

Construction Filing System

Uniform Filing Schemes

A highway project is defined as any road project approved by the Highway Commission or MDT based on nominations made by the district and headquarters offices. It is inclusive of all phases (i.e., PE, R/W, IC, CN/CE.), agreements and splits that may be involved throughout its life.

Purging Procedures for Construction Files

The following areas are responsible for maintaining the following construction files for highway projects.

Project Manager	Field Construction
District Engineering Officer	District Construction
Construction Admin. Services Section	Helena Construction
District/Area Materials Supervisor	District/Area Laboratory
Materials Bureau	Helena Materials

Following the steps below allows the areas to ensure that records are retained for the required periods of time and to eliminate unnecessary documents when the retention period has been met:

- When field work on a contract is complete and the construction crew has completed their final paperwork, the Field Construction file (if any in paper form) is sent to the district. Duplicate copies of information and any remaining, old draft documents will be purged.
- If legal action is filed on a project, all records will be retained until such time as Legal Services informs the offices that the case has been resolved and the files may be disposed of.
- Field Construction and District Construction files are retained in the district through their retention period.
- When field work on a contract is complete, the Area Lab file is sent to the District Lab. Duplicate copies of information are purged. District Lab files are retained in the district through their retention period.
- When the final voucher for the contract is accepted, the Contract Administration Section combines their files into one, purges duplicate copies of information, and sends it to the Records Center. It is retained there through its retention period. The Engineering Contract Specialists ensure the

Contract and Bond are removed from the contract folder, re-boxed and have a retention period of 50 years.

- The Records Center and district personnel enter file information into the Oracle Records Management System.
- The Records Center sends disposal information annually.
- When disposal requests for the highway project files are received, each area pulls those files for purging. Documents are purged according to the appropriate retention period.
- After the files are purged, the area's supervisor signs, dates, and returns the monthly request for highway projects. The signed document is due in the Records Center the 15th of the following month (e.g., listing mailed April 15 is due May 15).

The Records Center will complete retrieval requests. Copies of documents from the Construction Engineering Services Bureau and Materials Bureau are available upon request. Requests can be made by contacting the Records Center. Be specific. Copies will be sent to the field offices.

Construction Files

Electronic Documents

Electronic information is either captured in SiteManager, AASHTOWare or other program or retained as an electronic file on one of the SiteManager share drives.

Table 1 lists the information that will be stored electronically on the district share drive by the field or district construction personnel.

Table 2 lists the information that will be stored electronically on the Helena share drive by personnel in headquarters. These tables are not all inclusive.

Managers may create subfolders as needed.

The share drives can be mapped using the following paths:

Missoula: \\state\mdt\prd\Missoula\MIS\CONST\SiteManager_Contracts
Butte: \\state\mdt\prd\Butte\BUT\CONST\SITEMANAGER_CONTRACTS
Great Falls: \\state\mdt\prd\GreatFalls\GTF\CONST\SITEMANAGER_CONTRACTS
Glendive: \\state\mdt\prd\Glendive\GLD\Const\SiteManager_Contracts
Billings: \\state\mdt\prd\Billings\BLG\CONST\SiteManager_Contracts
Helena: \\state\mdt\prd\Helena\Construction\SiteManager_Contracts

It is recommended that all field staff map their crew share drive. It is recommended that headquarters staff map their drive, and the district drives that they work with.

Any file type recognized as a department standard can be stored on the share drive (e.g., DOC, XLS, DGN, etc.). These files can be stored in their original format or converted to PDF using the PDF995 printer option. The documents that must be scanned are those that are retained electronically and have a signature or are received from an external source. An example is an invoice for force account. It must be scanned since it must be retained electronically and is received from an external source.

The naming convention for electronic documents should be in a format that is useful for everyone and makes it easy to understand what the document is. It is strongly recommended to start the file name with the five-digit contract number, then the form name followed by the date completed if applicable. This is for searching and easy identification. Only date a file when there will be multiples of a form such as the Bulletin Board or Labor Compliance forms. Make folder and document names short and meaningful and try to use no more than 30 characters. Use dashes and underscores. Do not use periods or spaces.

Examples:

06118_MDT-CON-108-03-1

06118_CIV-007_SCHELLINGER_051521 (this is the Bulletin Board Checklist)

These would be dated.

06118_SS_MWHC

When the contract is closed, CAS staff will zip the contract folders on the district share drive and the Helena share drive. They will upload the files to the appropriate document storage system and will follow the Records Management Retention Schedule.

Hard Copy Documents

The following will be retained in paper format and forwarded to the district office upon completion of the contract:

Concrete Batch/Plant Mix Tickets (These can be scanned in color and will be legible. If scanned, retain hard copy as well.)

