

## **VOLUME X**

### **CHAPTER 1**

#### **RECORDS MANAGEMENT GUIDELINES**

Managing records generated is at least as important, if not more important, as designing and constructing facilities and projects in the Program. Well managed records are important for a number of reasons, some of which are:

- Reconstruct events, which created the project as designed and/or as constructed. This includes conceptual design, predesign, detailed design, design criteria and value engineering to name a few. This information may be helpful in determination later on, if required, as to who is responsible for what and how and with whose actions, specifically, the project, as designed and constructed, was created.
- Readily available and retrievable information is important for maintenance, upgrading and expansion of the facilities and projects in later years. This includes structural, mechanical, electrical and other calculations, sketches and drawings, which provide key information for maintenance, upgrading and expansion of these facilities.
- Information is important for future construction activities, whether by private or public enterprises, to proceed without interference with existing buried utilities. Lack of this information can seriously delay and hamper these future development activities and, in a worst case scenario, can be a source of costly litigation by such developers.

The major components of the Metropolitan Wastewater Department (MWWD) records management system include both the hard copies and electronic files of all the information— correspondence, reports, drawings, specifications, calculations, minutes of meetings, Clean Water Program Guidelines, contracts, daily construction progress reports, change orders, clarifications issued, field orders and deviations etc., etc. In essence, every document required to recreate and reconstruct events which led to the development of the project as designed and constructed comprises MWWD record and is, therefore, covered by these Guidelines.

#### **1.1 OVERVIEW**

The MWWD owns the documents generated by Design Consultants, Construction Managers, and Contractors for MWWD projects. The MWWD requires that all documents and their locations must be known and identified. MWWD Records Management Unit (RMU) should have knowledge of the existence of each document and

its location, however, it is not required that RMU should have all documents in its possession at all times. Therefore, it is absolutely important that: (1) the RMU should be copied all correspondence generated by staff within MWWD, (2) documents generated by outside agencies (e.g., consultants, construction managers, etc.) shall be routed to MWWD staff via the RMU. For example, if a consultant is to transmit drawings (whether partially complete or fully complete) to a specific project manager within MWWD, it shall do so via the RMU, and the RMU, on its part, will log this submittal and forward it to the specific project manager and others on the distribution list. By keeping the RMU in the loop, the location of any document at any time is known, and depending upon the nature of the document, a copy of every document is centrally available at all times. Building on the same theme, if a DESIGN CONSULTANT were to personally bring a document (say a submittal required under its Contract) and hand deliver it to the project manager or project engineer within MWWD, the project manager or project engineer must first take it to the RMU for recording, logging and distribution before taking any action on the submittal.

## 1.2 PURPOSE AND SCOPE

The Records Management Guidelines define the responsibilities of related organizations and entities for collecting, identifying, storing, and maintaining the records developed by or on behalf of MWWD.

The following is a generic list of documents covered by the Records Management Guidelines, but shall not be considered an all inclusive list:

- All correspondences
- Design Documents (drawings, specifications) and the documents supporting the design or used as a basis for design such as calculations, review comments, studies including value engineering, and reports
- Addenda issued during bidding period
- As-awarded documents, which incorporate the addenda into design documents
- Shop drawings pertinent to equipment installed at a MWWD facility
- Operations and Maintenance Manuals
- Change orders during construction
- OWNER's manuals assembled by the CONTRACTOR for a MWWD facility
- As-built drawings
- Documents documenting construction activities such as concrete logs, analyses of soil samples, field reports, quality control/quality control documents, minutes of the progress meetings, field orders, and inspection reports, etc.
- Personnel files
- Accounting records
- Training records and manuals

The purposes of the Records Management Guidelines are:

- To assure consistency in identifying and controlling the documents generated by outside organizations and entities in the media desired, and filed in the system specified by MWWD.
- To assure the documents received from Design Consultants and other organizations and entities are in compliance with MWWD requirements.
- To assure the records required to operate and maintain the facilities are received and are retrievable when needed.

