

SECTION 01020 – RECORD DOCUMENTS

PART 1 - GENERAL

1.01 SUMMARY

- A. Contractor shall maintain, in a safe place at the Site, one updated record copy of all Drawings, Standards and Specifications, Addenda, Shop Drawings, Requests for Interpretation (RFIs), Requests for Proposal (RFPs), Work Change Directives (WCDs), Change Orders, other written interpretations or clarifications of the contract documents, survey information (including approved cut sheets) and all other documents relevant to the Work.
- B. All such documents shall be kept in order, good condition and shall be continuously updated to indicate all work installed and all changes made during construction.
- C. No work shall be allowed in the absence of these record documents.
- D. This document also outlines electronic data requirements and defines the survey requirements for the development of Field-Marked Drawings, As-Built Drawings and Conforming to Construction Drawings.

1.02 SPECIFICATION MODIFICATIONS

- A. It is understood that throughout this section these Specifications may be modified by appropriate items in Section 01015 – Specific Project Requirements or as otherwise indicated on the Contract Drawings.

1.03 RELATED SECTIONS

- A. Section 00700 – General Conditions.
- B. Section 01015 – Specific Project Requirements.
- C. Section 01300 – Submittals.
- D. Section 01335 – Document Management.
- E. Section 02686 – CCTV Inspection.

1.04 CODES AND STANDARDS

- A. CAD Standards – United States National CAD Standards.

1.05 DEFINITIONS

- A. Drawings – As defined by Section 00700 – General Conditions.
- B. Approved for Construction Drawings – Any drawing or sketch that has been issued to the Contractor by the City for the purposes of constructing the Work. These include, but are not limited to, the following: Drawings, revisions to the Drawings, information issued as part of change orders and information issued as part of work change directives.
- C. Field-Marked Drawings (Red Line Markups) – A copy of the Approved for Construction Drawings that is maintained and updated daily by the Contractor during construction detailing all work completed and depicting all changes made to the Work during construction.
- D. As-Built Drawings – The completed Field-Marked Drawings that include the signed certification language from both the Contractor and Surveyor.
- E. Conforming to Construction Drawings – The Approved for Construction Drawings that have been revised to reflect the changes noted on the As-Built Drawings. For these drawings, the CAD files are updated and a new set of drawings is created.

- F. Record Drawings – All drawings used or developed as part of the Work. Record Drawings include, but are not limited to, the following: Approved for Construction Drawings, Field-Marked Drawings, As-Built Drawings and Conforming to Construction Drawings.
- G. Record Documents – As defined by this Section, Section 01015 and Section 00700 – General Conditions, Article 6 Contractor’s Responsibilities.

1.06 INFORMATION PROVIDED BY THE CITY

- A. The City will provide the Contractor a suitable copy of the Approved for Construction Drawings in an electronic/CAD format.

1.07 SUBMITTALS

- A. Submit as specified in Section 01300 – Submittals.
- B. Submittals include, but are not limited to, the following:
 - (a) All Record Documents – As required by this Section, Section 1015 and Section 00700 – General Conditions, Article 6, Contractor’s Responsibilities, paragraph Record Documents.
 - (b) Field-Marked Drawings.
 - (c) As-Built Drawings.
 - (d) Conforming to Construction Drawings.
 - (e) Other Record Documents as requested by the City.

1.08 QUALITY ASSURANCE

- A. The Contractor is responsible for the quality assurance and quality control of the Work.

PART 2 - PRODUCTS

Not used.

PART 3 - EXECUTION

3.01 SURVEY REQUIREMENTS

- A. All field books, notes, videotapes and other data developed by the Contractor in performing surveys required as part of the Work shall be available to the City for examination throughout the construction period. All such data shall be submitted to the City with the other documentation required for final acceptance of the Work.
- B. General Requirements:
 - (a) The Contractor shall provide survey grade information for the locations and elevations of the Work as described herein. Surveys shall be conducted by a Professional Land Surveyor, licensed in the State of Missouri (Surveyor).
 - (b) Vertical Datum – All elevations shall be indicated in North American Vertical Datum of 1988 (NAVD 88) in feet and decimals of a foot.
 - (c) Horizontal Control – Coordinates shall be referenced to the North American Datum of 1983 (NAD 83), State Plane Missouri West Zone FIPS 2403 US Feet coordinate system, Kansas City Metro Control. Statewide Missouri Geographical Reference System monuments, Project monuments and Certified Land corners shall be used as references to determine State Plane coordinates. All control monuments used in the survey work shall be listed with reference ties and shown on the Record Drawings.

