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**GUIDELINE:**

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

**PURPOSE:**

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

**DEFINITIONS:**

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- 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/PM Web – Current/Future software programs purchased by the University to manage the maintenance, repair, renovation and construction of its facilities.
- D. FIRM – Facilities Investment Renewal Management – Projects for the maintenance and repair of public areas in buildings and grounds approved by the Buildings and Grounds Committee for execution.
- E. Continuing Services Contract – A Washington University School of Medicine (WUSM) contract with select vendors as defined by the Continuing Services process.
- F. Planner/Project Manager – Any employee assigned to manage a project.
- G. Project and Records Coordinator (PRC) – An employee assigned to work with the Planner/Project Manager to manage project documents and closeout process.
- H. Project Control Specialist (PCS) – An employee assigned to set up and work with the Planner/Project Manager to manage the financial aspect of projects.
- I. WUSM – Washington University School of Medicine
- J. FMD – Facility Management Department

## **BACKGROUND:**

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It is the responsibility of the Planner/Project Manager to keep accurate records of projects to serve as a historical record for FMD 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 FMD.

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:**

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### **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 adds 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
2. Resolutions
3. Financial Forecasts/Monthly Cost Reports
4. Contracts & Purchase Orders
5. Change Proposals & Change Orders
6. Pay Applications
7. Invoices/ Misc. Payments
8. Insurance Forms
9. Proposals/Bids
  - a. Architect/Engineer
  - b. Construction Manager/General Contractor
  - c. Commissioning
  - d. Special Inspections
  - e. Security
  - f. Voice/Data
  - g. Move Management
  - h. Signage
  - i. Audio Visual
10. RFP's (Request for Proposals) and RFQ's

**B: Schedules**

1. Preliminary Schedules
2. Design Schedules
3. Construction Schedules
4. Owner Schedules
5. Occupancy/Move Schedules

**C: Drawings**

1. Schematic Design
2. Design Development
3. Construction Documents
4. Bidding Documents
5. Agendas, Bulletins, Supplemental Information

**D: Needs and Scope Development (Project Initiation & Planning)**

1. Project Intake and Assignment
2. Planning
3. Program of Requirements (POR) / Limited Scope Agreement

**E: Design Phase**

1. Meeting Agendas & Meeting Minutes
2. Project Charter Update
3. Basis of Design

4. A/E Correspondence
5. User Correspondence
6. Department Requested Change Forms
7. Environmental
  - a. Hazardous Materials Surveys
  - b. Phase I & Phase II Assessments
  - c. Air Monitoring / Reporting
8. FMD Coordination
  - a. Security
  - b. EH&S
  - c. Facilities Engineering
  - d. Voice / Data
9. MEP
10. Interior Design
11. Sustainability / LEED

**F: Construction**

1. Preconstruction
2. Meeting Agendas and Meeting Notes
3. Architect- Engineer Field Reports
4. Contact Lists / Emergency Call Lists
5. FM Global
6. Testing and Inspection Reports
7. Permitting / AHJ Correspondence
8. Requests for Information
9. Submittals
10. Safety
11. Weather Days
12. Progress Photos
13. Commissioning / MEP Coordination
14. MBE/WBE Participation
15. Punch Lists
16. Certificate of Substantial Completion

**G: Occupancy & Owner Provided Services**

1. Audio Visual
2. Furniture
3. Equipment
4. Move Management
5. Keying
6. Signage
7. Appliances, Toilet Accessories & Vending

**H: Project Closeout**

1. Operations and Maintenance Manuals
2. Warranties

3. Record Drawings

**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.
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.