



Construction Policy Bulletin

CPB 15-5 Changes to Construction Project Records and Forms

References: *Construction Manual* Section 5-1, "Project Records and Reports"
 Records Retention Schedule Form STD.73, "Records Retention Schedule"

Effective Date: June 30, 2015

Approved: 
RACHEL FALSETTI, Chief
Division of Construction

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Background

The California State Auditor performs annual audits of the Federal-aid Highway Program. In response to findings from the 2015 audit, Caltrans is clarifying the project records guidance in the *Construction Manual*. In addition, improvements are being made to the requirements for maintaining contract records to ensure consistency and accuracy of records management.

Existing Procedure

Section 5-1, "Project Records and Reports," of the *Construction Manual* identifies the policy in regards to forms and the disposition of records in the process of administering a contract. The section refers to the statewide records retention schedule for additional information on records retention.

New Procedure

Project Records Retention Update

Use the attached table for construction project document retention. The table lists the records filed in all construction categories along with the appropriate retention period.

Forms Update

Section 5-101, "Contract Administration Forms," of the *Construction Manual* is being updated to reflect current changes that have occurred in contract administration policies and procedures. The forms listed below have been deleted or added.

Deleted Forms:

CEM-1202, “Contractor Action Request Change of Name/Address—Assignment of Contract Monies”
CEM-1204, “American Recovery and Reemployment Act (ARRA) Monthly Employment Report”
CEM-2001, “National Pollution Discharge Elimination System Annual Certification”
CEM-2002, “Notification of Construction (NOC)”
CEM-2004, “Notification of Completion of Construction—Desert Areas”
CEM-2005, “Notification of Rainfall Erosivity Waiver”
CEM-2031, “Daily Stormwater Site Inspection Report”
CEM-2041, “Weather Monitor Log”
CEM-2046, “Rain Event Action Plan—Plant Establishment Phase”
CEM-2047, “Rain Event Action Plan—Inactive Project”
CEM-2048, “Storm Event Sampling and Analysis Plan”
CEM-2049, “Qualifying Rain Event Sampling and Analysis Plan”
CEM-2049T, “Qualifying Rain Event Sampling and Analysis Plan—Lake Tahoe Hydrologic Unit”
CEM-2050, “Sample Information, Identification, and Chain-of-Custody Record”
CEM-2054, “Stormwater Sample Laboratory Test Report”
CEM-2055, “Stormwater Equipment Maintenance Log”
CEM-2056, “Stormwater Turbidity Meter Calibration Record”
CEM-2057, “Stormwater pH Meter Calibration Record”
CEM-2065, “Notice of Discharge Log Instructions”
CEM-2090, “Notice of Completion of Construction”
CEM-6002, “Contract Administration System (CAS)—Report Requests”

Added Forms:

CEM-1202A, “Contractor Action Request—Change of Name/Address”
CEM-1202B, “Contractor Action Request—Assignment of Contract Monies, Assignee Change of Name/Address”
CEM-2035T, “Stormwater Corrective Actions Summary—Lake Tahoe Hydrologic Unit”
CEM-2075T, “Project Stormwater Annual Report—Lake Tahoe Hydrologic Unit”
CEM-2406, “Monthly Disadvantaged Business Enterprises (DBE) Payment”
CEM-3673E, “Curb Ramp (Case C) Americans With Disabilities Act (ADA), Compliance Inspection Report”
CEM-3701, “Test Result Summary”
TR-0405, “Certificate of Compliance with Americans with Disabilities Act (ADA)”

If you have any questions regarding this bulletin, please contact John Bittermann, Division of Construction, at john.bittermann@dot.ca.gov or (916) 654-4945.

Attachment: *Construction Manual* Table, “Construction Records Retention Schedule” (New)