over the winter months with no work activity.

## **165.7 Traffic Impediments**

### **165.7.1 General**

Engineers are required to enter traffic impediment information if a closure or restriction, as defined below, occur on a highway project:

1. Closure
  - Detour of all or any part of a project.
2. Restriction
  - Lane restriction: If any lane is closed.
  - Width restriction: Any highway project where the lane or shoulder width is less than what is listed in the STN log.
  - Height restriction: Any highway project where the available height along the roadway is decreased from its current clearance.
  - Weight restriction: Any highway project where the maximum weight is less than what is currently posted for the project.

### **165.7.2 Reporting Impediments**

All closures and restrictions are required to appear on the statewide construction map found at the following link:

<https://wisconsin.gov/Pages/travel/511/511.aspx>

The closures will appear in the Wisconsin Lane Closure System (LCS) used by region staff, the DMV Oversize Permits unit, State Patrol, and others throughout the DOT. In order for the closure or restriction to appear on the statewide construction map and be available for the DMV oversized/overweight permitting system in time, LCS data should be entered at least two weeks in advance by 10 am on Mondays. If you are unable to meet the two-week requirement, you must contact the DMV oversized/overweight permitting section before creating your traffic impediment record.

Access to LCS is available at:

<http://transportal.cee.wisc.edu/closures/>

The user manual for LCS is also available at the above site.

## **165.8 Daily Work Report (DWR) Item Postings**

Prepare the Daily Work Report (DWR) using AASHTOWare Project Construction and Materials®. Instructions in use of the system are in the user manual available on the AWPKB site How to Administer a Construction Contract at:

<https://awpkb.dot.wi.gov/Content/constr/LETContract/HowToAdminConstrContract.htm>

Begin the item logging as soon as work is started. For most items, make entries daily. For certain items it may be more efficient to make entries on a weekly basis or just before preparing a construction estimate. Use inspector's diaries, plant books, survey books, and other records used as source documents to obtain the quantities. For items such as excavation, base, and surface course that normally require many days for completion, you will require several sheets for recording.

Reference DWR posting to the source documents by a brief note in the Remarks field as these examples illustrate:

- If the source document consists of measurements and computations on 8-1/2" X 11" sheets, the note in the Remarks field could be "See source document sheets \_\_\_\_\_ through \_\_\_\_\_."
- If weigh tickets are the source, the remark could simply be "See weigh tickets."
- If the DWR quantity entries are from a field book, the remark might be "See page \_\_\_\_ of Asphaltic Plant Book."
- For items such as Finishing Roadway, which are entered in the DWR without being transferred from another source, specify "Direct Entry."

It will be impractical to measure certain items accurately as the work progresses therefore, enter quantities based on estimates. Excavation items generally fit this category. Base the estimates on inspectors' load counts, representative cross-sections, or visual checks of completed sections. A weekly estimate of item quantities as determined by these methods will be sufficient. Record the method used for estimating in the "Remarks" column.

After completing final quantity calculations and preparing the final estimate, make the DWR part of the contract records by printing an electronic copy of the "Item History to Date Report from the Global Actions Menu within AASHTOWare Project Construction and Materials®."

## 165.9 Final Project Documentation

Upon completion of the contract, construction field personnel are required to turn in certain documents, forms, records, and reports developed or received during the life of the contract. For contracts administered in AASHTOWare Project Construction and Materials®, field personnel may turn in materials documents in electronic format, as specified in the RDAs covering those records "Finals" documentation requirements need to be based on current RDA descriptions and retention/disposition requirements. Finals records provide consistent contract documentation in all WisDOT regions with records retention authorization (RDA #) and title noted.

