

Appendix C – List of Standard Correspondence

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<u>CM Chapter</u>	<u>REFERENCE</u>	<u>DESCRIPTION OF SUBJECT</u>	<u>ADDRESSEE</u>	<u>PREPARER</u>	<u>REVIEWER</u>	<u>SIGNER</u>
1-1	Work Schedule	Work Schedule Change	Proj. Inspector	TE3	TSE	ADE
1-1	Hazardous Duty	Hazardous Duty Request Form	DE	TE3	TSE	ADE
1-1 & 2	Contract Start	Installation of Const. Field Office	Contractor	Chief	TE3	TSE
1-1 & 7	Design Review	Design Review Comments	Prin. Des Eng	PE	TSE	ADE
1-1 & 20	Press Release	Press Release	Const. Div. Chief	Chief	TE3/TSE	
1-1 & 2-3	Safety & Blasting Meeting	Safety & Blasting Meeting Notice	Contractor/ Utility	Chief	N/A	TE3
1-2	Pre-Con Notice	Pre-Construction Meeting Notice	Contractor	Chief	TE3	TSE
1-2 & 22	Contract Start	Notice to Proceed	Contractor	Chief	TE3	DE
1-3	Transmittal Memo	Working Drawings	Design	TE3	N/A	TE3
1-3	Transmittal Letter	Working Drawings Comments	Contractor	TE3	TE3	TSE
1-3	RFI	Design Question (No Contract Changes)	Design	Chief	N/A	Chief
1-3	RFI Answer	Answer to Design Question (No Contract Changes)	Contractor	Chief	TE3	TE3

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1-3	Field Directive	Direction to Contractor	Contractor	Chief	N/A	Chief
1-3 & 6	Request for Price	Extra Work Price Request	Contractor	Chief	TE3	TSE
1-3 & 16	Interoffice Memo	Design Issue (Routine)	Design	TE3	TSE	TSE
1-3 & 2-1	Env. Monthly Reports Env. Start/Stop	Letter for all other Interdepartmental Form STO-201 (DEP)	Regulatory Agency	Env. Coord.	N/A	Env. Coord. DE
1-4	Testing (Memo)	Insufficient Test Coverage or Rejected Material	Rocky Hill Lab	Chief	TSE/TE3	ADE
1-5	Price Adjustment	Minor Item Adjustment	Contractor	TE3	TSE	ADE
1-6	Price	Agreed Price Approval	Contractor	Chief/PE*	TE3/TSE	ADE
1-7	Time Extension	Time Extension Analysis	ADE	Chief & TE3*	TE3	TSE
1-7	Time Extension	Letter to Contractor				
1-8	Construction Orders Processed Unsigned	Construction Orders Processed Unsigned	Contractor	Office	N/A	TSE (Office)

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1-10	Evaluations – Contractor	Contractor Performance Evaluation Rating	OOO	Inspector	TE3	N/A
1-10	Inspection Notice (Semifinal)	Semifinal Inspection Notice (inc. Partial)	Contr./Town/ Utility	TE3	N/A	TSE
1-10	Inspection Results (Semifinal)	Semifinal Inspection Results	Contractor	TE3	N/A	TSE
1-10	Inspection Results (Final)	Final Inspection Results Memo	DE	TSE/Princ.*	N/A	ADE
1-10	Project Closeout (1 st)	Final Project Closeout – (enclosures)	Contractor	Chief	N/A	
1-10	Project Closeout (2 nd)	Final Project Closeout – (2 nd Request)	Contractor	TE3	N/A	TSE
1-10	Project Closeout (3 rd)	Final Project Closeout (3 rd Request)	Contractor	TE3	TSE	ADE
1-10	CON-100	Notice of Completion of Construction Work	Various	Chief	TE3	ADE
1-10	Return of Maint. to Municipality		Municipality	TE3	TSE	DE
1-10	Final (Partial Relief of Responsibility)	Partial Relief of Responsibility - (with exceptions)	Contractor	TE3	TSE	ADE
1-10	Final (Relief of Responsibility)	Relief of Responsibility (agree with CON-500)	Contractor	TE3	TSE	ADE
1-10	Final – Construction Report	Construction Report		Chief	TE3	ADE
1-10	Final – Req. for Form FHWA-47	Request for Form FHWA-47	Contractor	Chief	N/A	TE3

