

# CHAPTER 7 – Uniform File System

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## SECTION 1 General Guidelines

### Overview

This section provides an overview and rationale for the project development Uniform File System. Section 2, provides a directory and instructions for the project development records that are filed in the Uniform File System.

### Responsibility for Managing the File System

The Uniform File System is to be used for all Caltrans projects—regardless of the size or type of project. The originating unit should start the file system as soon as preliminary studies can identify the project. The originating unit may retain copies of material needed for backup on their own studies, but the basic categorized file should be transferred to the project engineer (PE) at the appropriate time.

For projects that are transferred between districts or the Office of Central Design, the source district and the consulting unit should determine, at the time of transfer, how their respective units will maintain the project's file system. Local agencies and private consultants shall use the Uniform File System classification scheme for any records exchanged with Caltrans.

### Filing Strategies

Many letters and reports cover more than one project issue. Consequently, items will be classified and filed according to the source that generated them, rather than by subject. (Filing by subject area would result in extensive duplication of materials because correspondence and reports would have to be updated for all relevant subject areas.)

The PE should use personal discretion when creating sub-categories for filing purposes. Large projects generate enough correspondence in some categories to require creation of subcategories. No master index will be required, as the categories in the Uniform File System provide adequate identification for timely retrieval.

Projects that are staged into separate contracts for construction (e.g., for grading, paving, or structures) should share the same project file. Material should be duplicated for the respective resident engineer file, but the project history file (PHF) should not be assembled until after completion of all stages.

Projects considered to be initial development for an ultimate future project (e.g., initial two-lane expressway to be expanded to full freeway) should have their own, completed project history files. The files should include sufficient data to allow for the future project development, even if the work is not yet programmed.

Projects that are split from larger projects into more manageable segments, should stand on their own; a resident engineer file and a permanent project history file should be assembled for each segment. It is prudent to break out or duplicate material at an early date, for use as a working file for the PE, and as a source for subsequent files.

### **Project History File**

A project history file (the permanent project file) should be compiled for all completed projects. The file consists of selected project development records and final project construction records. These are to include all letters, memos, reports, etc. that document project decisions, or that would be useful (or required) to develop a subsequent project.

The Uniform File System directory indicates which project development records should be included in the project history file. The Division of Legal has approved these designated items, and the file should not be cluttered with routine records not officially designated for inclusion.

When the construction project is completed, the PE should initiate assembly of the project history file by transmitting designated records to the construction unit. The construction unit should either compile the project history file or transmit the data to the assigned district unit for compilation. The completed project history file should be permanently filed in a convenient, central file location within the district.

### **As-Built Plans**

Caltrans maintains as-built plans to assist in the development of future projects, and to minimize possible litigation involving construction claims and exposure to tort litigation. Electronic as-built plans will be archived in the Document Retrieval System (DRS).

## **SECTION 2 Directory and Instructions**

### **Overview**

These instructions pertain to the directory for the project development records that should be filed in the Uniform File System. The directory follows these instructions.

### **“Category” Heading**

The first heading in the directory is “CATEGORY.” The project development Uniform File System has six major categories, as follows:

- 100 Project Control
- 200 Project Approval Process
- 300 External Project Design Correspondence
- 400 Intra-District Project Design Correspondence
- 500 Contract Preparation
- 600 Project Miscellaneous

These categories shall be used for all projects, regardless of size. Major projects shall use the complete system as shown. Smaller projects, with limited amounts of correspondence, may not require the total breakdown.

### **“Record Type” Heading**

The second heading in the directory is “RECORD TYPE.” This column describes the material to be included in each category.

### **“PHF” Heading**

The third heading “PHF” stands for “PROJECT HISTORY FILE.” This column indicates if the record should be filed in the project history file.

## **Explanation of Categories**

Category 100 covers project control.

Category 200 is a resource file covering the project approval process. The file should contain only the specified documents and should not be cluttered with routine correspondence. All routine correspondence leading to the various project approval documents should be filed in Categories 300 and 400, as applicable.

Category 300 should contain correspondence between all district sources and external sources, except as noted above. Copies of project correspondence between Headquarters units should be filed under Category 310.

