

Filing System

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- File Folder Labels Template *(Adobe Acrobat pdf form)*
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Introduction

A uniformly structured Filing System (FS) is important for many reasons. FS records remain complete and accessible despite changes in agency organization, personnel, and records keeping technology. Time wasted searching a FS for information is minimized. A FS fosters cooperation in the retrieval and exchange of information throughout RCTD and with partnering agencies as well. A FS can be used to separate records with different retention requirements to assist retention and disposition activities.

RCTD has created a FS for managing RCTD capital improvement projects. RCTD's FS is based on a Uniform Filing System (UFS) created by Caltrans and included in Caltrans' Project Development Procedures Manual, which is currently available at the following Internet URL.

www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm

RCTD has used Caltrans' UFS as the basis for the RCTD FS, however, the implementation has several modifications intended to simplify the structure and address differences between the two organizations.

RCTD has implemented two filing structures. The first is intended for complex projects that may involve federal or state records retention requirements or large and complex documentation needs. The second is for basic improvement projects that are typically completed by internal RCTD staff. The two structures used by RCTD are provided in this appendix.

In an effort to simplify the process of creating labels for filing folders, RCTD has created several Acrobat PDF documents pre-formatted for printing onto commercially available label sheets.

Managing hardcopy files in folders stored in file cabinets is inherently different than managing files stored on a computer. It is relatively simple to use a computer's searching capability to find a document stored in a folder containing thousands of files. This would be very difficult with hard copies. Conversely, putting documents in many layers of nested folders on a computer can make

managing files more difficult. RCTD has therefore created separate structures for storing files on a computer with the premise of nesting folders no more than two folders deep. Separate filing structures for complex and simple/small projects have been created for the computer storage formats similar to the separate structures for the hard copy files. A printout of the standard computer folder/directory structure is provided in this appendix. Pre-formatted folders/directories have been created and are provided in a zip file that is included as a part of the electronic files supporting this manual.

RCTD PROJECT FILING SYSTEM

A PROJECT MANAGEMENT & ADMINISTRATION

100	PROJECT CONTROL	
110	✓ Scoping / Programming	Data Research, Field Reviews, Scoping Forms, Budgets, Funding Programs, Preliminary Engineering Study (PES)
120	✓ Cost Estimates	Planning/TIP Estimates, Preliminary Estimates, Draft & Final Engineers Estimates, Log of Estimates
130	Progress Tracking	Schedules, Status Reports, Progress Reports
140	✓ Agreements	Coop Agreements, Freeway Agreements, Caltrans Supplemental Agreements, PO's, Consultant Services Agreements, MOU's, On-Call Work Assignments, Request for Proposal (RFP), Selection Process Records
150	Authorizations / Approvals	Includes applications for authorization and the actual approvals... New Connection, TIP Budget, Directors Office Directives, Federal Requests for Authorization, E76 Approvals, Pre-award Audit
160	Expenditures	Invoices, Cost Accounting Reports, COZEET invoices, Misc Expenses
170	Project Development Team	Members, Meeting Minutes, Action Items, Approval Memos
180	QA/QC Plan	
300	✓ CORRESPONDENCE	
310	Federal & State Agencies	Caltrans, FHWA, Resource Agencies
320	Other Agencies	Cities, Counties, School Districts, Assessment Districts, Railroad, etc.
330	Utility Companies	AT&T, SCE, SCG, Sprint, Time Warner, Verizon, CVWD, IID, Charter, MWD, EMWD, WMWD, Others...
340	County Agencies/Departments	Real Property, Flood Control, County Counsel, RCTC, WRCOG, CVAG
350	Elected Officials	
360	Consultants	
370	Private Groups or Individuals	Native Americans, Community Councils, Developers
400	Directors Office	
410	TIP/Programming	
420	Environmental Planning	
430	Development Review	
440	Survey	Field Surveys, Right-of-way Mapping
450	Traffic	
460	Construction	Materials Lab
470	Highway Operations	
500	Project Development	Internal Divisional Correspondence, i.e.. Design, Utilities, Division Manager
510	Memo's to file	Phone calls, Informal meetings/discussions