- C. Water Systems:
- (a) Fire Hydrant Assemblies – Provide survey point (location and elevation) at the top of the operating nut for each fire hydrant.
 - (b) Fittings – Provide survey point (location and elevation) at the center of each fitting (i.e. bends, tees, valves, etc.). Survey shall be taken at the top of the fitting. Provide the elevation of finished grade or improvements at the top of the fitting.
 - (c) Pipe Profile – Provide survey points (location and elevation) at the center point of all piping at a maximum spacing of 50 feet. Survey shall be taken on the top of the pipe. At the same location, provide the elevation of finished grade.
 - (d) Valves, Valve Vaults, Meter pits and Other Structures – A survey is required to verify the location of all new valves, valve vaults, meter pits or other structures. The survey shall include, but is not limited to, the following:
 - (i) Location of the Structure – Provide coordinates for the center of the access cover.
 - (ii) Top Elevation – Provide the top elevation of the structure at the center of the access cover.
- D. Wastewater Systems:
- (a) New Manholes – A survey is required to verify the location of all new manholes. The survey shall include, but is not limited to, the following:
 - (i) Location – Verify the “Locating Point” shown on the Approved for Construction Drawings or standard detail. Verify all coordinate data shown on the Approved for Construction Drawings. If no such information is provided, the Locating Point shall be the center of the manhole cover.
 - (ii) Top Elevation. – Provide the elevation of the top of the structure at the Locating Point.
 - (iii) Pipe Inverts – Provide the invert elevation and flow direction of all pipes that penetrate the structure (flowline in - FL IN) and exit the structure (flowline out - FL OUT).
 - (iv) Manhole Invert – Provide the elevation of the invert at the center of the manhole if different than the pipe inverts.
 - (b) Existing Manholes – A survey is required to verify the location of all existing manholes that are modified as part of the Work. The survey shall include, but is not limited to, the following:
 - (i) Location of the Structure – Verify the “Locating Point” shown on the Approved for Construction Drawings or standard detail. Verify all coordinate data shown on the Approved for Construction Drawings. If no such information is provided, the Location Point shall be the center of the manhole cover.
 - (ii) Top Elevation – Provide the elevation of the top of the structure at the Locating Point.
 - (iii) Pipe Inverts – Provide the invert elevation and flow direction of all pipes that penetrate the structure (flowline in - FL IN) and exit the structure (flowline out - FL OUT).
 - (iv) Manhole Invert – Provide the elevation of the invert at the center of the manhole if different from the pipe inverts.
- E. Storm Water and Green Infrastructure Systems:
- (a) A survey is required to verify the location of all new Green Infrastructure, Storm Water Structures, Junction Boxes, Manholes, Inlets and all other related structures. The survey shall include, but is not limited to, the following:

- (i) Location of the Structure – Verify the Locating Point shown on the Approved for Construction Drawings or standard detail. Verify all coordinate data shown on the Approved for Construction Drawings. The locating point for curb inlets is center of inside face of inlet wall. If no other locating information is provided for other structures, the Locating Point shall be the center of the access cover.
 - (ii) Top Elevation – Provide the elevation of the top of the structure at the Locating Point.
 - (iii) Pipe Inverts – Provide the invert elevation and flow direction of all pipes that penetrate the structure (flowline in - FL IN) and exit the structure (flowline out - FL OUT).
 - (iv) Manhole or Structure Invert – Provide the elevation of the invert at the center of the manhole or structure if different than the pipe inverts.
- (b) Culvert:
- (i) A survey is required to verify the location of new culverts. The survey shall include, but is not limited to, the following:
 - (ii) Location – The Locating Points shall be the center line of each culvert barrel at the upstream and downstream end of each. The location of each culvert barrel is to be provided.
 - (iii) Invert – Provide the upstream and downstream invert elevation of each culvert barrel.
- (c) Channels and Ditches:
- (i) Profile – Provide survey points (location and elevation) at the upstream and downstream end of the channel and along the channel at a maximum 50-foot intervals and at all bends and changes in alignment.
 - (ii) Survey points shall be taken at finished grade at the centerline, toes of side slopes or walls and top elevation of the high flow channel on both sides of the channel. If water is present in the channel or ditch, provide water surface elevation on both sides of the channel.
- (d) Detention Areas:
- (i) For any surface feature designed to detain or retain storm water runoff (i.e., detention basins, rain gardens, bio-retention cells, etc.) an as-built survey of the feature is required.
 - (ii) Enough survey points shall be taken to generate 1-foot contours of the detention or retention area and any containment berms.
 - (iii) Provide survey points (location and elevation) for both ends of weirs, all weir high and low points (if top of weir is not level) and other flow control structures, inlets and outlets.
 - (iv) Provide survey points (location and elevation) for both ends of weirs and all weir high and low points (if top of weir is not level) of the principle spillway structure.