### **1.3 RESPONSIBILITIES**

#### **DATABASE MANAGEMENT**

Metropolitan Wastewater Department will provide guidance and support to the records management system of each organization and entity to develop, collect, identify, control, store, and maintain the records generated for MWWD projects. The records management system of each organization shall comply with the requirements of these *Records Management Guidelines* and those specified by the RMU. Correspondences, design documents, specifications, etc., shall be registered in a computerized database which shall be compatible with MWWD Records Management System. In addition to current revision information, HISTORICAL REVISION information shall be retained in the database. Each document shall be quality controlled to make it legible and retrievable. Documents internal to an organization shall receive the same level of control and attention to their contents as documents issued outside the organization.

#### Database for Records Other than Design Drawings:

It is expected the database registers for correspondences, specifications, and other records, excepting drawings, will contain the following fields:

- Document Number (Unique Identifier)
- Document Title (Subject or Description)
- Document Date
- Issued Revision(s)
- Project/Sub-Project Name
- Capital Improvement Project/Sub-Project Number

#### Database for Design Drawings:

The DESIGN CONSULTANT shall prepare design drawings in mylars in accordance with the appropriate chapters of the *Clean Water Program Guidelines*. The drawings shall receive a unique identifying number before the initial submittal to the MWWD Records Management Unit. The DESIGN CONSULTANT shall maintain a design drawing register (preferably computerized database). The minimum design drawing register fields, as expected, will be:

- Document Number (Unique Identifier)
- Document Title (Subject or Description)
- Issued Date
- Issued Revision
- City Issued Document Number
- Project Name
- Status (Issued for Bid, Issued for Construction, Issued As-Built, VOID; Canceled, Supersedes/Superseded by with cross reference information to old/new documents, etc.)
- Capital Improvement Project Number
- Specification number

#### DESIGN CONSULTANTS, CONSTRUCTION MANAGER, CONTRACTORS, AND CONSULTANTS' PERSONNEL

It is the responsibility of each organization and entity involved with the MWWD to:

- Adhere to the agreed records management system in compliance with the *Records Management Guidelines* and RMU requirements
- Provide the necessary information on the documents to assure correct registration and efficient retrieval

MWWD owns all documents generated by each organization and entity, and they shall be provided to the RMU. It is the sole responsibility of the RMU to determine retention and disposition of documents in accordance with its document control procedures.

#### Administrative Staff:

It shall be the responsibility of the administrative staff of each of these organizations and entities to assure the documents they process meet the requirements established in the *Records Management Guidelines* and MWWD Records Management System.

### **1.4 FACILITY RECORDS**

Facility records are those records which furnish documentary evidence of the quality and physical conditions and other aspects of the items and activities pertaining to the facility. A document shall be considered a facility record when the document has been completed. A document is completed when it is legible, uniquely identified, approved, dated or otherwise authenticated and registered. Some facility documents do not require distribution; however, they do require maintaining a record copy of each in the specified media.

A facility document record shall contain sufficient information to enable traceability of the record to the facility, system, item, component or activity to which it applies.

Facility records generally fall into one of the following record groupings:

- Design records
- Procurement records
- Manufacturing records
- Installation and construction records
- Pre-operational and startup test records
- Baseline and in-service inspection records
- Testing and inspection plan records (reference section on Installation and Construction Documents)

These *Records Management Guidelines* do not give specific details about generation, issuance, maintenance and other records management activities for each group of facility records shown above. The requirements are, however, very similar for each group, and it can be assumed a requirement in one group is the same in another group.

The original facility documents shall be turned over to the MWWWD Records Management Unit in cabinets similar to “Plan Hold Masterfile 2” or “Archive Series” for those document types larger than LETTER SIZE. Letter size documents shall be in standard, locking 5-drawer letter size file cabinets.

The documents shall be labeled and filed in standard alphanumeric sequence, using a unique identifying number. The cabinets shall also be labeled with their content information. A listing of all the documents transferred shall be included.

## DESIGN PHASE RECORDS

### Design Drawings:

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All design drawings, including the Computer-Aided Drafting and Design (CADD) files, if a CADD system is used, shall be included at turnover in the format specified in the *Clean Water Program Guidelines, Volume III - Drafting Standards/CADD Guidelines*. The DESIGN CONSULTANT shall sign and stamp the mylar drawings.

