

SECTION 01 78 39 – PROJECT RECORD DOCUMENTS

PART 1 - GENERAL

1.01 RELATED DOCUMENTS

- A. The Contractor's attention is specifically directed, but not limited, to the Uniform General Conditions for University of Texas System Building Construction Contracts (UTUGCs) for other requirements.
- B. Drawings and general provisions of the Contract, including Division 00 and other Division 01 Specification Sections, apply to this Section.
- C. Specifications throughout all Divisions of the Project Manual are directly applicable to this Section, and this Section is directly applicable to them.
- D. General project closeout requirements are included in Section 01 77 00, Project Close-out Procedures.
- E. General requirements for submittal of Shop Drawings and Product Data are included in the UTUGCs and Section 01 31 00, Project Administration.

1.02 SUMMARY

- A. This Section specifies administrative and procedural requirements for Project Record Documents to be prepared and submitted by the Contractor and the Architect/Engineer, which include but are not limited to:
 - 1. Record Documents
 - 2. Record Drawings
 - 3. Record Specifications
 - 4. Final Drawings
 - 5. Final Specifications

1.03 REFERENCE STANDARDS

- A. The latest published edition of a reference shall be applicable to this Project unless identified by a specific edition date.
- B. All reference amendments adopted prior to the Effective Date of this Agreement shall be applicable to this Project.

1.04 DEFINITIONS

- A. The following terms used within the Section are defined in the UTUGCs, unless otherwise defined herein:
 - 1. Contract Documents
 - 2. Construction Documents
 - 3. Drawings

4. Final Drawings: The Drawings from the Contract Documents that have been professionally electronically drafted reflecting the as-constructed conditions of the Work based upon the information provided by the Contractor as reflected in the Record Documents.
 5. Final Specifications: Specification section of the Project Manual compiled, and incorporating all additions and edits to the Specification issued to Contractor for construction.
 6. Project Workspace: Is the Owners Internet-based Project Management System
 7. Record Documents
 8. Records Document Edit Log: A log documenting all markings or information added to the Record Documents.
 9. Record Submittal: Approved product submittal and Shop Drawing, including documentation of all Architect/Engineer and Owner comments.
 10. Shop Drawings
 11. Specifications
 12. Submittals: Shop drawings, material data, samples, and product data to verify that the correct products and quantities will be installed on the project.
 13. Supplemental Documents: Examples of Supplemental Documents include, but are not limited to: HVAC ductwork, hydronic and plumbing piping, sprinkler piping, switchgear, and custom air handling units.
- B. Redline Documents: See Record Documents.
- C. As-Built Drawings: See Record Documents.
- D. Final Specifications – Specification section of the Project Manual compiled, incorporating all additions or edits to the specification issued to contractor for construction.
- E. Final Drawings: The Drawings from the Contract Documents that have been professionally electronically drafted reflecting the as-constructed conditions of the Work from the Record Documents.

PART 2 - PRODUCTS

2.01 REQUIREMENTS FOR RECORD DOCUMENTS

- A. During progress of the Work, Contractor shall maintain a set of Record Documents and Shop Drawings at the Site. Contractor must update these documents weekly, at a minimum, with mark-ups of actual installations that vary from the Work as originally shown. Contractor shall include all Drawings issued as addenda, clarifications, or Change Orders.
- B. Contractor shall maintain and have available for review in conjunction with project progress meetings, a current set of the marked-up Record Documents and Shop Drawings. Availability for review and acceptability of both the format and content are prerequisites for certification and acceptance of the Application for Payment by the Owner and Architect/Engineer.
- C. Contractor shall not use Record Documents for construction purposes. Contractor must protect Record Documents from deterioration and loss in a secure location.