3.02 FIELD-MARKED DRAWINGS

- A. The Contractor shall continuously maintain a set of Field-Marked Drawings which details all work completed and shows all changes or deviations made by the Contractor from the Approved for Construction Drawings. Where the Approved for Construction Drawings are not detailed and allow for flexibility during construction, the Contractor shall include the detailed information on how the Work was constructed. These adjustments shall include, but are not limited to, field adjustments and change orders.

- B. Field-Marked Drawings shall be prepared using survey grade information to show the horizontal and vertical location of the Work after completion of construction. Connection details may be sketched using field run measurements.
- C. Mark new information that is important to the City that is not shown on Drawings or Shop Drawings.
- D. Note related Change Order numbers where applicable.
- E. Include the following:
 - (a) Field changes of dimension and detail.
 - (b) Changes made by Change Order or other modifications.
 - (c) Details not on original Drawings.
 - (d) Horizontal and vertical location of all underground utilities and all other concealed elements that would complicate and make difficult/expensive to maintain the installed asset at a later date.
- F. Precision of Measurement:
 - (a) Where survey measurements are not required (sketching connection details) – elevations, stationing, distances and measurements shall be expressed to the nearest 0.10 foot.
 - (b) All other Work requires survey information – elevations, station, distances and measurements shall be expressed to the nearest 0.01 foot.
- G. Field changes or additions shall be designated in RED. Hard copy and electronic (PDF) deliverables shall be provided in color.
- H. Information shall be clearly distinguishable on hard copy mark-ups and in the electronic files.
- I. If the Contractor observes inaccurate information pertaining to existing conditions, the correct information shall be noted in the Field-Marked Drawings.
- J. The Contractor shall submit 30%, 60% and 90% check prints with the corresponding percent complete of work. The check prints shall be submitted with the Application for Payment. Failure to provide the check prints shall cause the Application for Payment to be returned to the Contractor.

3.03 AS-BUILT DRAWINGS

- A. Upon completion of the Work and before the Application for Final Payment, the Contractor shall prepare the As-Built Drawings by completing annotations to the Field-Marked Drawings and adding the required certification statements.
- B. Surveyor's Certification:
 - (a) Each drawing shall be modified to include a certification statement and signature block as described below.
 - (b) Every sheet of the Field-Marked Drawings must be reviewed, signed and sealed by a Professional Land Surveyor, licensed in the State of Missouri and must include the following statement on the title block inside the box marked "for WSD use" and near the Surveyor's professional license seal:

- (i) Water Systems

Each sheet of these Record Drawings and attached Survey Cut Sheets for the Work have been reviewed and approved by the Professional Land Surveyor whose seal is affixed to this Record. The horizontal control, coordinates and elevations shown on these Records are accurate and are based on the Missouri Coordinate System of 1983, West Zone and NAVD88 datum, with the date of adjustment. These Records have been revised, as required in Section 01000, 1.20 of the Standards and

Specifications for Water Main Extensions and Relocations, under my personal supervision to show the true and accurate measurements of the work as it was actually constructed.

(ii) Wastewater, Storm Water and Green Infrastructure Systems

Each sheet of these Record Drawings and attached Survey Cut Sheets for the Work have been reviewed and approved by the Professional Land Surveyor whose seal is affixed to this Record. The horizontal control coordinates and elevations shown on these Records are accurate and are based on the Missouri Coordinate System of 1983, West Zone and NAVD88 Datum. These Records have been revised under my personal supervision to show the true and accurate measurements of the work as it was actually constructed.

C. Contractor's Certification:

- (a) Each drawing shall be modified to include a certification statement and signature block as described below.
- (b) The Contractor shall provide certification that the Field-Marked Drawings reflect the conditions that were constructed.
- (c) The Contractor shall review the Field-Marked Drawings and verify all information is accurate. The Contractor shall verify that all changes to the Work have been documented. The Contractor shall sign each sheet of the Record Drawings with the following certification(s):

(i) Water Systems

I hereby certify that this Record correctly depicts the Work constructed as to size, material, horizontal location, vertical location and finished grade as shown on the approved construction drawings or their revision. The Work was done in accordance with these Records and the current version of the Standards and Specifications for Water Main Extensions and Relocations.