After the DESIGN CONSULTANT stamps and signs the mylar drawings, and the Department Director and the City Project Manager sign the mylar drawings, these mylar drawings become the City's legal record copy. This and all the following steps are shown in Figure 1-1.

To assure orderly completion of mylars, the following procedures shall be followed:

1. The City Project Manager will receive the stamped and sealed mylar drawings from the Records Management Unit, and must verify that:
  - Drawings incorporate all agreed upon revisions
  - Each design mylar is stamped and signed by the DESIGN CONSULTANT
  - The drawing title, the number (D number assigned by the City) and the specification number is correct and placed appropriately in the title block
  - Each sheet, including the cover sheet, is sequentially numbered.
  - No self-adhesive tapes, or sticky backs are used on the mylar drawings.
  - The work order number is correct and placed appropriately in the title block.
2. The City Project Manager must then sign each mylar drawing to indicate that all information is correct.
3. The City Project Manager submits the mylar drawings to the Department Director, or Assistant Director, who will sign the cover sheet and the sheet(s) consisting of the list of drawings. This signature indicates that the design substantially conforms to the scope of the Contract and that mylar drawings are authorized to be used for construction.
4. Once the signature requirements for the mylar drawings are completed, the City Project Manager returns the signed drawings to RMU which in turn submits them to Services and Contracts Division. Services and Contracts Division will forward the mylar drawings to the City Print Shop to make the necessary number of copies for bid purposes and distribution.
5. Mylar drawings showing addenda and design changes shall be provided at the end of the bid process. These mylar drawings should be processed per steps 1 and 2 above. Microforms and full size blue lines shall not be made or distributed.
6. Conformed (as-bid or also known as-awarded) mylars are required to be created by the DESIGN CONSULTANT to reflect revisions that were made during the bid phase through addenda. The DESIGN CONSULTANT shall add clouds to the current

revisions, and shall remove the previous clouds. The next consecutive letter and the words “As-Bid” in the revision block shall be used to identify the change.

#### Specifications:

The DESIGN CONSULTANT shall prepare specifications in accordance with the appropriate section of the *Clean Water Program Guidelines*. Each specification section shall include on each page:

- The specification section number
- The contract number and contract title/project name
- The page number
- The month and year of bid advertisement

A Table of Contents (TOC) shall be included for the complete specification document. Figures and attachments shall also be listed.

At turnover, the original specifications shall be transmitted with a letter of transmittal listing the specifications included. As part of its specification turnover package, the DESIGN CONSULTANT shall provide the electronic word processing files (of the current revision only) of the specifications. There shall be included in the turnover a cross reference list between the actual specification hard copy files and the electronic media. WordPerfect 6.1 is the word processing standard and the electronic media selected by the MWWD for text records and documents.

#### Calculations:

Calculations shall receive the same attention to legibility and level of clarity as a design drawing or specification. Each calculation shall receive:

- A unique identifier
- The project name
- The name of the company or firm of the person preparing the calculation
- A date and a signature (initials) of the person preparing the calculation and that of the reviewer on each page of the calculation.

When the calculation is prepared on grid paper, the grid ink shall be non-reproducible blue or a very light color (screened) that fades away when the page is reproduced.

The design calculation shall include the following information commencing on page 1:

- A clear statement of the problem
  - Listing of all assumptions
  - All references (textbooks, papers, and design manuals) for formulae, theory, etc., used in the calculation
-

- Pertinent design criteria
- Methodology used to arrive at the solution, including a narrative discussion if interpretation/extrapolation is necessary
- Catalog cut sheets or other appropriate vendor information used for design
- Name and version of any computer program used plus verification that the program has received appropriate checking and authorization for the application.
- Computer calculations shall be accompanied with input data, formulae, methodology, and assumptions made if not shown on the output
- Appropriate sketches showing the results or details shall be clearly presented in the design calculation

The calculations shall have a title page. If a calculation is issued void, a copy of the cover sheet with the “void” notation shall be maintained in the file folder for the specific calculation. Superseded/superseding calculations shall cross reference each other and the title sheet of the superseded calculation is retained. Revised, superseded, or voided calculations shall be clearly identified, dated and initialed by the responsible person.