Category 400 is a source file to contain correspondence between district units.

Category 500 should contain all plans and calculations for design. Preliminary studies and plans should be filed in Category 200. All other plans, whether flat filed in drawers or rolled and placed in bins, are labeled with the appropriate Category 500 breakdown. Likewise, calculation sheets, whether in binders or file cabinet folders, should be labeled accordingly.

Category 600 covers miscellaneous items and is self-explanatory.

## **Oversized Materials**

Attachments to letters that are too bulky for filing in regular files are referenced to the letter by date and category breakdown and then filed in separate envelopes or bins with the appropriate index label.

## **File Folders, Index Tabs, Filing Strategy**

Index folders or index tabs are not furnished by Headquarters. The following file system directory pages may be reproduced and filed in the project history file. Index tabs can be used to identify the six major Uniform File System categories. Copies of the file system directory can be used as dividers, providing a handy reference for correct filing and compilation of the project history file.

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (100 - 143)		
CATEGORY	RECORD TYPE	PHF
<b>100 PROJECT CONTROL</b>		
110 EXPENDITURES		
111 Expenditure Authorizations	111.01 Planning phase (0)	X
	111.02 Design phase (1)	X
	111.03 Construction phase (3)	X
	111.04 Other phases as needed	X
	111.08 FNM-76 requests	X
112 Personnel Costs	112.01 Project design costs	X
	112.02 Final project design costs	X
	112.02 Other department costs, final project costs	X
120 DESCRIPTION		
121 Project Description	121.01 Project description and how determined	
122 Post Mile Determination	122.01 Calculations and backup data	
130 PROGRAMMING AND PROGRESS		
131 Programming Data	131.01 RTIP, PSTIP, STIP, SHOPP, etc. for project	
132 PYPSCAN	132.01 PYPSCAN milestone dates	
	132.02 Schedule calculations	
	132.03 Schedule change approvals	X
133 Progress Reports	133.01 Monthly project progress charts	
140 PROJECT COST ESTIMATES		
141 Project Cost Estimates	141.01 Log of project cost estimates	
	141.02 Cost estimate backup data	
142 Project Cost Increase	142.01 Cost change approvals	X
143 Miscellaneous Project Estimates	143.01 Study estimates for project alternatives, etc.	

PHF = Project History File

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (200 - 223)		
CATEGORY	RECORD TYPE	PHF
<b>200 PROJECT APPROVAL PROCESS</b>		
210 PRELIMINARY STUDIES		
211 Project Initiation	211.01 Documents that identify the problem	X
	211.02 Feasibility, justification or concept report	X
	211.09 Approvals to proceed	X
212 Project Authorization	212.01 PSR, PSSR, PSR-PR, etc.	X
	212.09 Concept approval	X
	212.10 Scope change approval	X
	212.19 CTC long lead time concurrence	X
	212.29 Approval to cease work	X
213 Planning Studies	213.01 Written notice of initiation of studies	X
	213.02 Corridor or route location studies	X
214 Alternatives	214.01 Preliminary plan and profile studies of alternatives	
	214.02 Impacts of alternatives	
	214.09 Approval of alternatives	
220 PROJECT DEVELOPMENT TEAM		
221 PDT Assignments	221.01 Authorizing assignment letter	
222 Project Category Assignment	222.01 Determination of project category, major/categorical exclusion, significant/non-significant	X
223 PDT Meeting Memos	223.01 Minutes or memos	
	223.09 Project approval memos by PDT	X

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (230 - 244)			
CATEGORY	RECORD TYPE	PHF	
230 ENVIRONMENTAL			
231 Draft Environmental Document	231.01 Environmental assessment	X	
	231.02 Circulated draft and cover letter	X	
	231.03 Written notice of EIS preparation	X	
	231.04 Published technical reports	X	
	231.05 Floodplain evaluations	X	
	231.06 Draft 4(f) document	X	
	231.09 Approval to circulate	X	
	231.10 Mailing list	X	
	232 Final Environmental Document	232.01 Distributed final and cover letter	X
		232.09 Approval to distribute	X
232.19 Findings and notice of determination		X	
232.29 Record of decision or FONSI		X	
233 Public Notices of Availability	232.30 Mailing list	X	
	233.01 Public notices from newspapers	X	
234 Scenic Highway	233.02 Copy of Federal Register entry	X	
	234.01 Scenic highway study	X	
	234.09 Approvals	X	
240 PROJECT APPROVAL			
241 Project Work Plans	241.01 Copies of project work plans		
242 Draft Project Report	242.01 Drafts with intradistrict comments		
	242.02 Draft project report	X	
243 Preferred Alternative	243.01 Preferred alternative selection	X	
244 Project Report	244.01 Project report	X	