- RDA 186A - *Paper "As Built" Highway Plans File* - see procedures in [CMM 165.12](#) AS-BUILT PLANS
- RDA # 381: *Construction Project Engineer's & Inspector Diary - Paper*
- RDA 381A: *Construction Project Diary & Inspector's Daily Report - Electronic Data*
- RDA 410: *Region Construction Contract & Project File*  
See detailed list of typical Construction Project Field & Finals Records: Structures Project Records: Materials Project Records: Source Documents: Pictures and Videos; and Other Field Project Records such as Releases, close out records: construction permits; temporary limited easements (TLE); etc.
- RDA 148: *FieldManager™ Construction Contract Detail - Electronic Data*
- RDA 129: *Construction Contract Project Data - FIT Data*

Field personnel may submit certain required records in electronic format, including those forms listed below:

**TABLE 165-1 Electronic Forms**

<a href="#">DT1315</a>	Piling Record
<a href="#">DT1924</a>	Pile Driving Data
<a href="#">DT1926</a>	PCC Plant Automatic Controls Check
<a href="#">DT1347</a>	Weekly Force Account Cost Record
<a href="#">DT1925</a>	Sublet Request
<a href="#">DT1997</a>	Progress Schedule
<a href="#">DT2220</a>	Determination of PCC Field Batch Weights
DT1310 <sup>[1]</sup>	Certificate - Materials Used on Highway Project

<sup>[1]</sup> Only available electronically in MIT or MTS. Instructions for accessing and using the DT1310 form are available at:

<https://wisconsindot.gov/Documents/doing-bus/eng-consultants/cnslt-rsrcs/tools/qmp/mtguide.pdf#dt1310>

## 165.10 Preservation of Records

The State Public Records Board has approved policies for retaining records and reports relating to construction contract administration in RDAs noted in [CMM 165.1.3](#) Records Retention Policies above. RDAs specify required retention and disposition of records. They also provide direction for maintaining records in alternative formats, including microfilm, scanned images, and electronic databases. When/if records are maintained in electronic format, the department must also comply with the provisions of Chapter ADM 12: Wisconsin's Electronic Records Administrative Rule in order to ensure continued access to the record for the duration of the retention period.

The retention policies specified in RDAs approved by the Wisconsin Public Records Board meet standards defined in the FHWA's Highway Program Manual for the retention of records relating to federal aid contracts. See RDA # RDA 410: Region Construction Contract & Project File.

The retention periods provided in RDAs are minimums. Special circumstances that develop or become apparent after acceptance of the work may necessitate an extension. Place a hold on records disposition and do not destroy any records if/when any of the following occurs:

- Open records request for the records under s. 19.35(5), Wis. Stats. (Open Records Law).
- Audit involving these records has commenced.
- Litigation involving the records. For example, a potential lawsuit arising from a project-related traffic accident would require extending the retention period for plans, diaries, and photographs which provide information about the traffic control status at the scene of the accident.
- RDA amendments under development.

DOT Records personnel, auditors and General Counsel will provide notice when the records disposition restriction is lifted.



## 165.11 As-Let Plans

For all improvement program projects, a copy of the as-let plan is available for WisDOT staff only at: N4 Public (\mad00fph):\Bhc\Let.

Local force account projects (negotiated agreements, service and supply, and cost reimbursement projects) will not have an as-let plan available. If a plan set is not available, please contact the Bureau of Project Development at (608) 266-1020.

Note that a project plan set might come one of two ways: (1) Several projects may be bid as one contract, and there may be only one title sheet for a plan set or (2) there may be several title sheets per contract.

1. If the contract only has one title sheet for multiple projects, scan the project with the lowest project ID as a whole set. For the project ID with a higher number, scan only the title sheet as an as-let, find the lowest project ID, and look at the lowest project to view the actual plan.
2. If the contract has multiple plan sets associated to it, separate the plan set into each individual project and scan with the appropriate title sheet.

## 165.12 As-Built Plans

### 165.12.1 Engineer Responsibilities

Upon project completion, the project engineer submits an electronic as-built plan. Changes from the as-let plan that were built into the project should be recorded in red using Adobe Acrobat Professional or equivalent software. Do not scan field notes to create the digital as-built plan.

It is critical that the project engineer note all changes as a project progresses. A working as-built copy may be kept and transferred to Adobe at the end of a project or the changes can be recorded directly in Adobe as work on the contract(s) continues. Using either method it is important to work on the as-built while the job is progressing, so changes can be entered while they are still fresh in your mind.