The complete calculation package, including computer printouts, calculations, sketches, etc., shall be included in the total page count of the calculation and listed on the table of contents. Calculations shall be retained in file folders in the order of the unique identifying number assigned to them.

Each time a calculation is signed “off” and dated, a record copy of the calculation shall be produced and placed in a separate location.

A calculation index register shall be maintained. It is expected the minimum information the register will contain is:

- Unique calculation number identifier
- Document title (subject or description)
- Date of final review
- Revision number
- Project name
- Status (Void; Canceled; Supersedes/Superseded, etc.)
- Reference design documents
- Discipline

Turnover of calculations shall include the record copies, the current original, and the calculation index register. The calculation index register shall be in hard copy and electronic media in the specified format. The record copies and the original calculations shall be in separate file folders in separate drawers of letter size file cabinets.

## BID AND CONSTRUCTION PHASE RECORDS



General:

Once the design is complete, the design documents (original mylars and specifications) shall be delivered to the Records Management Unit, which in turn forwards them to the City Project Manager for signatures. See procedures described in items 1 through 4 on page 1-6 for handling mylars. Procedurally, submittals by the DESIGN CONSULTANT shall be made via MWWD Records Management Unit and not directly to the Project Manager. Figure 1-1 depicts what happens from hereon during bid phase and construction phase of a project. If a decision is made not to proceed with the project, MWWD Records Management Unit will receive back all the design documents from the Project Manager and will keep the design documents in its custody. That will be the end of the project. If the decision is to proceed with bidding and construction, Figure 1-1 highlights schematically how records shall be managed and by whom during these phases.

The City Project Manager (PM) is always in the loop. He knows at all times where a particular document is. In fact, all documents flow to different groups and entities via the PM.

MWWD Records Management Unit is the ultimate repository of all documents except mylars. When the Records Management Unit receives a document (e.g. mylars from the DESIGN CONSULTANT), it will forward them to the Project Manager after logging and entering them in its system. On the other hand, if by the nature of a document, the PM receives the document first (e.g. design mylars, or an approved change order during construction), he/she must forward it immediately to MWWD Records Management Unit before taking any action.

Design Mylar Drawings:

Key points of handling and processing mylar drawings shown in Figure 1-1 are the following:

1. Original mylars of a project (i.e., as-advertised, as-bid or as-awarded mylars during construction and as-built mylars after construction are complete) will reside with Engineering Maps and Records office of the Map Check and Records Section of the Development Services Department (**Engineering Maps And Records** for short). Therefore, as soon as these mylars are ready, the CADD Section shall forward these mylars to Engineering Maps And Records. The transaction shall be accompanied by a Letter of Transmittal indicating that the Mylars are being transferred to Engineering Maps And Records. This Letter of Transmittal shall be registered in the MWWD Record Management System. Prior to the transfer of the Mylars, the Project Manager shall arrange for the printing of vellums and blue line copies.
2. During construction, the CONSTRUCTION MANAGER needs a set of reproducible drawings so that it can, if necessary, make additional copies of the drawings for the CONTRACTOR or its subcontractors. In order to help the CONSTRUCTION

MANAGER accomplish this, the Project Manager shall provide the vellums to the CONSTRUCTION MANAGER.

3. Although not shown in Figure 1-1, the Project Manager shall, at the completion of the project, request the Engineering Maps And Records to return the mylars to the MWWD. The request memorandum shall be registered in the MWWD Records Management System. Once the “as-built” mylars are completed they shall be submitted to the Engineering Maps And Records, accompanied by MWWD memorandum indicating that the new mylars are to replace the “as-bid” mylars. The “as-bid” (as-advertised) mylars must be stamped with “SUPERSEDED BY THE AS-BUILT MYLARS”. This is to avoid the confusion which will result if both the “As-Advertised” and the “As-Built” mylars are concurrently available with differing information in Engineering Maps and Records.
4. MWWD Records Management Unit owns a SoftSolutions records management system to log, record, and retrieve all the documents generated and archived within MWWD. RMU will enter all the documents in this system before distributing and/or forwarding to any indicated person, group and entity within or outside MWWD.