2.02 RECORD DOCUMENTS EDIT LOG

- A. During progress of the Work, Contractor shall update the Record Documents Edit Log each time updates or edits are made, or information is added, to the Record Documents and shall review the log with the Owner prior to submitting each monthly Application for Payment.
- B. The Record Documents Edit Log shall include the following information as a minimum;
 - 1. Date Edited.
 - 2. Name and Company of Person Making Edit.
 - 3. Edit Type: RFI, Change Order/Request for Proposal, Field Change, Red Line, Supplemental Document, and Revision/ASI.
 - 4. Reference: name and number of the source document if applicable, such as Change Order or RFI number.
 - 5. Sheet(s) Edited.
 - 6. Description of Edit, unless documented by an RFI, Change Order, or Field Change.
- C. Refer to Attachment "A" for Owner's template for the Record Documents Edit Log

2.03 RECORD DRAWINGS

- A. Contractor must mark-up Drawings that are most compatible for showing actual physical condition, fully and accurately and must reference all other appearances of this Work to the updated sheet. Contractor must include cross-references to the Change Order number on the updated Drawing sheet and all additional sheets where the Work is shown.
 - 1. Contractor must mark-up with erasable colored pencil, in a legible and professional manner using separate colors where feasible, to distinguish between changes for different categories of Work at the same general location.
 - 2. Contractor must mark-up important additional information, which was either shown schematically only or omitted from the Construction Documents. Contractor must give particular attention to information on concealed work that would be difficult to identify or measure and record at a later date.
 - 3. Contractor must require each person preparing mark-ups to initial and date the mark-ups and indicate the name of their company
 - 4. If Supplemental Drawings are used, Contractor must follow the requirements below for Supplemental Drawings.
 - 5. In association with Contractor's request for Substantial Completion inspection, Contractor must submit one (1) copy of the marked-up record drawings to Project Workspace for Owner review. Drawings shall be scanned and indexed in Adobe PDF format.

2.04 SUPPLEMENTAL DOCUMENTS

- A. The use of Shop Drawings and/or fabrication drawings as supplements to the final record drawings is required for all items in which the larger scale employed on the Shop Drawings is needed to show the work in sufficient detail for Owner's future use. When marked-up Shop Drawings are included in the Record Documents, Contractor must mark-up and cross-reference on the Contract Drawings at the corresponding location.

- B. During maintenance and updating of the Record Drawings, the applicable Supplemental Documents must be placed in the set directly behind the Drawing that it supplements, with appropriate reference notes on both the applicable Record Drawing and all other affected drawings.
- C. The Supplemental Document must be identified as a Record Document and must be numbered with an extension to the Drawing it supplements in a manner acceptable to the Owner.

2.05 RECORD SPECIFICATIONS

- A. It is mandatory that all changes to specified materials, installation, warranty, etc. be clearly and fully marked within the applicable Specification section in a manner acceptable to the Architect/Engineer and the Owner. Contractor shall review with the Owner and document an acceptable procedure early in the construction phase.
- B. Contractor must give particular attention to substitutions, selection of options, and similar information on work where the exact products used are not clearly identified or readily discernible in the original Specifications. When applicable, Contractor must cross-reference related Record Drawing information and product data.
- C. Contractor must neatly transcribe and post all marked-up information to a "clean" copy of the Specifications, ensuring that similar types of information are annotated in like fashion throughout the Specifications.
- D. In association with Contractor's request for Substantial Completion inspection, Contractor must submit the marked-up Site copy of the Record Specifications to the Owner for review. Upon the Owner's acceptance that the Record Specifications are accurate and complete, the Architect/Engineer will proceed with preparation of Final Specifications.

2.06 RECORD SUBMITTALS

- A. During progress of the Work, Contractor shall maintain copies of each approved product submittal and Shop Drawing, including documentation of all Architect/Engineer and Owner comments. Contractor shall include variations in product as delivered to the Site and variations from manufacturer's instructions and recommendations for installation.
- B. Contractor shall give particular attention to concealed products and portions of the Work that are not clearly identified in the original Submittal or cannot otherwise be readily discerned at a later date by direct observation. Contractor shall cross reference to change orders and record drawings and specifications.
- C. These Record Submittal requirements are in addition to inclusion of similar material as Supplemental Drawings or data for Operating and Maintenance Manuals.