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1-10	Final – Acceptance w/Docs. Pending	Acceptance of Project with Documents Pending	Const. Admin.	Chief	ADE	DE
1-10	Final Acceptance	Final Acceptance	Contractor/Town	Chief	TSE	TSE
1-10 & 11	Final Audit Request for...(List Item)	Final Audit Request for “...”(List Item)	AUDITS	FINALS	N/A	TE3
1-10 & 11	Final Audit Request	Final Audit Request	AUDITS	FINALS	TSE	ADE
1-11	District’s Response to Headquarters’ Final Review			Chief	TE3	ADE/DE
1-12	Prompt Payment 1, 2		Contractor	Admin. Asst.	N/A	DE
1-12	Prompt Payment 3		Contractor	Admin. Asst.	N/A	Const. Div. Chief
1-12	Prevailing Wage Referral Form	Prevailing Wage Discrepancy	Department of Labor	EEO Coordinator	TE3	TSE (Office)
1-13	Utility – Contract Start	Start Relocation (with permit)	Utility	Util. Coord.	TSE	DE
1-13	Utility – Contract Start	Notice to Commence Operations	Railroad	Util. Coord.	TSE	DE

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1-13	Utility – Change in Scope	Authorization of Change in Scope	Utility	Util. Coord.	TSE	DE
1-13	Utility – Final Audit Request	Final Audit Request – Utility	Audits	Finals	N/A	TE3
1-13	Utility – Final	Final Audit Payment – State Reimbursement	Town	Util. Coord.	TSE	DE
1-13	Utility – Final	Final Audit Payment – State Reimbursement	Accts. Receivable	Util. Coord.	N/A	TE3
1-13	Utility – Final	Final Audit Payment – Final Payment Invoice	Town	Util. Coord.	N/A	TE3
1-13	Utility – Final Audit Payment	Final Audit Payment – Final Payment Invoice	Audits	Util. Coord.	N/A	TE3
1-13	Utility/Railroad Force Account	Activate (Deactivate) Force Account	Utility	Util. Coord.	N/A	TE3
1-15	Insurance Claim	Insurance Claim	Contractor	Office	N/A	TE3
1-15	Insurance Claim	Insurance Claim	Claimant	Office	N/A	TE3
1-17	Consultant – Certification	Subconsultant Scope and DBE Approval	Negotiations	TE3	TSE	ADE
1-17	Consultant – Contract Start	Notice to Proceed (Newington Letterhead)	Consultant	TE3	DE	Chief Engr.
1-17	Consultant – Fee Proposal	Fee Proposal	Negotiations	TE3	TSE	ADE
1-17	Consultant Personnel Assignment	Personnel Assignment	Consultant	TE3	TSE	ADE

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1-17	Consultant Personnel – Pay Increase	Pay Increases	Consultant	TE3	TSE	ADE
1-17	Consultant – Invoice Adjustment	Invoice Adjustments	Consultant	TE3	N/A	TE3
1-17	Consultant – Extra Work Claim	Extra Work Claim	DE	TE3	TSE	ADE
1-17	Consultant – Evaluations	Consultant Evaluations	Const. Div. Chief	TE3	N/A	ADE
1-17	Consultant – Semi-annual Evaluation	Semi-annual Evaluation	Consultant	TE3	N/A	TE3
1-17	Consultant – Insurance – Expiration	Certificate of Insurance	Consultant	Office	N/A	TE3
1-17	Consultant – Final	Final Audit Request	Audits	TE3	TSE	ADE
1-17	Consultant – Final	Final Audit Payment – State Reimbursement	Consultant	TE3	TSE	ADE
1-17	Consultant – Final	Final Audit Payment - Final Payment Invoice	Consultant	TE3	TSE	ADE
1-17	Consultant – Completion Date	Revision to Supplemental Agreement	DE	TE3	TSE	ADE
1-17	Consultant – Semi-Final Invoice	Request for Semi-Final Invoice	Consultant	TE3	TSE	DE