#### Record Drawings:

After construction is complete on a project, the CONTRACTOR shall provide the CONSTRUCTION MANAGER with the red-marked blue lines, also known as as-built drawings (per CWP Guidelines) or record documents (per Contract Document). The CONSTRUCTION MANAGER shall review the as-built drawings for completeness, consulting the CONTRACTOR and/or the Inspector (Resident Engineer) as necessary, per Section 01300 of the specifications. Compliance with the following checklist shall be a minimum for acceptance of the as-built drawings:

- Are all the changes noted?
- Were there any changes that did not require a change order but which should be reflected on the drawings?
- Were the changes noted on the as-builts actually constructed as shown?
- Do the inspector’s mark-ups concur with the as-builts?

If the as-built information is complete and in agreement with the checklist, the as-built redline mark-ups shall be formally submitted to the Project Manager who will inspect them for completeness and forward them to the DESIGN CONSULTANT to transfer the as-built information to mylar drawings. This shall be done by following one of the following two procedures.

#### Original Mylars Created by Hand:

The DESIGN CONSULTANT shall obtain the original mylar drawings from the City Project Manager. All as-built information shall be transferred to these drawings

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manually. The changes must be clouded and marked with a number in a triangle to reflect the as-built information. The number shall be the next available number as determined by the revision block of the drawings. Also the revision block shall be completed to indicate “AS-BUILT” information, the date the additions were made to the drawing, and the drafter’s initials. If sticky-backs or self adhesive lettering is used to show changes, a photo mylar shall be made of the original, because mylars with self-adhesive tapes, or sticky-backs shall not be accepted.

Old information shall be erased and new information substituted. The exception shall be when an entire sheet or section of a sheet has not been constructed. The section of the plan not constructed shall be crossed out and labeled “DELETED”. Old information shall be erased so that it shall not be confused with what was actually built.

In the lower right corner of the mylar drawing, the words “AS-BUILT” in letters at least one half inch tall shall be added or stamped.

Original Mylars Created by CADD:

Using the most current electronic design files from which the Contract Drawings and all addenda were created, the DESIGN CONSULTANT shall modify the electronic files to reflect the as-built information. The changes shall be clouded and marked with a number in a triangle to reflect the as-built information. The number shall be the next available number as determined by the revision block of the drawing. Also the revision block shall be completed to indicate the “AS-BUILT” information, the date the changes were made to the drawing, and drafter’s initials in capital letters.

Old information shall be erased and new information substituted. The exception shall be when an entire sheet or section of a sheet has not been constructed. The section of the plan not constructed shall be crossed out and labeled “DELETED”. Old information shall be erased so that it shall not be confused with what was actually built.

In the lower right corner of the electronic file, the words “AS-BUILT” in letters at least one half inch tall shall be added.

For Both Methods of Creating Record Drawings:

Each record drawing shall have, electronically printed or stamped on it, the following Record Drawing block properly signed and dated by the DESIGN CONSULTANT.

## RECORD DRAWING

Revisions drawn by: \_\_\_\_\_ Date \_\_\_\_\_

This record drawing has been prepared based on information furnished by others. While this information furnished is assumed to be reliable, the DESIGN CONSULTANT cannot assure its accuracy. The DESIGN CONSULTANT will not be responsible for any errors or omissions which may have been incorporated into this record drawing as a result. Those relying on this record drawing must obtain independent verification of its accuracy before applying it for any purpose.

DESIGN CONSULTANT: \_\_\_\_\_

Date: \_\_\_\_\_

CONSTRUCTION MANAGER: \_\_\_\_\_ Date \_\_\_\_\_

The DESIGN CONSULTANT shall submit the signed record drawings to the City Project Manager, who in turn will forward them to the CONSTRUCTION MANAGER via the RMU. The CONSTRUCTION MANAGER shall review the drawings for completeness. As a minimum, the information shown on the As-Built Drawings submitted by the CONTRACTOR shall be included, the title block completed, and the Record Drawing block as shown above stamped or printed on each drawing. When the CONSTRUCTION MANAGER is satisfied, it shall also sign and date the mylar drawings in the Record Drawing block, in the space as shown above.