RCTD PROJECT FILING SYSTEM

B ENVIRONMENTAL

100	✓	ENVIRONMENTAL	
110		Public Information	Public Info Meetings, Public Hearings
120		Environmental Assessment	Preliminary Environmental Evaluation (Preliminary Environmental Analysis Report)
130		Technical Reports	Noise Study, Air Quality analysis, Visual Impact Analysis, Historical Evaluation, Archaeological Assessment, Hazardous Waste Assessment, Relocation Impact Analysis, Socioeconomic Impact Analysis, Wetlands Delineation, Paleontological Survey, Biological Assessment, Section 4(f), Farm Land Analysis, Floodplain Risk Assessment, Mitigation Plan, Focused Biological Surveys, NPDES (WQMP/SWPPP/SWDR)
140		Draft Environmental Document	
150		Final Environmental Document	
160		Environmental Permits	1601, 404, Section 10a, Section 7, RWQCB 401, NPDES

C DESIGN

100		CONCEPTUAL DESIGN	
110	✓	Planning Studies	Feasibility Study, Project Study Report (PSR), Existing Materials Information (As-builts), Traffic Data (existing and forecasted traffic), Traffic Study (level of service, capacity adequacy, operational analysis, accident History), Traffic Management Plan, Local Land Use, Advance Planning Studies, Right-of-way and Utility considerations, Basic Design Features, Railroad Preliminary Report.
120		Alternatives Development	Preliminary Geometrics, Cost Estimates, Schedules, Alternative Analysis Matrix, Preferred Alternative Selection
300		PRELIMINARY DESIGN	
310	✓	Surveys/Mapping	Control Surveys, Mapping & Initial Land Net, Field Surveys
320	✓	Technical Studies	Geotech Reports, Materials Report, Hydrology Study & Drainage Analysis, Value Analysis, Foundation Report, Aesthetics & Landscaping
330	✓	Design Exceptions	
340		Geometric Approval Drawings	
350		Preliminary Plans	Project Report (PR), Drainage
600		FINAL PS&E	
610		Final Plans	Roadway Plans (Title, Index, Typical, Layout, Profile, Superelev., Cons. Details & Grading); Structure Plans (Bridges, Retaining Walls & Sound Walls); Drainage Plans (Layout, Profile & Details including NPDES Erosion Control); Traffic Plans (Pave. Delineation, Signing, Detour, Stage Cons., Traffic Control, Cons. Area Signs); Electrical Plans (Street Lights, Signals and Signal Details); Right-of-way Requirement Plans ; Misc. Plans (Landscape, Fencing, Environmental Constraints, etc...)
620	✓	Special Provisions	Special Provisions, Working Days Calculations, Liquidated Damages Calculations
630	✓	Engineers Estimate	Engineer's Estimate, Quantity Calculations
640		PS&E Certifications	Caltrans Cert, RCTD Checklist

✓ = Small Project Files

RCTD PROJECT FILING SYSTEM

D RIGHT-OF-WAY

100 ✓ PROPERTY ACQUISITION

110	✓ Encroachment Permits	
120	✓ Right of Entry	Survey, Field Studies, Construction Activities
130	Right-of-way Requirements	
140	Titles, Legals, Plats & ROW Maps	
150	Appraisals	Preliminary Estimates
160	Acquisition Agreements/Documents	Agreements, Condemnation Proceedings, Relocation Assistance
170	Right-of-way Certification	

300 ✓ UTILITIES

310	Utility Search	Potholing
320	Assess Utility Relocation Requirements	
330	Prior Rights determination	

E CONSTRUCTION

100 ✓ CONSTRUCTION

110	Environmental Requirements	Mitigation Matrix
120	Resident Engineers File	
130	Construction Contract Package	Plan Holder List, Bid Evaluation, Bid Summary, Contractor's Proposal, Contract (signed), Addenda, Correspondence, Form 11/Minute Orders, Bonds, Insurance, Agreements, Encroachment Permits (State, Local Agency, Utility, Railroad)
140	Construction Meetings	Preconstruction Meeting Minutes, Status Meetings, Safety Reviews
150	Construction Surveys	Requests, Staking, Monumentation Map & Documentation
160	Material Testing	
170	Submittals	Falsework & Shop Drawings
180	Daily Diary	Diary Documentation, Site Photos
190	Misc. Construction Documentation	Labor Compliance Paperwork, Storm Water Pollution Control Program
200	Progress Payments	
210	Change Orders & Claims	Prepare, Negotiate, Process & Resolve
220	Final Reports	Punch List, Notice of Completion
230	As-Builts	