PART 3 - EXECUTION

3.01 SUBMISSION

- A. Prior to requesting Substantial Completion, Contractor shall submit all Record Documents via Project Workspace.
 - 1. Contractor is responsible for each Subcontractor submission and coordination of Record Documents.
 - 2. Contractor shall submit to the Owner and Architect/Engineer, a PDF indexed with scanned color copies of each Record Drawing.

3. Submit all Record Documents related to each Subcontractor's particular Work, whether or not changes and additional information were recorded.

END OF SECTION 01 78 39

ATTACHMENT "A" – RECORD DOCUMENTS EDIT LOG

Download an Electronic Version of the Record Documents Edit Log template at the following Internet Address

<http://www2.mdanderson.org/depts/cpm/standards/supp.html#templates>

RECORD DOCUMENTS EDIT LOG

This log is used to capture all edits and changes made to the record documents (drawings, specifications, approved submittals). When making ANY edit/change to the record documents, the person making the edit/change shall document it by making an entry in this log. By keeping this log, all project stakeholders can easily see what has been done to the record documents. This will help ensure a complete set of record documents, make it easier to coordinate record document maintenance between all parties, and improve the quality of the final product.

Edit Types		
Abbreviation	Edit Type	Example/Notes
RFI	Request for Information	Changes/clarifications made to the contract documents by RFI's.
CO/RFP	Change Order or Request for Proposal	The Change Order is the official change document, but reference to the RFP may be necessary if the CO is in process.
Field Change	Field Change	A change that was made without an initiating document that is within the allowable tolerances. If the change is followed up on with an RFI, RFP/CO then it is no longer a field change.
Red Line	Red Line, As-Constructed, Omitted or Not Shown in drawings	This is for work that is not specifically shown in the drawings. For example, the electrical circuit locations may not be shown in the design, but the electrical sub-contractor has drawn them on the contract drawing sheet.
Sup. Doc.	Supplemental Document	Shop Drawings, sketches, schematics that show the work in greater detail and are intended to be included with the final as-built documents. Could be issued by any party. MEP shop drawings are required to be included with the record documents.
Revision/ASI	Revisions or Architect's Supplemental Instructions	Changes/clarifications made to the contract documents by ASI's or revisions issued by A/E
Addendum	Addendum	Changes/clarifications made to the contract documents by Addenda.