In addition to the record drawing mylars, the DESIGN CONSULTANT shall also submit the updated electronic files of drawings, reflecting the as constructed status of the project to the Project Manager who will forward them to the CADD Section for permanent filing. The electronic design drawings shall be in a format compatible with Intergraph's CAE 2-Dimensional System. In addition, the DESIGN CONSULTANT shall return the red-line mark-ups of the CONTRACTOR which were the basis of the Record Drawings to the Project Manager, who shall in turn forward them to the Records Management Unit together with all other field information per Figure 1-1.

#### Additional Information Required for As-Built Mylars

The D-sheet title block contains the following headings: DESCRIPTION, BY, APPROVED, DATE, and FILMED. On the bottom of the D-sheet title block the following shall be entered with permanent ink:

- The words "AS-BUILT" in the DESCRIPTION column

- The initials, in block letters, of the person who traced the as-built conditions in the BY column
- The signature initials of the Project Manager in the APPROVAL column
- The date of approval by the Project Manager in the DATE column
- The FILMED column must be left blank

In the section immediately below the D-sheet title block the following information shall be provided in permanent ink:

- The name of the “CONTRACTOR” for the Project
- The name of the “INSPECTOR” for the job
- The “DATE STARTED” the Project started
- The “DATE COMPLETED” the Project was completed

The “DATE STARTED” is the dated of the “Notice to Proceed”, and the “DATE COMPLETED” is the date of the “Notice of Completion”.

#### Shop Drawings for Pipeline Projects:

For pipeline projects that have shop drawings, those shop drawings shall be incorporated into the Record Drawings. Copies of the shop drawings shall be arranged onto blank D-sheets, with the project title and drawing description included. Usually, four to six shop drawings can be included per sheet. Then, those sheets shall be reproduced onto mylars. When returned, a D-sheet drawing number, beginning with the next one in the sequence for the drawing set, shall be inked onto the mylar drawing.

## **1.5 DESIGN DOCUMENT REVIEW PROCESS**

### INFORMATION ON DESIGN DOCUMENTS

The Clean Water Program Guidelines require specific types of design documents be submitted to the MWW for review prior to their completion. Each time these documents are submitted to the Records Management Unit, the following information should be included on each document:

Author: SEYOUM ASGEDOM

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Profile Name: VOLUME 10 FINAL.001

Document Reference: MW1-41483-3

1-13

November 1997

In the title block:

- Project identifier
- Unique document identifier
- Date of issue
- Reason for issue
- Revision number

In the Table of Contents:

- Project identifier
- Unique document identifier
- Date of issue
- Revision number
- Listing of sections/chapters
- Listing of tables
- Listing of figures
- Listing of attachments
- Listing of any other items comprising the document

On each page/sheet:

- Project identifier
- Unique document identifier
- Page/sheet number on each page/sheet
- Indicator for last page/sheet

Each submittal shall consist of one REPRODUCIBLE of each document. Documents larger than 11" x 17" shall be rolled with no crease lines; documents 11" x 17" or smaller shall be placed in file folders without crease lines. The file folder label shall contain the unique identifier of the document. The documents shall be organized in size order and within each size in alphanumeric sequence commencing with "A" or "1". A transmittal indicating each document included shall accompany the documents.

#### REVIEW COMMENT PROCESS

The Review Comment Form is a document for internal use by MWWD staff who review the DESIGN CONSULTANT's progress design submittals (e.g., 30, 60, and 90 percent design levels). The Project Manager compiles the review comments from all reviewers and sends the compiled review comments with a cover letter to the DESIGN CONSULTANT to implement the action points or come up with a response on points that may need a joint meeting for conflict resolution.

## 1.6 TRANSMITTALS

Documents transmitted between MWWD organizations shall be accompanied by a letter of transmittal listing each document by its unique identifier including sheet number, revision and media, and the reason for transmittal. The letter of transmittal shall be signed by the appropriate signature level responsible for communicating. A file copy of the transmitted document should be retained together with the transmittal by the originating organization unless the document is retained elsewhere within the originating organization's records management system.