F MISCELLANEOUS

100 ✓ MISCELLANEOUS

110	Photographs/Maps/Exhibits	
120	Public Relations/Media	

✓ = Small Project Files

RCTD PROJECT FILING SYSTEM - Internal Design / Small Projects

A PROJECT MANAGEMENT & ADMINISTRATION

110	✓ Scoping / Programming	Data Research, Field Reviews, Scoping Forms, Budgets, Funding Programs
120	✓ Cost Estimates	Planning/TIP Estimates, Preliminary Estimates, Draft & Final Engineers Estimates, Log of Estimates
140	✓ Agreements	Coop Agreements, Freeway Agreements, Caltrans Supplemental Agreements, PO's, Consultant Services Agreements, MOU's, On-Call Work Assignments
300	✓ Correspondence	

B ENVIRONMENTAL

100	✓ Environmental	
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C DESIGN

110	✓ Planning Studies	Project Study Report (PSR), Existing Materials Information, Traffic Data (existing and forecasted traffic), Traffic Study (level of service, capacity adequacy, operational analysis, accident History), Traffic Management Plan, Local Land Use, Advance Planning Studies, Right-of-way and Utility considerations, Basic Design Features.
310	✓ Surveys/Mapping	Control Surveys, Mapping & Initial Land Net, Field Surveys
320	✓ Technical Studies	Geotech Reports, Materials Report, Hydrology Study & Drainage Analysis, Value Analysis, Foundation Report, Aesthetics & Landscaping
330	✓ Design Exceptions	
620	✓ Special Provisions	Special Provisions, Working Days Calculations, Liquidated Damages Calculations
630	✓ Engineers Estimate	Engineer's Estimate, Quantity Calculations

D RIGHT-OF-WAY

110	✓ Encroachment Permits	
120	✓ Right of Entry	Survey, Field Studies, Construction Activities
300	✓ Utilities	

E CONSTRUCTION

100	✓ Construction	
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F MISCELLANEOUS

100	✓ Miscellaneous	
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PROJECT CONTROL

