



Required Documents to be Submitted During Construction

Revision and Approval

Revision	Date	Nature of Changes	Approved By
0	01-12-2023	Original Issue	Richard Foley

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Background

This process establishes Structure Construction (SC) roles, responsibilities, and procedures for:

- Submitting required documents to SC headquarters (HQ)
- Obtaining authorization to declare a lost or destroyed required document as unrecoverable.

Because the required documents are used to assist in maintaining new or modified structures, and the development of future projects that relate to a given structure, requesting authorization to declare a required document as unrecoverable is used only when the required document is lost or destroyed and cannot be recreated.

This BCM is the SC policy for submitting required documents to SC HQ, and for determining if any required document is unrecoverable.

Process Inputs

1. Project assignment letter
2. Project closeout
3. Structure Representative (SR) declares a required document is unrecoverable

Procedure

1. All work associated with this process is charged as [Project Direct – Construction](#).
2. All SC Staff:
 - a. Review [Attachment 1](#), *List of Required Documents Submitted to SC HQ*, to determine what and when each required document is submitted to SC HQ.
 - b. Complete and submit each required document to SC HQ as specified in the Attachment 1.
3. Structure Representative (SR):
 - a. Review Attachment 1, *List of Required Documents Submitted to SC HQ*, to determine what and when each required document is submitted to SC HQ.
 - b. Verify the list of SC required documents submitted during construction is accurate when it is received by email from one of the [Office Associates](#) in the SC HQ Project Management Branch (PMB), which is typically received within seven days of the advertise date. If the list appears to be incorrect, send an email to the sc.office.associates@dot.ca.gov email address. Figure 1 and Figure 2 is a sample of the required documents listed in the “Required Docs” tab in VISION.

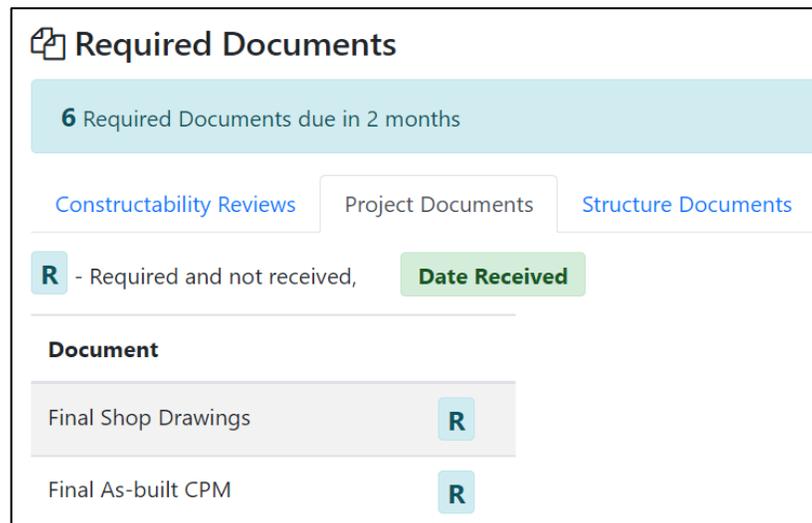


Figure 1. Sample of Required Documents Listed in the “Project Documents” tab of the “Required Docs” tab in VISION

Required Documents

6 Required Documents due in 2 months

Constructability Reviews Project Documents Structure Documents

R - Required and not received, **Date Received**

Bridge No	Description	Completion Date	Structure Completion Notification	Report of Completion	Joint Seal Calculations	Pile Records	As-built	Paint Records	Perm. Vert. Clearance
16 0010	DRY CREEK (REMOVAL)			R					
16 0053	DRY CREEK BRIDGE (REPLACE)		R	R	R		R		

Figure 2. Sample of Required Documents Listed in the “Structure Documents” tab of the “Required Docs” tab in Vision