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1-19	Insurance Expiration (Contractor)	Notice of Insurance Expiration	Contractor	Office Staff	N/A	Office Staff
1-19	Contract Revision/ Performance Bond	Bond No. xxx (Revision, rider enclosed)	Contractor	Office	TSE/TE3	TSE (Office)
2-7 & 2-8	Concrete Cold Weather	Cold Weather Concrete Work	Contractor	Chief	N/A	TE3
N/A	Test – 30 day (Begin) – Signals	Commencement of 30-Day Test Period	Contractor/ Town	Chief	N/A	TE3
N/A	Test – 30 Day (End) – Signals	Completion of 30-Day Test Period	Contractor/ Town	TE3	TSE	ADE

Standard List of Project Correspondence to be Maintained in Folders at the Field Office

Correspondence and other project information that is not part of the Volume Record-keeping system must be kept in an organized manner at the field office. Correspondence is sent through the District before it is forwarded to the field office. However, it is unacceptable for field type “speedy memorandums” from the Inspector to the Contractor to only be maintained at the field office.

The degree of the complexity of the system to keep the folders varies on the size of the project. Smaller projects in nature are usually kept by category of the contents of the folder. Larger projects that are required to use Primavera Contract Management formerly known as Primavera Expeditions use a more complex numerical sequential system. Usually the system is on an Excel spreadsheet and can be carried from project to project with minor alterations. The following are some examples of folders to be maintained on both smaller and larger projects. **Files to be maintained in a Field Office (Smaller projects use the major files in bold and larger projects may want to use all of the files).**

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PROJECT DESCRIPTION - LOCATION - CITY		
CONTRACT	PROJECT	FAP #
FILE NO.		
0-99	GENERAL INFORMATION	
006	CONTRACTOR EVALUATIONS	
008	CONSTRUCTION CONTRACT (SPECS, REQUIREMENTS)	
009	PERMIT CORRESPONDENCE	
009.1	DEP	
009.2	ACOE	
009.3	USCG	
010	UTILITY AGREEMENT CORRESPONDENCE	
010.1	UI	
010.2	RWA	
010.3	P&WRR	
010.4		
010.5	CITY OF NEW HAVEN	

011	RIGHT OF WAY/DETOUR AGREEMENTS
013	SURVEY CORRESPONDENCE
015	AGREEMENTS W/CLIENT/CONSULTANT
015.1	HEADQUARTERS EXAMINERS REPORT
100	BID & AWARD DOCUMENTS
108	NOTICE TO PROCEED
200-299	CONSTRUCTION STARTUP
201	PRECONSTRUCTION MEETING MINUTES
202	ESSENTIAL PERSONNEL INFO/PHONE NUMBERS
203	FIELD OFFICE (CHAPEL ST.)
204	SUBCONTRACTOR CORRESPONDENCE
204.1	
204.2	
205	LOCAL BUSINESSES, LANDOWNERS CORRESPONDENCE
300-399	COMMUNICATIONS CONTROL
301	CDOT CORRESPONDENCE
301.1	FROM OTHERS TO CDOT
301.2	FROM CDOT TO CONTRACTOR/OTHERS
301.3	CDOT INTERNAL CORRESPONDENCE
301.4	FROM CONSULTANT TO DOT
301.5	FROM DOT TO CONSULTANT
301.6	FROM CONSULTANT TO CONTRACTOR
302	DESIGNER CORRESPONDENCE
302.1	TO DESIGNER
302.2	FROM DESIGNER
303	CONTRACTOR CORRESPONDENCE
303.1	FROM OTHERS TO CONTRACTOR
303.2	FROM CONTRACTOR TO CDOT AND CONSULTANT
303.3	FROM CONTRACTOR TO OTHERS

304	UTILITY CORRESPONDENCE
305	STATUTORY AUTHORITY CORRESPONDENCE
305.1	DEP
305.2	ACOE
305.3	FHWA
307	SUBCONSULTANT CORRESPONDENCE
307.1	PB AMERICAS
307.2	SUB-CONSULTANT
307.3	TRC
308	TELEPHONE CALL REPORTS
309	EMAILS
310	FIELD MEMORANDUMS
310.1	TO CONTRACTOR
310.2	FROM CONTRACTOR
310.3	OUTGOING FAXES
310.4	INCOMING FAXES
320 - 327	MEETING MINUTES
323	SCHEDULE MEETINGS
324	MISC. MEETING MINUTES
325	PROGRESS MEETING MINUTES
326	UTILITY MEETING MINUTES
327	DESIGN MEETING MINUTES
328	CONTRACTOR/SUBCONTRACTOR EQUIPMENT
329	CDOT PROCEDURES/ADVISORIES
330	INSURANCE RECORDS
330.1	CONTRACTOR
330.2	SUBCONTRACTOR
403	REQUEST FOR INFORMATION
403.1	RFI #1