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (245 - 262)			
CATEGORY		RECORD TYPE	PHF
245	Design Standard Exceptions	245.09 Documentation of exceptions from mandatory design standards	X
		245.10 Documentation of exceptions from advisory design standards	X
246	Route Adoption	246.09 CTC report, resolution, map	X
247	New Connections	247.09 CTC report and resolution	X
		247.10 FHWA approval	X
250 PUBLIC HEARING PROCESS			
251	Pre-Hearing Meetings	251.01 Initial meeting documentation	X
		251.02 Scoping meeting documentation	X
		251.03 Map showings, informational meetings, other pre-hearing documentation	X
252	Hearing Arrangements	252.01 Notices of hearing to Headquarters	
		252.02 Arrangements for hearing officer	
253	Public Hearing Notices	253.01 Public notices from newspapers	X
254	Record of Hearing	254.01 Transcript, comments, etc.	X
		254.02 Record of hearing	X
260 PROJECT AGREEMENTS			
261	Cooperative Agreements and Reports	261.01 Cooperative agreement report	X
		261.09 Draft agreements(s) and submittals to Headquarters	
		261.10 Approvals from Headquarters	X
		261.11 Executed agreements	X
262	Freeway Agreements	262.01 Draft and submittals to Headquarters	
		262.09 Approvals from Headquarters	X
		262.10 Executed agreements with map	X

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (263 - 274)		
CATEGORY	RECORD TYPE	PHF
263 Interagency Agreements	263.01 Drafts and submittals to Headquarters	
	263.09 Approvals from Headquarters	X
	263.10 Executed agreements	X
264 Highway Improvement Agreements	264.01 Drafts and submittals to Headquarters	
	264.09 Approvals from Headquarters	X
	264.10 Executed agreements	X
265 Maintenance Agreements	265.01 Drafts and submittals to Headquarters	
	265.09 Approvals from Headquarters	X
	265.10 Executed agreements	X
270 PERMITS		
271 State Agency Permits	271.01 Drafts	
	271.09 Approvals	X
	271.10 Executed permits	X
272 Federal Permits	272.01 Drafts	
	272.09 Approvals	X
	272.10 Executed permits	X
273 Local Agency Permits	273.01 Drafts	
	273.09 Approvals	X
	273.10 Executed permits	X
274 Encroachment Permits	274.01 Drafts and submittals to Headquarters	
	274.09 Approvals by Headquarters and FHWA	X
	274.10 Executed permits	X

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (300 - 341)		
CATEGORY	RECORD TYPE	PHF
<b>300 EXTERNAL PROJECT DESIGN CORRESPONDENCE</b>		
310 HEADQUARTERS AND DISTRICT CORRESPONDENCE		
311 Headquarters (except Division of Structures)	311.01 Memos between the district and various Headquarters units	
312 Districts	312.01 Memos between districts	
320 DIVISION OF STRUCTURES CORRESPONDENCE		
321 Structures	321.01 Memos to and from Structure Design	
	321.09 Approval memos from Headquarters	X
322 Structure Studies and Reports	322.01 Advanced planning studies	
	322.02 Bridge site submittal	
	322.03 Preliminary and foundation reports	X
	322.04 General plans	
	322.05 General details	
	322.06 Retaining wall site submittal and plans	
	322.07 Noise barrier site submittal and plans	
	322.08 Structural adequacy studies	X
	322.09 Special studies	
330 FEDERAL AGENCY CORRESPONDENCE		
331 Federal Agencies	331.01 Letters to and from various federal agencies	
	331.09 Letters affecting project decisions	X
340 STATE AGENCY CORRESPONDENCE		
341 State Agencies	341.01 Letters to and from various State agencies	
	341.09 Letters affecting project decisions	X

