

Record Keeping Guidance During Construction



State of Oregon
Department of
Environmental
Quality

This is a list of during-construction, CWSRF-funded project records that the loan recipient should keep. Loan recipients aren't required to submit this to DEQ; it is for the loan recipient's own records.

Loan recipients must retain project files and records for their CWSRF loan for six years after project completion, as determined by DEQ. Applicable state or federal law may require a longer period. Loan recipients must also retain financial files and records until all amounts due under the loan are fully repaid. If there is unresolved litigation or a claim at the end of the loan repayment period, project records must be retained subject to final completion or resolution.

Submittals

Submittal register to store copies (stamped and approved by the design engineer) of required submittals from the contractor including, but not limited to:

- Contractor's construction schedule
- Contractor's cost breakdown (if applicable)
- Product literature on materials and equipment to be supplied by the contractor to complete the project
- Drawings

Tests

List of required tests along with a log of those performed and copies of the results (construction specifications may list additional testing requirements), such as:

- Soil compaction tests
- Tests to confirm the quality of concrete
- Leak tests
- Pressure tests and TV inspection on pipes
- Vacuum tests on manholes
- All specified equipment acceptance tests and TV testing

Inspection Reports

Copies of daily inspection reports for the entire period of construction should contain the following information:

- Workers and equipment on the job
- Weather conditions
- Work performed
- Estimate of percent of project thus far completed
- Problems encountered and how (if) resolved
- Tests performed and results

Change Orders

Log of all change orders issued to date, with complete documentation, including:

- Explanation of each change order
- Engineer's estimate
- Backup documentation about cost

Claims

- Log of claims made to date and record of public agency response about merit of claims
- Meritorious claims should be promptly settled as change orders, including portions of non-meritorious claims that have merit

Financial Records

- Contractor ledger sheets
- Engineering ledger sheets
- Construction management firm ledger sheets
- Funding source/disbursement ledger:
 - o CWSRF funds
 - o Local funds
 - o Other funds by funding source (grants, etc.)
- Cost documentation including but not limited to invoices, time sheets, force account records, administrative expenses:
 - o Loan proceeds disbursement log (requests and receipt of checks)
 - o General ledger
 - o Cash receipts journal
 - o Cash disbursements journal
 - o Fixed assets ledger
 - o Subsidiary ledgers (such as: accounts receivable, accounts payable, budget/expenditure control, cash control)

Compliance with Oregon Prevailing Wage Rates (Oregon Bureau of Labor and Industries and Davis-Bacon Act)

Record of actions taken to ensure contractor's compliance Oregon Prevailing Wage Rates, including but not limited to:

- Copy of the wage rates established for this project
- Dates and results of interviews conducted with workers to determine what they are being paid
- Dates and results of review of contractor's weekly certified payrolls
- Record of efforts made to resolve any problems or discrepancies identified as a result of interviews or payroll review, and copies of all correspondence