Cost Estimates A120

Agreements A140

Expenditures A160

QA/QC Plan A180

Federal & State Agencies A310

Utility Companies A330

Elected Officials A350

Private Groups or Individuals A370

TIP/Programming A410

Development Review A430

Traffic A450

Highway Operations A470

Memo's to file A510

Public Information B110

Scoping / Programming A110

Progress Tracking A130

Authorizations / Approvals A150

Project Development Team A170

CORRESPONDENCE

Other Agencies A320

County Agencies/Departments A340

Consultants A360

Directors Office A400

Environmental Planning A420

Survey A440

Construction A460

Project Development A500

ENVIRONMENTAL

Environmental Assessment B120

Technical Reports

B130

Final Environmental Document

B150

CONCEPTUAL DESIGN

Alternatives Development

C120

Surveys/Mapping

C310

Design Exceptions

C330

Preliminary Plans

C350

Final Plans

C610

Engineers Estimate

C630

PROPERTY ACQUISITION

Right of Entry

D120

Titles, Legals, Plats & ROW Maps

D140

Acquisition Agreements/Documents

D160

UTILITIES

Assess Relocation Requirements

D320

Draft Environmental Document

B140

Environmental Permits

B160

Planning Studies

C110

PRELIMINARY DESIGN

Technical Studies

C320

Geometric Approval Drawings

C340

FINAL PS&E

Special Provisions

C620

PS&E Certifications

C640

Encroachment Permits

D110

Right-of-way Requirements

D130

Appraisals

D150

Right-of-way Certification

D170

Utility Search

D310

Prior Rights determination

D330

CONSTRUCTION

Resident Engineers File

E120

Construction Meetings

E140

Material Testing

E160

Daily Diary

E180

Progress Payments

E200

Final Reports

E220

MISCELLANEOUS

Public Relations/Media

F120

Environmental Requirements

E110

Construction Contract Package

E130

Construction Surveys

E150

Submittals

E170

Misc. Construction Documentation

E190

Change Orders & Claims

E210

As-Builts

E230

Photographs/Maps/Exhibits

F110

Agreements - Coops / MOU's A140

Agreements - OnCall Assignments A140

Agreements - Developer A140

Utility - AT&T A330

Utility - SCG A330

Utility - Time Warner A330

Utility - CVWD A330

Utility - Charter A330

Utility - EMWD A330

Utility - Others... A330

Tech Rpts - Air Quality B130

Tech Rpts - Historical Evaluation B130

Tech Rpts - Hazardous Waste B130

Tech Rpts - Socioeconomic Impact B130

Tech Rpts - Paleontological Survey B130

Agreements - Consultant Services A140

Agreements - Funding A140

Agreements - PO's A140

Utility - SCE A330

Utility - Sprint A330

Utility - Verizon A330

Utility - IID A330

Utility - MWD A330

Utility - WMWD A330

Tech Rpts - Noise Study B130

Tech Rpts - Visual Impact B130

Tech Rpts - Archaeological B130

Tech Rpts - Relocation Impact B130

Tech Rpts - Wetlands Delineation B130

Tech Rpts - Biological B130

Tech Rpts - Section 4(f) **B130**

Tech Rpts - Floodplain Risk **B130**

Tech Rpts - NPDES **B130**

Plan Study - Exist Materials Info **C110**

Plan Study - Local Land Use **C110**

Tech Study - Geotech Reports **C320**

Tech Study - Hydrology & Drainage **C320**

Tech Study - Foundation Report **C320**

Tech Study - Landscaping **C320**

Tech Rpts - Farm Land Analysis **B130**

Tech Rpts - Mitigation Plan **B130**

Plan Study - PSR **C110**

Plan Study - Traffic Study **C110**

Plan Study - Advance Planning **C110**

Tech Study - Materials Report **C320**

Tech Study - Value Analysis **C320**

Tech Study - Aesthetics **C320**



Cost Estimates

A120

Correspondence

A300

Planning Studies

C110

Technical Studies

C320

Special Provisions

C620

Encroachment Permits

D110

Utilities

D300

Scoping / Programming

A110

Agreements

A140

Environmental

B100

Surveys/Mapping

C310

Design Exceptions

C330

Engineers Estimate

C630

Right of Entry

D120

Construction

E100

RCTD Computer Files Folder Structure

A MANAGEMENT & ADMINISTRATION

- A110 Scoping - Programming
- A120 Cost Estimates
- A130 Progress Tracking
- A140 Agreements
- A150 Authorizations - Approvals
- A160 Expenditures
- A170 Project Development Team
- A180 QA-QC Plan
- A310 Federal & State Agencies
- A320 Other Agencies
- A330 Utility Companies
- A340 County Agencies-Departments
- A350 Elected Officials
- A360 Consultants
- A370 Private Groups or Individuals
- A400 RCTD Inter-Department

B ENVIRONMENTAL

- B110 Public Information
- B120 Environmental Assessment
- B130 Technical Reports
- B140 Draft Environmental Document
- B150 Final Environmental Document
- B160 Environmental Permits

C DESIGN

- C110 Planning Studies
- C120 Alternatives Development
- C320 Technical Studies
- C330 Design Exceptions
- C350 Preliminary Plans
- C610 Final Plans
- C620 Special Provisions
- C630 Engineers Estimate
- C640 PS&E Certifications

D RIGHT-OF-WAY

- D110 Encroachment Permits
- D120 Right of Entry
- D130 Right-of-way Requirements
- D140 Titles, Legals, Plats & ROW Maps
- D150 Appraisals
- D160 Acquisition Agreements-Documents
- D170 Right-of-way Certification
- D310 Utility Search
- D320 Assess Utility Relocation Requirements
- D330 Prior Rights determination

E CONSTRUCTION

- E110 Environmental Requirements
- E120 Resident Engineers File
- E130 Construction Contract Package
- E140 Construction Meetings
- E150 Construction Surveys
- E160 Material Testing
- E170 Submittals
- E180 Daily Diary
- E190 Misc. Construction Documentation
- E200 Progress Payments
- E210 Change Orders & Claims
- E220 Final Reports
- E230 As-Builts

F MISCELLANEOUS

- F110 Photographs-Maps-Exhibits
- F120 Public Relations-Media