Follow your regions process when submitting the electronic as-built file. Do not password protect the electronic file that is turned into the region.

Note a plan set might come one of three ways:

1. One project may be bid as one contract, and there would only be one title sheet for a plan set. This is a whole set and only one as-built needs to be completed.
2. Several projects may be bid as one contract, and there may be only one title sheet for a plan set. This is a whole set and only one as-built needs to be completed.
3. Several projects may be bid as one contract but there may be individual plan sets, each with a separate title sheet. If the contract has multiple plan sets separate them and create an as-built for each project.

Use the correct project identification Number (ID) for labeling the as-built pdf file: 1234-56-78AsBuilt.pdf (If there are multiple projects label the file using the lowest project id).

When the project includes structure plans, use the PDF editor tool to copy all structure sheets in section 8 of the plan into a new PDF file named 1234-56-78AsBuiltStructure.pdf, where 1234-56-78 is the primary project ID. Do not remove the structure sheets from the complete as-built. A copy of the title sheet (with all markups) should be inserted as the first page of the newly created structure file. Add the word STRUCTURE in red text on the title sheet above the as-built plan text box.

An as-built should be prepared for structures that have the following affixes in their structure ID.

- B: Bridges
- C: Culverts
- P: Bridges with no plans (included for 'Rehab' only)
- S: Sign Bridges
- R: Retaining Walls
- M: Miscellaneous
- N: Noise Walls.

It is the responsibility of the project engineer to insert any addendum or replacement sheets into the electronic file with new electronic file sheets. To do this, renumber them similarly to the original plan sheet.

For example, "Revised Sheet 5" would replace sheet 5. However, all original sheets must remain in the as-built. If the sheet has been replaced cross it out with an x and indicate the number of its replacement sheet. If additional sheets were added insert them in the logical location and label them with the previous sheet number followed by an "A", "B", "C", etc.

Note the sheet changes on the title sheet under the ORDER OF SHEETS. The title sheet of the as-built plan should include the following (see figure 165-4: Example As-Built Plan Sheet):

- List of sheets revised and update the total number of sheets.
- Subcontractors list.
- As-Built Plan text box as outlined in the following paragraphs.

For the "As-Built Plan" box add a red text box on the title sheet, centered in top margin. The text size and properties should be; Font: Arial, Style: Solid, Border Color: Red, Opacity: 100%, Thickness: 1pt, Fill Color: No Color.

AS-BUILT PLAN Font size 24  
 STRUCTURE (if included) Font size 24  
 SUPERVISOR: Font Size 10  
 PROJECT ENGINEER: Font Size 10  
 PROJECT MANAGER: Font Size 10  
 PRIME CONTRACTOR: Font Size 10  
 CONSTRUCTION STARTED: Font Size 10  
 SUBSTANTIALLY COMPLETE: Font Size 10

**AS-BUILT PLAN**  
 SUPERVISOR: Steve Noel  
 PROJECT MANAGER: Bill Bertrand  
 PROJECT LEADER: John Spielmacher  
 CONTRACTOR: Vinton Construction Company  
 CONSTRUCTION STARTED 4/20/11  
 SUBSTANTIALLY COMPLETE 9/10/11

For changes or additions to the as-built use *Arial Font 10 and line thickness 1pt* unless it requires creative customization. In most cases you will not add a text box because the changes should fit in with the original labeling on the plan. Line out or cross out changed information and type the corrected information above the original or as close to it where ever possible. Use blank spaces on the plan so notes are not superimposed. Urban plans or those with excessive detail may require an alternate approach. Numbered changes or additions may-be shown on supplemental non-plan sheets.

To indicate other additions, use the clouding tool text box appearance may be changed to this line feature.



If there are no corrections or additions to the as-let put "NO CHANGE" in red text on the title sheet with other required as-built information.

If there is a Right of Way Plat (R/W) included in the plan a note must be added to the first page of Section 4, Sheet No. 4. Quite often the R/W plats are revised after the plan has been completed. The official right-of-way plat information is recorded at the County Register of Deeds Office. For WisDOT's most current information, the R/W Plat can be viewed on DOTView under the Real Estate Project ID. This information is managed by the regional Right of Way Plat Coordinator.