Table 1 – Electronic Documents – District (Crew) Share Drive

Folder Name	Sub-Folder	Major Documents/Topics
01 Corresp	Claim Information	Certified Claim (CSB105_16_2) Claim Cost Records (CSB105_16_1) Claim Response Extension (CSB105_16_3A) DCE Response (CSB105_16_3) EPM Response (CSB105_16_1B) Notice of Claim (CSB105_16_1A)
	Construction Conf	List of Subcontractors/Suppliers Precon Meeting Minutes Sign-in Sheet

Folder Name	Sub-Folder	Major Documents/Topics
	Contract Time	Dispute Correspondence Notice to Proceed – Flex Time
	Contractor Corresp	Correspondence to/from a Contractor without a subject described in the other subfolders (e.g., Access Break)
	MDT Internal Corresp	Internal correspondence without a subject described in the other subfolders (e.g., 90% Complete Memo)
	Value Engineering	Contractor's Request
02 Contract Info	Change Order (folder for each change order)	Change Order Checklist Contractor Signature Contractor's Quote EPM Requests Justification
	Consultant E&O	Documentation
	Contract	Awarded Contract
	Project Agreements	City, County
03 Notes	Bid Item Doc	Calculations Drawings Standard Spreadsheets (e.g., fence)
	Engineering Apps	Grades, etc.
	Force Account	
	Misc. Work	Agreed Price (by subject) Force Account (by FA number) – (Rental Rate Calc, Invoice, Payroll)
	Survey Info	Staking, etc. (Yest bid item doc)
04 Estimates	Fuel - Asphalt Adjust	Fuel Price Escalation Contractor's List of Items Project Worksheets
	Stockpiled Materials	Contractor's Request Invoice
05 Submittals	Blast Plans	
	Contractor Plans	Erosion Control Traffic Control Equipment List
	Contractor Schedule	
	Shop Drawings	
06 Final Forms/Final Forms	Contractor	Final Walk-through Request Final Walk-through Verification Request Final Acceptance
	Environmental	Preliminary MPDES/NPDES Permit Walk-through Final MPDES/NPDES Permit Walk-through MPDES/NPDES Permit Close-out Checklist
	Field	Final Payroll Review Preliminary Field Walk-through Final Walk-through Inspection Conditional Final Acceptance

Folder Name	Sub-Folder	Major Documents/Topics
		Final Walk-through Checklist Seal Coat Warranty Inspection
		Certificate of Completion Final Materials Certification (lab)
17-207 Materials	Certifications	Certification of Compliance
	Bituminous Material	Data Sheets
	Bridge	Form 406
	Concrete	Invoices
	Drainage	
	Electrical	
	Fencing	
	Geotextile	
	Guardrail	
	Miscellaneous	
	Pavement Markings	
	Plant Mix	
	Revegetation	
	Signing	
	Temp Erosion Control	
	Traffic Control	
	Hit List	
	Mix Designs	
	Concrete	
	Non-QA	Calculations or Documentation
	QA Suite	
	Source of Supply	
	Worksheets	Compaction Summary Reports
	Compaction	
	Concrete Agg	Concrete Batch Tickets (Retain hard copies)
	Culverts	
	Gravel	
	Special Borrow	
	Subgrade	
08 Environmental	BMP Inspections	
	Permits	

Folder Name	Sub-Folder	Major Documents/Topics
09A Civil Rights	Forms	Bulletin Board Check CUF Check (CRB_CUF)
09B Labor Compliance	LC Spot Checks Payrolls Training Program	Labor Compliance Check Notes regarding Contractor Payrolls Zone Pay Form Training Program Approval(s) OJT 7A Reports
10 RW-Utilities	RW Agreements RW-Utility Corresp	Complaints Regular Corresp
11 Photos	Photos CES Photos Videos CES Videos	Environmental Issues Haul Roads Traffic Control Claim Related Erosion Control Traffic Control
12 Email	Email	See below
13 Accident Info	Accident Data	Accident Data Accident Photos Accident Videos Accident Incident Report

Control and cadastral survey files are not to be stored in the SiteManager Contract's folder. Any information pertaining to control and cadastral surveys needs to be stored electronically in the appropriate document management system for their defined retainage.

Table 2 – Electronic Documents – Helena Share Drive

Folder Name	Sub-Folder	Major Documents/Topics
00 Preconstruction		
01 Corresp	Claim Information	Bid Doc Escrow Agreement Board Decision (CSB105_16_3B) Mediation Decision (CSB105_16_3G) Request for Appeal (CSB105_16_3H) Request for Mediation (CSB105_16_3E)
	Contract Time	Issuance of Notice to Proceed
	Liquidated Damages	Commission Response Contractor Response Contractor's Request for Waiver MDT Response
	MDT Internal Corresp	
	Non-uniform Complaint	Contractor's Complaint MDT Determination

Folder Name	Sub-Folder	Major Documents/Topics
	Value Engineering	CES Evaluation Construction Engineer's Decision
	Email	
02 Contract Info	Change Order (folder for each change order)	CAS Checklist CES Reviewer Checklist
	Consultant E&O	
	Insurance	
	Project Agreements	City, County
	Subcontract Info	Approved Subcontracts, Subcontract Consent letter, Comments, Quotes, Emails, Control List (CAS only)
	Review Report	CES Construction Review Reports FHWA Final Inspection Post Construction Review
04 Estimates	Federal Mods Other Proj. Pymts.	Bridge Adoption External Materials Testing Highway Patrol
06 Final Forms	Final Forms	Certificate of Completion MDT-CON-105-17-2 Final Acceptance FHWA Form 1446B - Final Acceptance (PODI Projects only) Final Payroll Certificate Final Material Certificate
07 Materials	Hit List	
	Mix Designs	
	Source of Supply	
08 Environmental	Notice of Violation	
13 Accident Info	A/R	Miscellaneous A/R Number Form Supporting Documents

Project emails: Guidance for saving Project emails can be found at:

http://mdtinfo.mdt.mt.gov/other/webdata/internal/const/manuals_guides/HELP-GUIDE_SavingProjectEmails.pdf