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GUIDELINE:

Applies to: All Planning, Project Management and Business Office Employees of the Operations & Facilities Management Department(OFMD)

PURPOSE:

To establish a standardized process for the record keeping of documents related to all projects assigned to OFMD. These records, whether electronic or hardcopy, are important records of the work performed by OFMD and must be organized for easy retrieval by authorized FMD staff. By establishing a standardized folder, OFMD can facilitate consistency amongst projects, reduce workload by using a template and ease the alignment of electronic and hardcopy file structure.

DEFINITIONS:

- A. Record – Any document, device or item, regardless of physical form or characteristic, created or received, that serves to provide evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of a project.
- B. Non-Record – Any document that does not document the function, policies, decisions, procedures, operations, and activities of a project.
- C. Service Now/PMWeb – Current/Future software programs purchased by the University to manage the maintenance, repair, renovation and construction of its facilities.
- D. Continuing Services Contract – A Washington University School of Medicine (WUSM) contract with select vendors as defined by the Continuing Services process.
- E. Planner/Project Manager – Any employee assigned to manage a project.
- F. Project and Records Coordinator (PRC) – An employee assigned to work with the Planner/Project Manager to manage project documents and closeout process.
- G. Project Control Specialist (PCS) – An employee assigned to set up and work with the Planner/Project Manager to manage the financial aspect of projects.
- H. WUSM – Washington University School of Medicine
- I. OFMD – Facility Management Department

BACKGROUND:

It is the responsibility of the Planner/Project Manager to keep accurate records of projects to serve as a historical record for OFMD Facilities Engineering, WUSM Real Estate and for auditing purposes. These records serve as evidence of the decisions/approvals made throughout the project as well as a benchmark for future projects. All documentation should be filed in a way to allow for quick and easy access by all employees and supervisors of OFMD.

The project folder serves as the basis for organizing all project documents. By keeping both electronic and hard copies of these documents, it ensures all pertinent documents will be available.

GUIDELINES:

A. Identifying Records

If you answer “yes” to any of the questions below, you must have a record:

- Was it created in the course of project business? (i.e., correspondence, agreements, contracts)
- Does it document project activities and actions? (i.e., change orders, purchase requests, approval memos)
- Is it mandated by statute or regulation? (i.e., asbestos abatement manifest)
- Does it support financial obligations or legal claims? (i.e. invoicing, funding agreements)
- Does it communicate project requirements? (i.e. policies, procedures, drawings, specifications)
- Is it necessary for Facilities Engineering to maintain the project systems? (i.e. O&M Manuals, Service Specifications, Warranties, As-built drawings, etc.)

B. Project Folders

1. Upon receipt of the Planning and Project Request Form, the Planner/Project Manager will be assigned. The Planner/Project Manager will contact the PCS to request a project number. The PCS will send the project number to the Planner/Project Manager and PRC. The PRC will set up an electronic project folder on the G Drive. The project title will also be determined at that time using the building name, the floor(s), the department name and the project type (e.g. Olin Hall 4fl EH&S Temporary Relocation from Shriners).
2. Each project will have its own project folder on the G Drive (sorted by building) using the Project Master format below.
3. The Planner/Project Manager will file all project documents in the project file under the appropriate folder based on the phase/step of the project. It is the Planner/Project Manager’s responsibility to keep their aspects of the project folders orderly throughout the duration of the project.
4. The Planner/Project Manager will store their project folders so that they are made easily available for management at any given time during the project.

5. Upon project close-out, the Planner/Project Manager will purge duplicate forms, correspondence and/or paperwork that add no value.
6. The PRC will develop a Project Master with folders labeled in the following ways:

A: Project Financial Information/Bidding & Procurement

1. Budgets
 - a. Cost Estimates
2. Resolutions
3. RFPs, Proposals, Quotes & Bids
4. Accepted Proposal, Contracts & POs
5. Change Proposals, COs & DRCs
6. Invoices & Pay Apps
7. Reports
8. Bid Docs
9. Final Cost Report

B: Schedules

1. Owner
2. Designer
3. Contractor

C: Drawings & Specs

1. Schematic Design
2. Design Development
3. Bid Docs
4. Construction Docs

D: Sustainability & LEED

E: Tracking

F: Needs & Scope Development

1. PPR
2. Existing Conditions
3. Planning
4. Programming
5. Charter
6. Meetings

G: Design

1. Basis Of Design
2. OFMD Coord
3. Owner Procured
 - a. AV
 - b. Furniture
 - c. Equipment
 - d. Signage
 - e. Toilet Accessories
4. Meetings

H: Construction

1. Kick-Off Forms
2. Permits
3. Submittals
4. RFIs
5. Clarifications & Change Requests
6. Field Reports
7. Testing & Inspection Reports
8. Photos
9. Punch Lists
10. Meetings

I: Transition, Activation & Closeout

1. Occupancy
 - a. Move Mgmt
 - b. Keying
2. Closeout
 - a. CSC
 - b. O&M
 - c. Record Docs
 - d. Warranties
 - e. Closeout Docs

C. File Nomenclature

1. All project files shall have consistent nomenclature.
2. Project Number – ID and date (unique sequential number).
3. Project Name – Name, Department and Project Name (30 characters or less).

D. E-Mail Management

1. All significant email records are to be saved in the appropriate project folder by converting the email(s) to a pdf.
 - To convert to a PDF, open the email and click on “file”, choose “save as Adobe PDF”, and save the file as a PDF.
2. The email pdf should have the following nomenclature: the topic, the name of the person the email was sent to and the date of the email.
3. Once the project is completed, the Planner/Project Manager shall purge duplicate email correspondence, including deleting prior emails in the email chain as long as there are no attachments in the email chain.