403.2	RFI #2
404	AS-BUILT DRAWINGS
406	CONTRACT DWG CHANGES
407	SUBMITTALS
408	DESIGN INQUIRIES (5000 SERIES - RFI'S FROM US ONLY NOT CONTRACTOR)
500-599	SCHEDULE CORRESPONDENCE
501	INITIAL BASELINE SCHEDULE
502	PROJECT SCHEDULE UPDATES
503	TWO WEEK SCHEDULES
504	NIGHT/WEEKLY SCHEDULES
505	SCHEDULE CHANGES/TIME EXTENSIONS
600-699	COST CONTROL
600	RETAINAGE
601	PAYMENT ESTIMATES
602	PAYMENT ESTIMATE CORRESPONDENCE
603	UNIT PRICES
603.1	PAYMENT ISSUES
604	QUANTITY CORRESPONDENCE
605	MATERIAL STORED ON SITE
606	CONSTRUCTION COMMUNICATION EQUIPMENT
607	COST PLUS RECORDS
607.1	FINAL COST PLUS
608	MATERIAL RECEIPTS
609	TRAFFICMEN
609.1	TRAFFICMEN INVOICES
610	EXTRA WORK
610.1	REQUEST FOR PRICE
610.2	PRICE SUBMITTALS/PROPOSALS
610.3	PRICE ACCEPTANCE/DENIAL

611	CONSTRUCTION ORDER CORRESPONDENCE
612	VALUE ENGINEERING CHANGE PROPOSALS
613	ISSUES / DISPUTES
800	QUALITY CONTROL
807	REQUEST FOR CHANGE
807.1	RFC #1
820	TESTING CORRESPONDENCE/PROCEDURES
821	EARTHWORK TESTING
822	CONCRETE INFO
822.1	CONCRETE TESTING
822.2	CONCRETE TICKETS
823	HAZARDOUS MATERIALS
824	MISC. TESTING
825	SEDIMENTATION HANDLING
826	MATERIAL DISPOSAL
826.1	VS&G TICKETS
827	EXCAVATED MATERIAL TRANSFER TICKETS
828	STONE TICKETS
829	MATERIAL CERTIFICATES
830	CDOT TEST REPORTS
831	SUPERPAVE/ASPHALT INFO
832	ULTRASONIC TESTING INFO
843	ENVIRONMENTAL COMPLIANCE
844	WATER POLLUTION CONTROL
850	REUSE MATERIAL
860	NON-CONFORMANCE NOTICES
900-999	SAFETY & LOSS CONTROL
901	OWNERS SAFETY PLAN/CORRESPONDENCE
902	CONTRACTORS SAFETY PLAN/CORRESPONDENCE
903	HASP

904	SIGNAGE
905	TRAFFIC CONTROL/SIGNALIZATION
906	SITE SECURITY
913	ACCIDENT/INCIDENT REPORTS
930	STOP WORK NOTICES
1000	PUBLIC RELATIONS/NOTIFICATIONS
1001	PARTNERING INFO
1002	CONTACTS W/PUBLIC, RIDEWORKS
1003	NEWS MEDIA
1004	COMPLAINTS
1100	CONTRACT CLOSEOUT & COMPLETION
1101	WARRANTIES/GUARANTEES
1105	RELIEF OF RESPONSIBILITIES
1106	PUNCHLISTS
1107	SEMIFINAL INSPECTIONS
1120	MISC. CLOSEOUT DOCUMENTATION
1200	PAYROLL INFORMATION
1205	CONTRACTOR PAYROLLS
1206	
1207	SUBCONTRACTOR PAYROLLS
1207.1	SUBCONTRACTOR
1207.2	SUBCONTRACTOR
1207.3	SUBCONTRACTOR
1208	EEO / AA INFO
1209	LABOR WAGE CHECK INFO
1210	DBE INFO
1211	SUBCONTRACTOR APPROVALS
1215	APPRENTICE/TRAINEE DOCUMENTS
1300	ISSUE FILE