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (350 - 382)		
CATEGORY	RECORD TYPE	PHF
350 LOCAL AGENCY CORRESPONDENCE		
351 Cities	351.01 Letters to and from various cities	
	351.09 Letters affecting project decisions	X
352 Counties	352.01 Letters to and from various counties	
	352.09 Letters affecting project decisions	X
353 Area-Wide Agencies	353.01 Letters to and from various area-wide agencies (COG, etc.)	
	353.09 Letters affecting project decisions	X
354 Other Agencies or Special Districts	354.01 Letters to and from various agencies or districts (school districts, assessment districts, etc.)	
	354.09 Letters affecting project decisions	X
360 ELECTED-OFFICIAL CORRESPONDENCE		
361 Elected Officials	361.01 Letters to and from elected officials	
	361.09 Letters affecting project decisions	X
370 PUBLIC CORRESPONDENCE		
371 Individuals	371.01 Letters to and from individuals	
	371.09 Letters affecting project decisions	X
372 Private Groups	372.01 Letters to and from private groups	
	372.09 Letters affecting project decisions	X
380 MEMOS TO FILE (EXTERNAL)		
381 Phone Call Documentation	381.01 Phone call documentation	
	381.09 Phone call documentation affecting project decisions	X
382 Informal Meetings/Discussions	382.01 Notes of informal meetings	
	382.09 Notes affecting project decisions	X

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (383 - 386)		
CATEGORY	RECORD TYPE	PHF
383 Headquarters Reviews	383.01 Notes of reviews	
	383.09 Notes affecting project decisions	X
384 FHWA Reviews	384.01 Notes of reviews	
	384.09 Notes affecting project decisions	X
385 CHP Reviews	385.01 Notes of reviews	
	385.09 Notes affecting project decisions	X
386 Other Agency Reviews	386.01 Notes of reviews	
	386.09 Notes affecting project decisions	X

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (400 - 453)		
CATEGORY	RECORD TYPE	PHF
<b>400 INTRADISTRICT PROJECT DESIGN CORRESPONDENCE</b>		
410 DRAINAGE		
411 Drainage Correspondence	411.01 Memos to and from hydraulics unit	
	411.02 Preliminary drainage report	X
	411.03 Justification of alternatives	
	411.04 Final drainage review	
412 Drainage Studies	412.01 Design discharge calculations	X
	412.02 Floodplain encroachment	X
	412.03 Rock slope protection sizing	X
	412.04 Special Studies	X
420 ENVIRONMENTAL		
421 Environmental Correspondence	421.01 Memos to and from environmental unit	
430 LANDSCAPING		
431 Landscaping Correspondence	431.01 Memos to and from landscaping unit	
440 MATERIALS		
441 Materials Correspondence	441.01 Memos to and from materials unit	
	441.02 Materials reports	X
	441.03 Pavement deflection studies	X
	441.04 Special materials studies	X
450 OPERATIONAL		
451 Maintenance Correspondence	451.01 Memos to and from the maintenance unit	
452 Construction Correspondence	452.01 Memos to and from the construction unit	
453 Traffic Operations Correspondence	453.01 Memos to and from traffic operations unit	
	453.02 Final operational report	X