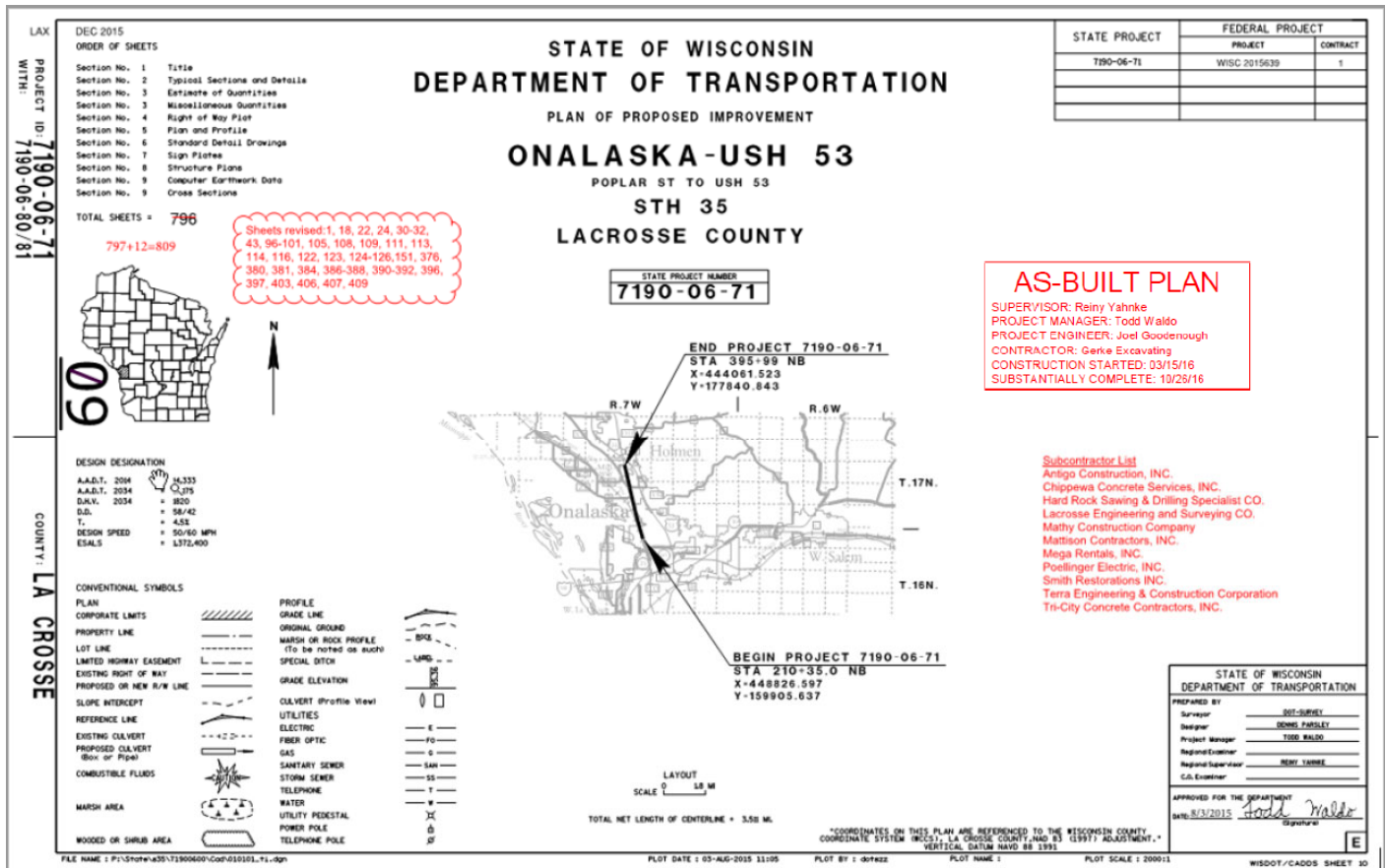
On the first sheet of section number 4, Sheet No. 4 in a blank space where it can be easily read add a red text box including the note: The most current Right of Way information should be viewed in DOTView using the Real Estate Project ID. The Plat information contained in this as-built Plan may not be the final records. Configure the properties as follows. Font: Arial, Style: Solid, Border Color: Red, Opacity: 100%, Thickness: 1pt, Fill Color: No Color, *Font size 16*

The most current Right of Way information should be viewed in DOTView using the Real Estate Project ID. The Plat information contained in this As-built Plan may not be the final records.