## 1.7 ORGANIZATION CHARTS

Organization Charts are considered FACILITY RECORDS as they provide documented levels of responsibility for individuals, and the time frames the individuals were assigned to the project. Organization Charts shall be controlled in a similar manner to other facility records.

## 1.8 SHOP DRAWINGS

SHOP DRAWINGS include installation, operations and maintenance manuals, parts lists and any other document submitted by the CONTRACTOR to the CONSTRUCTION MANAGER detailing manufacturer's information. Submitted shop drawings shall be REPRODUCIBLE and no larger than 22" x 34".

Shop drawings shall be received for equipment or components based on the requirements for documentation established in the specification section providing the technical information for the equipment or components. Upon receipt of the shop drawings, the CONSTRUCTION MANAGER shall assign a CWP unique identifying number to each shop drawing. This unique identifying number shall be composed of parts as follows:

- Part 1 shall identify the project using the project's designation
- Part 2 shall identify the specification section
- Part 3 shall be a sequential number for the specification section which identifies the submitted document
- Part 4 shall be a submittal number which is equivalent to a revision number. The first time a document is received, it shall be submittal 1; the second time, it shall be submittal 2, etc.

The CONSTRUCTION MANAGER shall maintain a detailed register for processing of shop drawings indicating the status of each shop drawing. The register shall be continually updated and the most recent register (i.e., last version) shall be turned over to MWWD.

## 1.9 SAMPLES

The CONSTRUCTION MANAGER shall control submitted samples as shop drawings. Each sample shall be submitted with an analysis or description. The analysis or description shall receive a CWP unique identifier and the status stamp. The analysis or description of the sample shall be transmitted for review. If physically possible, the sample shall also be transmitted for review. If the sample is not transmitted for review the transmittal form shall indicate the location of the sample. The sample shall have the unique identifier affixed to it or its container. Samples of individual items may be requested by the MWWD to be turned over upon completion of construction. The sample shall be retained for the life of the CONTRACT or until all claims and back charges are settled, which ever is latest.

## 1.10 CONSTRUCTION DOCUMENTS

*Volume IX of the Clean Water Program Guidelines* has been replaced by *Section 7 - Construction Policies and Procedures* of the Construction Management Plan developed by the CONSTRUCTION MANAGER. Section 7 of the Construction Management Plan is part of the *Clean Water Program Guidelines* by reference, and is available on request. Any of the construction forms shown in Section 7 or similar forms developed by any MWWD organization or entity, once completed, shall become part of the Records Management System of the originating organization. Many of these forms provide documented evidence of the quality of the constructed facility or quality of individual items, equipment, or processes of the facility and as such shall be facility records and they shall be turned over at the completion of the facility. These records include, but not necessarily limited to the following::

- Project Directory
- Testing and Inspection Plans, Results and Reports
- Right-of-Way Agreements and Encroachment Permits
- Construction Photographs
- Field Diaries
- Punch Lists



### **1.11 CAPITAL ASSETS**

The CONSTRUCTION MANAGER and the CONTRACTOR shall provide the MWWD with sufficient documentation to identify the cost of capital assets including any spare parts purchased by the CONTRACTOR. This documentation shall include the specification section, equipment number, quantity, indication if the equipment is installed or kept as a spare, original supplier, manufacturer and price. All components of capital asset costs shall be accurately calculated and summed up for processing asset capitalization and fiscal depreciation.

When spare parts are provided to the MWWD, documentation shall be provided with the equipment detailing the specification section, equipment number, and quantity.

### **1.12 CORRESPONDENCE**

Correspondences (i.e., incoming, outgoing, internal letters, memoranda, letters of transmittal, etc.) shall be registered using a unique alphanumeric sequence number. The alphanumeric number shall be assigned to outgoing and internal documents after the document is signed and dated and immediately upon receipt for incoming documents.