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (460 - 492)		
CATEGORY	RECORD TYPE	PHF
460 RIGHT-OF-WAY		
461 Right-of-Way Correspondence	461.01 Memos to and from right-of-way unit	
462 Utilities Correspondence	462.01 Memos to and from utilities unit (including letters to utility companies)	
463 Railroad/Utility Agreements	463.01 Agreements with utility companies, railroads, etc.	
464 Utility Relocation Plans	464.01 Relocation plans for gas, power, etc.	
465 Determination of Liability	465.01 Studies for utility/non-utility prior rights	X
466 Right-of-Way Contracts	466.01 Contracts, obligations, etc.	
467 Right-of-Way Maps	467.01 Parcel, ownership, excess land, etc.	
468 Cost Estimates	468.01 Fences, driveways, etc.	
469 Resolution of Necessity	469.01 Resolution of necessity data	X
470 SURVEYS		
471 Surveys Correspondence	471.01 Memos to and from surveys unit	
472 Survey Data	472.01 Aerial monuments, bench marks, etc.	
480 TRAFFIC		
481 Traffic Correspondence	481.01 Memos to and from traffic unit	
482 Traffic Forecasts	482.01 Present/design year ADT, peak hour, etc.	X
483 Warrants	483.01 Signal warrants, median barrier warrants, lighting warrants, etc.	X
490 MEMOS TO FILE (INTRA-DISTRICT)		
491 Phone Call Documentation	491.01 Phone call documentation	
	491.09 Phone call documentation affecting project decisions	X
492 Informal Meetings/Discussions	492.01 Notes of informal meetings	
	492.09 Notes affecting project decisions	X

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (500 - 524)		
CATEGORY	RECORD TYPE	PHF
<b>500 CONTRACT PREPARATION</b>		
510 PLANS		
511 Basic Plans	511.01 Contour mapping, skeletons, contour grading, interchanges, intersections, profiles, superelevations, etc.	
512 Drainage	512.01 Drainage plans, profiles, structure list, etc.	
513 Traffic	513.01 Signing, pavement delineation plan, electrical plans	
	513.09 Approval of pavement delineation plan	X
514 Traffic Handling	514.01 Staging and detour plans, traffic control, etc.	
515 Fencing	515.01 Types and locations, gates, etc.	
516 Erosion Control	516.01 Plans with erosion control details and locations	
517 Structures Plans	517.01 Final structure plans	
518 Landscape Plans	518.01 Landscape plans	
519 Special Details	519.01 Construction notes, pavement markers, survey monuments, etc.	
520 CALCULATIONS		
521 Quantities	521.01 Checked contract items calculations	
522 Earthwork Computations	522.01 EDP printouts or quantity sheets	
	522.02 Terrain lists	
	522.03 Template notes	
	522.04 Staking notes, superelevations, etc.	
523 Traverses	523.01 Computer printouts	
524 Profiles	524.01 EDP printouts or grade sheet	

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (530 - 538)		
CATEGORY	RECORD TYPE	PHF
530 PS&E PROCESSING		
531 PS&E Report	531.01 Report or transmittal to office engineer for district or Headquarters	X
	531.02 Liquidated damage calculations	
532 Preliminary Estimate of Cost	532.01 BEES printout, bid price justification, segregations, etc.	
	532.02 Final engineer's cost estimate	X
533 Special Provisions	533.01 Specifications	
534 Dummy	534.01 Proof special provisions, transmittal letters, etc.	
	534.02 Addenda	
535 Request for Funds	535.01 Request and justification	X
	535.02 FNM-76 approval	X
536 CTC Vote of Funds	536.01 Fund authorization by CTC	X
537 Resident Engineer Information	537.01 Copies of working data for resident engineer	

PROJECT DEVELOPMENT UNIFORM FILE SYSTEM (600 - 622)		
CATEGORY	RECORD TYPE	PHF
<b>600 PROJECT MISCELLANEOUS</b>		
610 SPECIAL STUDIES		
611 Bicycle	611.01 Completed studies and/or reports	X
612 Park and Ride	612.01 Completed studies and/or reports	X
613 Bus Loading Facilities	613.01 Completed studies and/or reports	X
614 Resource Conservation	614.01 Completed studies and/or reports	X
615 Value Analysis	615.01 Completed studies and/or reports	X
616 Hazardous Waste	616.01 Completed studies and/or reports	X
617 HOV Report	617.01 Completed studies and/or reports	X
620 PROJECT SAFETY		
621 Safety Analysis	621.01 Completed studies and/or reports	X
622 Design for Safety Recommendations	622.01 Recommendations, memos, etc.	X
	622.02 Decision documents, memos	X
623 Safety Reviews	623.01 Safety reviews and/or reports	X
630 PHOTOGRAPHS		
631 Project Photos	631.01 Preconstruction photos	X
632 Special Photos	632.01 Accidents, storm damage, etc.	X