- c. Complete each required document as project work progresses.
- d. Review each required document for completeness prior to submitting to SC HQ. Refer to:
 - i. [Attachment 1](#), *List of Required Documents Submitted to SC HQ*, for details on what must be included and when each required document must be submitted.
 - ii. [Attachment 2](#), *Guidance for Completing Required Documents Submitted to SC HQ*, for background information and guidance for each required document.
 - iii. [Attachment 3](#), *Guidance for Completing As-Built Project Plans*.
 - iv. [Attachment 4](#), *Samples of Required Documents Submitted to SC HQ*, for examples of completed required documents.
- e. Submit each required document to SC HQ as specified on Attachment 1. Submit by mail only when the required document cannot be scanned and emailed.
- f. Review the “Required Docs” tab in [VISION](#) for each project to verify that receipt of each required document is recorded.
- g. If a required document is lost or destroyed:
 - i. Exhaust all resources to recreate the lost or destroyed required document using information from other source documents within the project files. For example:

1. For the Report of Completion, the concrete mix design can be used to complete information for the cement, aggregate, and chemical admixture sections.
 2. For as-built project plans, the original project plans can be used to generate a replacement set of as-built project plans. SC staff recollection and project files such as change orders and daily reports can be used to recreate as-built details. If a dimension (i.e., a footing overpour), pile tips, bar sizes, location of mechanical bar splices, etc., were changed from what was shown on the project plans but the exact details are lost, the notes on the as-built project plans should reflect the changes as well as this limitation. These notes could have a significant impact on the design and construction of future projects for a structure.
 - ii. The as-built project plans are unrecoverable, submit the original project plan sheets with the note “AS-BUILT PROJECT PLANS NOT RECOVERABLE” on each sheet.
 - iii. The Project Status Initial and Project Status Final should not be classified as unrecoverable, because the information can be obtained from the Caltrans *Division of Accounting, Major Construction Payment & Information* website (for Major and Minor A contracts, and occasionally Minor B projects) by:
 1. Contract Number at <https://misc-external.dot.ca.gov/pets/ctnums.php>
 2. Contractor’s Name at <https://misc-external.dot.ca.gov/pets/ctors.php>
 - h. If a required document cannot be recreated, inform the SC Supervisor that the document is unrecoverable.
 - i. At project closeout, review the “Required Docs” tab in VISION for each project to verify that receipt of all required documents is recorded.
4. SC Supervisor:
- a. Verify required documents are submitted to SC HQs when they are due by:
 - i. Checking VISION to identify past due required documents.
 - ii. Performing project record reviews per [BCM E-2](#), *SC Project Record Review*.
 - b. If needed, prepare a recommendation to the Area Construction Manager (ACM), listing the efforts made to recreate an unrecoverable required document, and the reason(s) why a required document is being declared as unrecoverable. The memorandum should list the unrecoverable required documents for each structure separately, and include the action taken to ensure that each future required document is submitted as required.

5. SC Manager:
 - a. Takes appropriate action to ensure each future required document is completed and submitted in the timeframe required as detailed in Attachment 1.
 - b. Confirms the required document is unrecoverable. Then submits a recommendation to the SC Deputy Division Chief that details why the required document should be proclaimed as unrecoverable.
6. SC Deputy Division Chief:
 - a. Determines if the required document is unrecoverable.
 - b. Issues a memorandum stating the required document is unrecoverable.
7. SC Headquarters Project Management Branch (PMB):
 - a. Emails the list of required documents to the SR, SC Supervisor, SC Manager, and SC HQ Senior Bridge Engineer Liaison within seven days of the advertise date.
 - b. Informs the SR that the required document was received.
 - c. Provides quality assurance review of the required documents received. Resolves issues with the SR. If necessary, the required document is returned for correction.
 - d. Records required document into VISION using SCEMS and forward as described in the SC PMB Desk Manual.
 - e. Updates VISION to specify the required document as unrecoverable, if required.
 - f. Proactively communicates with the SR when required documents are past due.

Process Outputs

1. Required documents listed in Attachment 1 were submitted when required to SC Headquarters.
2. Memorandum stating the required document is unrecoverable authorized by the SC DDC.

Attachments

1. [Attachment 1](#), *List of Required Documents Submitted to SC HQ*
2. [Attachment 2](#), *Guidance for Completing Required Documents Submitted to SC HQ*

3. [Attachment 3](#), *Guidance for Completing As-Built Project Plans*
4. [Attachment 4](#), *Samples of Required Documents Submitted to SC HQ*