Documents comprised of more than one page shall be page numbered and given some indication of the final page. If items such as exhibits, figures, attachments and/or appendixes are included, they shall be listed in a table of contents. Attachments, or other such items, shall be listed on the letter by their title or, if applicable, by their registered number.

Facsimiles being transmitted outside of the organization shall include the same information and shall be given the same attention to detail as a letter. Facsimiles shall be signed by appropriate level of authority and registered before transmittal.

### **1.13 CONTROLLING THE CLEAN WATER PROGRAM GUIDELINES**

The *Clean Water Program Guidelines* include, among others, the standard procedures of the Metropolitan Wastewater Department of the City of San Diego. These *Records Management Guidelines*, which constitute *Chapter 1, Volume X of the Clean Water Program Guidelines*, have been developed to give guidance and direction to MWWD organizations and entities to assure uniformity and consistency in their records management efforts so that their individual records management system is compatible with MWWD's Records Management System. This will minimize or avoid interface

problems, and will assure that correspondences, progress design submittals, and turnover documents at the completion of the facility are in compliance with the CWP Guidelines and in agreement with MWWD Records Management System. Therefore, it is emphasized that maintaining the most current version of the CWP Guidelines, and paying special attention to the periodic revisions of the Guidelines is essential to the Design Consultants, CONSTRUCTION MANAGER and all others working on the Program.

## CONTROL OF ANNUAL REVISIONS

Although Guidelines revisions are done progressively in the course of the year, in general the revisions to the CWP Guidelines are issued annually in the fourth quarter of the calendar year. The following are the revision controls:

- The original Clean Water Program Guidelines were issued in February, 1991 and that date is reflected in the footer of each page of the original issue.
- For subsequent revisions, each affected page has the corresponding date of the current revision.
- Each volume has a revision table indicating the year and chapter or section revised.
- New chapters of Design Guidelines are provided with tabs.
- The table of contents of each affected Volume of the CWP Guidelines is updated incorporating the changes each time a revision is made. A copy of the applicable table of contents for each volume is included in the appropriate location of the revision package for easy manual updating.
- The final changes are indicated by vertical lines on the outside margin of each affected page to assist the user. When design guideline chapters or specification sections receive major revisions which affect the bulk of the chapter or section, the vertical lines are full page lines.

Interim revisions which require urgent compliance are immediately communicated to the DESIGN CONSULTANT by the Project Manager. Interim revisions are included in the annual revisions.

## REVISION DISTRIBUTION

The CWP Guidelines Committee Chairperson, through a cover letter which includes an acknowledgment page for receipt of the revisions, distributes the revision package to Guidelines Holders for updating their respective Guidelines Volumes. The revision package includes the following:

- The Instruction to Guidelines Holders for incorporating the annual revisions to the CWP Guidelines

- The final revisions and changes to the CWP Guidelines

### CONTROLLED DISTRIBUTION

Each manual set of the Clean Water Program Guidelines has a control number and a specific manual set is assigned to each holder. A listing of the names, addresses and manual numbers is retained by MWWD. This is the Clean Water Program Guidelines Controlled Distribution List. Acknowledgments of revision receipts are tracked to assure each manual holder has received the revisions. Follow-up is to be done on those acknowledgments not received after 30 calendar days.

The City of San Diego establishes a price for each Clean Water Program Guidelines revision based on the reproduction costs. An invoice is also transmitted with the revision.

A listing of the payments not received 60 days after the issuing of the revision to the Clean Water Program Guidelines is generated. This list shall be compared to the active contract agreements. If the recipient is currently actively involved with work for the MWWD, the Accounts Section will deduct the amount due from a future invoice of that organization. If the recipient no longer has an active agreement with the MWWD or is not willing to receive the revision package, a notation is made to the Clean Water Program Guidelines Controlled Distribution List indicating that future revisions are not to be transmitted to the manual holder.

### CWP GUIDELINES COPIES IN STOCK

An inventory of Clean Water Program Guidelines is maintained by the City. Each set of the Guidelines in inventory is assigned a sequential control number. Each time a revision is made, each manual in stock is updated. After each manual is revised, the acknowledgment will be signed by the person performing the updating and returned for filing.