Contractor: _____ Date: _____
Name (print): _____ Title: _____
Signature: _____

(ii) Wastewater, Storm Water and Green Infrastructure Systems

I hereby certify that this Record correctly depicts the Work constructed as to size, material, horizontal location, vertical location, grade of installed piping systems and finished grade as shown on the approved construction drawings or their revision. The Work was done in accordance with these Records.

Contractor: _____ Date: _____
Name (print): _____ Title: _____
Signature: _____

D. Submittals – Submit As-Built Drawings in accordance with paragraph SUBMITTALS. As-Built and Conforming to Construction Drawings must be approved by the City before the Contractor submits the Application for Final Payment.

- E. Mark each document "AS-BUILT DRAWINGS" in neat, large print letters.
- F. The cover sheet of the project shall be included. The cover sheet shall include all required As-Built certifications and shall clearly show that the drawings are AS-BUILT.

3.04 CONFORMING TO CONSTRUCTION DRAWINGS

- A. The Contractor shall prepare Conforming to Construction Drawings as required by this Section and Section 01015 – Specific Project Requirements.
- B. Conforming to Construction Drawings shall be submitted and accepted by the City before the Contractor may submit the Application for Final Payment.
- C. The Contractor shall edit the CAD drawings to reflect the changes shown on the As-Built Drawings. All line work and text shall be revised and edited to accurately reflect the information provided in the As-Built Drawings. Line work shall be drawn to scale in the coordinate system and datum specified herein.
- D. Version – CAD drawings shall be developed and submitted in the latest version of AutoCAD® .dwg format or AutoCAD® Civil 3D. See Section 01015 – Specific Project Conditions for additional information regarding CAD formats and standards.
- E. CAD Standards – Comply with United States National CAD Standards.
- F. The cover sheet of the project shall be included. The cover sheet shall include all required as-built certifications and shall clearly show that the drawings are as-built.
- G. Conforming to Construction Drawings shall have a “CONFORMED TO CONSTRUCTION” label clearly and prominently shown on each sheet, preferably in the lower right-hand corner of the drawing.
- H. Conforming to Construction Drawings shall be labeled with the following information:
 - (a) Project Name.
 - (b) WSD Project Number.
 - (c) WSD Work Order Number.
 - (d) WSD Drawing Number.
 - (e) Date of publication.
- I. Submittals – Submit Conforming to Construction Drawings in accordance with paragraph SUBMITTALS.

3.05 OTHER RECORD DOCUMENTS

- A. As defined by Section 00700 – General Conditions, Article 6 – Contractor’s Responsibilities.
- B. Coordinates Table – Provide a Microsoft Excel spreadsheet that contains the coordinates of every asset installed or adjusted as part of the Work.
- C. Survey Cut Sheets.
- D. Television Inspection data files as specified in Section 02686 – CCTV Inspection.
- E. Other information as specified in Section 01015 – Specific Project Requirements.

3.06 DELIVERABLES AND SUBMITTALS

- A. Electronic Submittals:
 - (a) All electronic deliverables (drawings, coordinates table, etc...) shall be made through the approved document management system. See Section 01335 – Document Management.
- B. As-Built Drawings:
 - (a) One (1) hard copy on paper for review and approval.
 - (b) One (1) electronic copy in PDF format.

- (c) One (1) electronic copy in the latest version of AutoCAD® .dwg format.
- C. Conforming to Construction Drawings:
 - (a) One (1) signed, sealed and certified hard copy on Mylar or Vellum.
 - (b) One (1) signed, sealed and certified hard copy on paper.
 - (c) One (1) signed, sealed and certified electronic copy in PDF format.
 - (d) One (1) signed, sealed and certified electronic copy in the latest version of AutoCAD® .dwg format.
- D. Record Documents:
 - (a) Submit Record documents in accordance with Section 00700 – General Conditions, Article 14 – Payments to the Contractor and Completion.
 - (b) Submit other documents as required by paragraph 3.05 OTHER RECORD DOCUMENTS of this section.
 - (c) One (1) hard copy on paper.
 - (d) One (1) electronic copy in PDF format.
 - (e) As specified in other sections.
- E. Electronic (PDF) Documents:
 - (a) Documents shall be full scale.
 - (b) Markups shall be noted in RED.
 - (c) Minimum resolution shall be 600 dpi.

3.07 CORRECTIONS DURING THE WARRANTY PERIOD

- A. The Record Documents shall be an integral part of the work guaranteed by the Contractor's Performance and Maintenance Bond. If during the three-year maintenance period the City determines that further revisions or corrections are necessary to make the Record Documents accurate, the Contractor shall make or cause the revisions or corrections to be made at no additional cost to the City.

END OF SECTION