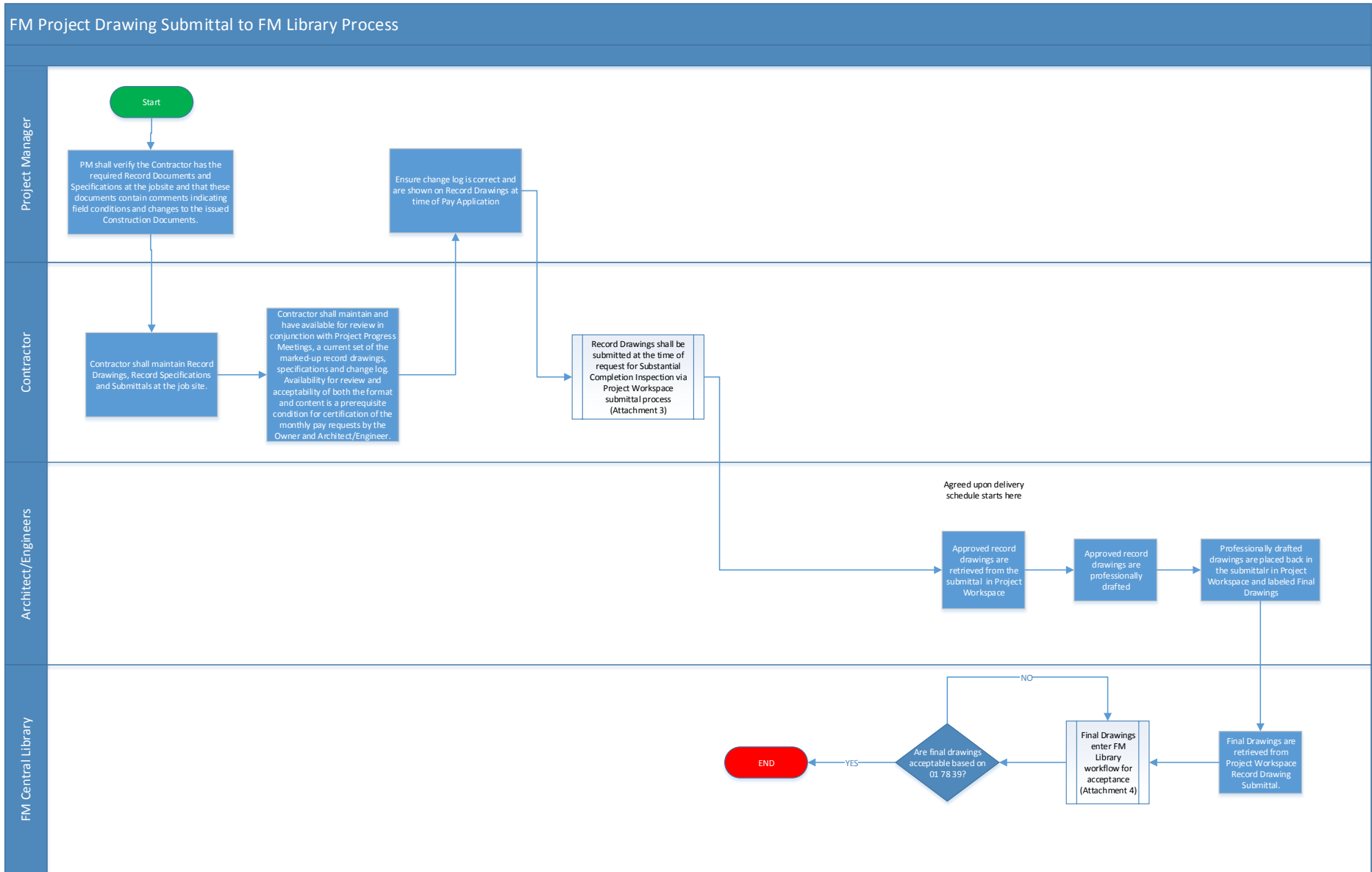
Date Edited MM / DD / YYYY	Name and Company of Person Making Edit	Edit Type(s) <i>Select all that apply</i>	Reference <i>Ex. RFI-123</i>	Sheet(s) Edited	Description of Edits
/ /201		<input type="checkbox"/> RFI <input type="checkbox"/> CO/RFP <input type="checkbox"/> Field Change <input type="checkbox"/> Red Line <input type="checkbox"/> Sup. Doc. <input type="checkbox"/> Revision/ASI <input type="checkbox"/> Addendum <input type="checkbox"/> Other:	<input type="checkbox"/> N/A		
/ /201		<input type="checkbox"/> RFI <input type="checkbox"/> CO/RFP <input type="checkbox"/> Field Change <input type="checkbox"/> Red Line <input type="checkbox"/> Sup. Doc. <input type="checkbox"/> Revision/ASI <input type="checkbox"/> Addendum <input type="checkbox"/> Other:	<input type="checkbox"/> N/A		

Project # and Name:

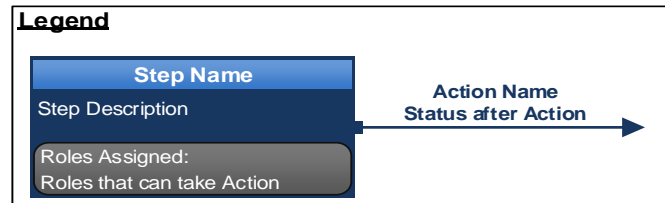
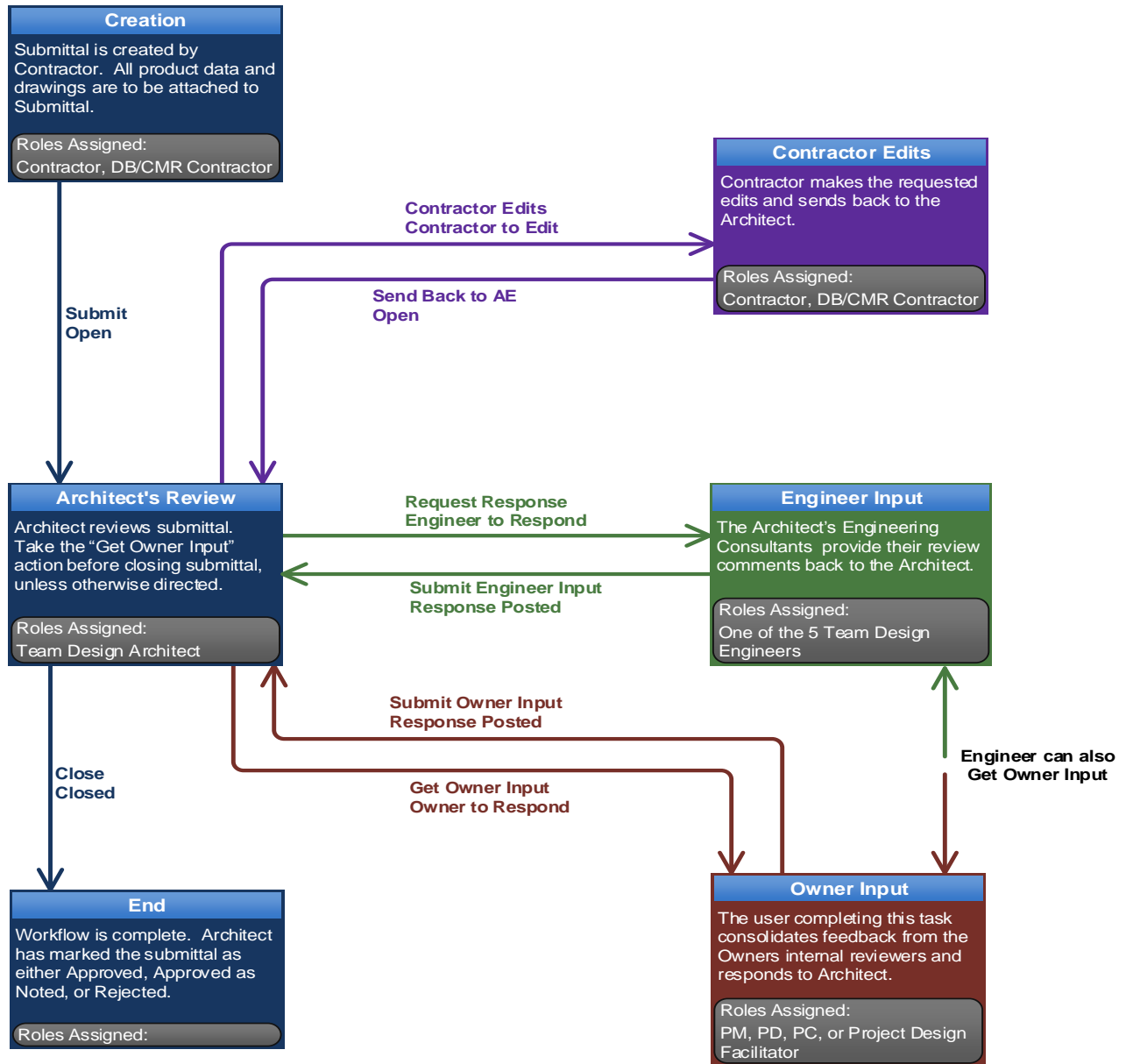
GC:

Primary Contact for Record Documents:

ATTACHMENT "B" – DRAWING SUBMITTAL TO FM LIBRARY PROCESS



PROJECT WORKSPACE SUBMITTAL WORKFLOW



ATTACHMENT "D" – FACILITIES CENTRAL LIBRARY WORKFLOW