Do not include any of the following changes:

- Miscellaneous Quantities and Estimate of Quantities sheets.
- Every last grade or grade change. Just show the new LC, PC, PI and PT.
- Changes to the right of way sheets.

FIGURE 165-3 Example As-Built Plan Title Sheet



### 165.12.1.1 Highway Plans

For highway plans include the following notes on the title, plan sheets, and cross section sheets as applicable. Use this listing as a base and revise it to fit the individual project needs.

- Grade changes, changes in elevations for footings, culverts, manholes etc. Just show new LC, PC, PI, and PT.
- Relocated private and field entrances.
- Changes in size and location of culvert pipes.
- Undercut areas.
- Location of drain tiles found under drain tile exploration.
- Omissions, errors and discrepancies discovered during construction.
- Features added, revised, or deleted by change orders.
- Corrected or new bench marks. Cross out those that no longer exist.
- Locations of borrow pits common to the mainline.
- Changes to drainage.
- Project reference ties and land ties placed during construction.
- Relocated or added utilities spanning the highway, and those located underground.
- Material type, size, and manufacturer where optional materials are allowed by specifications.
- Final dimensions, elevations, details, sizes, numbers, lengths, locations, etc., if different from the original plan.

### 165.12.1.2 Structure Plans

For as-built structure plans include these notes on the title and detail plan sheets as applicable. Consider this listing as a base and revise it to meet individual project needs.

- Add the word STRUCTURE in red text on the title sheet above the as-built plan text box.
- Correct or new bench mark disk locations and elevations.
- Added or relocated utilities. Locate on the plan sheet and on the detail sheet if hanging from the superstructure.

- Changes in piling type.
- Added or relocated piles, location, type and length.
- Expansion joint type when options are allowed. Indicate the size and manufacturer. Cross out reference to joint types not used.
- Revisions, additions and deletions per change order.
- Final dimensions, elevations, details, sizes, lengths, numbers and locations if changed from plans.
- Controlling vertical clearances to the highway.
- Plain and protective surface treatment color, type, and manufacturer.
- Size of riprap or other countermeasures to counter scour.
- Underwater problems encountered that may reoccur.
- Top of water elevation together with date taken.
- Vulnerability to scour code obtained from bridge designer.
- Profiles and cross sections of streambed upstream and downstream.
- Angle of water attack relative to pier or abutment line.

### 165.12.2 Region Responsibilities

When the asbuilt and structure file is completed, DTSD has identified a standard location to place the completed asbuilts in cloud storage system, Box.com. Completed asbuilts will be placed in the DTSD-Projects-Public construction id folder. Each construction id project folder has an identified 12345678\plan\asbuilt folder. If this location has not been shared, such as with consultant or work-share staff assigned to the project, the project manager for the given project should be notified. They will send out a Box invitation to allow access to upload the asbuilt.

Once received, the as-built plans will be verified by the region record coordinators and processed for access via DOTView. These automated tools also transfer any structure PDF files to the designated BOS location. The electronic as-built in DOTView is WisDOT's official record.

BOS will process the structure plans submitted by the record coordinators. This will make them available to internal and external DOT users by using the Highway Structure Information system (HSI). A WAMS username and password is required to access the HSI system. The link to HSI is:

<https://trust.dot.state.wi.us/hsi/HSIController>

Do not submit contracts having more than one project until all projects and structure PDF files have been completed.

