



Unrecoverable Final Records

Background

Final records (As-Built Plans, Reports of Completion, Pile Records, etc.) are important documents that can assist in the development of future projects that relate to a given structure. It is the sustained effort of every Structure Construction (SC) employee that ensures that final records are produced and delivered timely to Headquarters (HQ) SC.

In the unfortunate event that final records are lost or destroyed the current practice allows the Area Construction Manager (ACM) to determine that a record is unrecoverable. The new practice requires that the Deputy Division Chief, Division of Engineering Services, Structure Construction (DDC, DES, SC) to make this determination based on the recommendation of the ACM.

Current Practice

The ACM makes every effort to retrieve the lost final records, and if they are not successful must proclaim that the documents are unrecoverable and notify the Office Associate (OA) in HQ SC. The OA issues a cover memorandum stating that the specified final records are unrecoverable. For as-built plans, the original contract plans will be submitted for the as-built plans; each contract plan sheet is stamped "AS-BUILT PLANS Not recoverable". The OA will also update the database to indicate that the documents were unrecoverable. Other records are handled in a similar manner.

New Practice

If a record is determined to be lost or destroyed every effort must be made to recreate as much of the missing record as possible using information available to the Structure Representative.

Final Records such as 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 (Major and Minor A contracts, and occasionally Minor B projects) at <http://www.dot.ca.gov/hq/asc/oap/payments/index.htm>. The local government agency can also be contacted for jobs that were administered by Office of Specially Funded Projects (OFSP).

Missing information on the Report of Completion, Pile Logs, Joint Movement Calculations, etc. will be more difficult to replace. Often, missing information can be obtained from various other source documents within the project files (e.g. the Concrete Mix Design provides information to complete the section of cement, aggregate and chemical admixture in the Report of Completion). Every effort should be made to recreate these records based on this information.

For as-built drawings, use the original contract plans to generate a replacement set of as-built documents. Use project records, including change orders, as well as staff recollection to depict the as-built conditions. If a dimension, pile tip, or bar sizes were changed from what was shown on the plans but the exact details are lost, the notes on the as-built 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 involving this structure.

Responsibilities for declaring final records unrecoverable:

Structure Representative

Every effort should be made to recover all final records before declaring final records as unrecoverable. The Structure Representative notifies the Bridge Construction Engineer that the record is unrecoverable only after making every reasonable attempt to restore the records.

Bridge Construction Engineer (BCE)

The BCE prepares a recommendation to the ACM, listing the effort made to restore the record and the circumstances why the final records are being declared as unrecoverable. The memorandum should list the unrecoverable records for each structure separately. This memorandum will also include the action taken to ensure future final records are preserved.

In the event that the Structure Representative is no longer employed by Caltrans before completing final records, the BCE shall be responsible for completing the final documents.

Area Construction Manager

The ACM will verify the circumstances why the final records are unrecoverable cited by the BCE and submit a recommendation to the DDC, DES, SC that details why the final records should be proclaimed as unrecoverable. Take appropriate action to ensure future final records are complete and submitted in a timely manner.

Deputy Division Chief, Structure Construction, Division of Engineering Services

Determine if final records are unrecoverable.

Office Associate

As directed, the OA will issue a cover memo stating that the documents are unrecoverable. For as-built drawings, the original contract plans will be submitted for the as-built drawings; each contract plan sheet is stamped "AS-BUILT PLANS Not recoverable". Other records are handled in a similar manner.