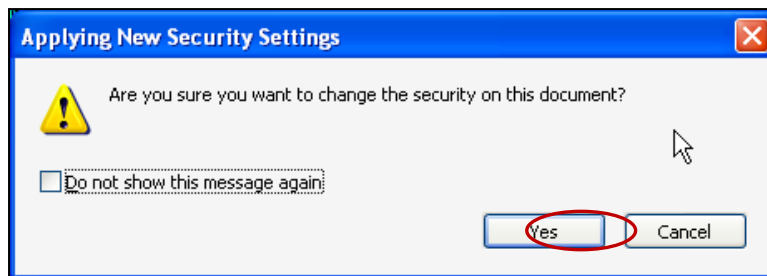
### 165.12.3 Bureau Of Project Development Responsibilities

The Bureau of Project Development (BPD) project services section is the custodian of the as-let and as-built data.

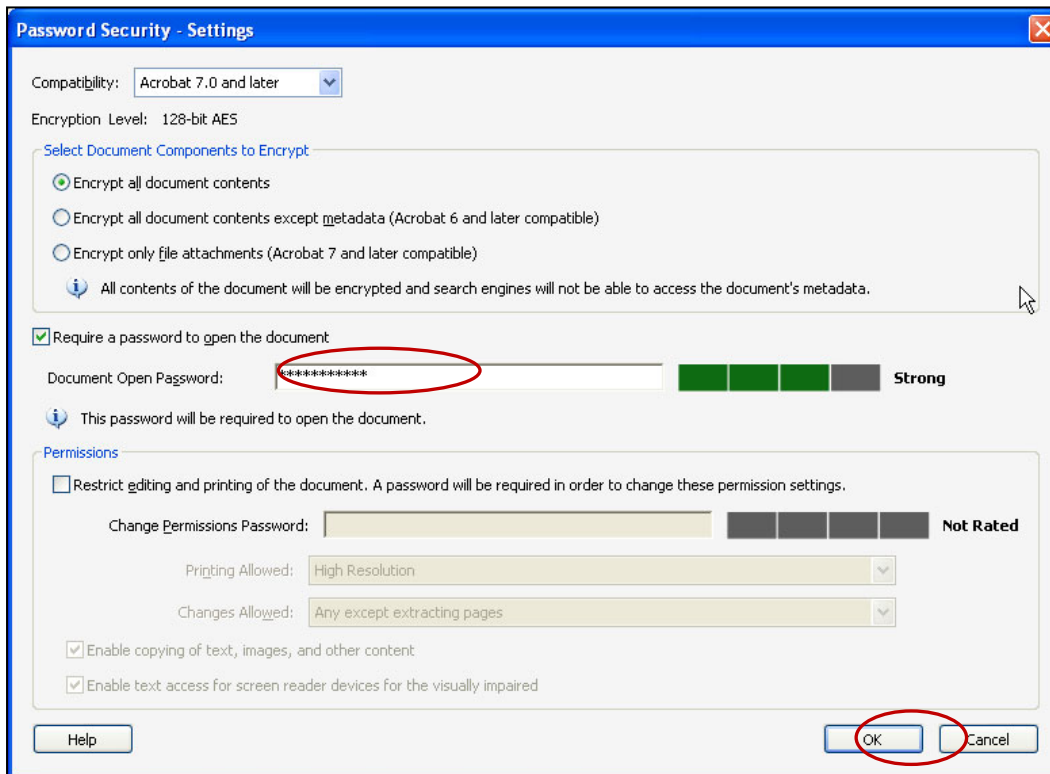
### 165.12.4 Local Municipality and other As-Built Distribution

If a local municipality or other outside source has an interest in obtaining an as-built before processing in DOTView the request should be routed through the project engineer or regional office contract specialist. Since the as-builts are submitted to the region as unprotected files, the following must be completed to send a protected digital copy to the requestor.

To protect an "As-built" file in Adobe go to the pull-down menu: After Advanced/Security/Password Encryption/ answer "Yes".



After answering "Yes" you will need to configure the Password Security - Settings. In the Permissions area Select the box to "Restrict editing and printing of the document. A password will be required in order to change these permission settings". Use "as-built" for the Change Permissions Password.



Configure the security as shown; make sure you indicate that printing is allowed. No changes are allowed but copying of text, images, and other content is. Once you have saved and protected a file, verify that the protection is functioning.