

I. INTRODUCTION

The purpose of this section is to standardize the implementation, maintenance and storage of Project Records. Project Records normally include a project file, original drawings, specifications and reports. It is each Project Manager's responsibility to insure that adequate and organized project filing procedures are being followed. The pages that follow are the basic structure or framework for a project filing system. Each project will have its own particular quirks that require some customizing of the "Standard Filing Index". Our goal is to have a basic filing system that works for the majority of information that must be organized and filed during the course of a project.

It should be emphasized that how exactly project related material is filed is not the prerogative of the Project Manager. It is mandatory that the system described below be followed.

II. PROJECT FILE - IMPLEMENTATION

- A. The Project Manager is responsible for the implementation of the Project File. Refer to the current Project List for Project Manager assignments.

Generally, all projects will require a number of separate and distinct files as shown in the "Standard Filing System". The "Standard Filing Index" is based on developing files only as you need them. Not all of the individual divisions or subdivisions will be required for each job while other jobs will require some not shown. The "Standard Filing Index" as shown (see pages F4 - F8) is intended to be a basic outline or organizational tool. If a specific subdivision, for example 4.16 Parking is not used, just leave out that number and continue with subdivision 4.17 Landscaping. This will allow us to keep a standard numbering system from job to job.

SECTION F - PROJECT RECORDS: FILING AND STORAGE
OFFICE MANUAL
JANUARY 2015

- B. Major Divisions consist of a hanging folder with plastic tab, and white paper insert. The white Insert shall be typed with only upper case type. The Project Manager shall select the color of the hanging folders.

Format (all CAPS):

DIVISION NUMBER	DIVISION TITLE
PROJECT NUMBER	PROJECT NAME (abbreviated)

Sample:

0.00	INTRA-OFFICE
9914	TOWNE CENTER

- C. Minor Divisions consist of manila folders with an adhesive label arranged in order from left to right (.01, .02, .03, etc.) using 1st, 2nd, and 3rd tab positions. The label shall have a colored top to match the colored hanging folder, and shall be typed using upper and lower case type.

Format (upper & lower case):

Division Sub-Number	Division Sub-Title
Project Number	Project Name

Sample:

0.01	Project Directory
9914	Towne Center

- D. Adherence to the "Standard Filing Index" is important for the following reasons:
1. It reduces time to establish a project and to file documents in their proper place.
 2. It allows Principals, Project Managers and other staff to memorize standard section and subsection numbers for ease of filing.
 3. It expedites the search for information well after the project has been completed.

III. PROJECT FILE - MAINTENANCE

- A. The Project Manager is responsible for the maintenance of the Project File. Additionally, all architectural staff is expected to use proper filing procedures. The Project File shall be located at or adjacent to the Project Manager's desk. Under no circumstances shall original project file documents be maintained separately away from the Project File. If project information is to be distributed to other members of the project team, copies of the original documents may be used.
- B. Whenever possible or practical, filing under each subdivision heading should be separated into "from C2G" to be fastened to the left side of the file under, and "to C2G" to the right side of the file folder. All material must be hole punched, fastened and filed in chronological order.
- C. Items to be filed shall be placed in the Project Manager's in-box. It is preferred that all material be filed every other day, but mandatory at least once a week.
- D. All incoming mail, including hand delivered by client or messenger, must be date stamped upon receipt into the office. This is a very important and essential task if we are going to maintain accurate chronological records on a project. Letters, transmittals, prints of drawings, memos, etc., must show the date of receipt. The Secretary will do this. If a Project Manager receives a piece of correspondence not date stamped it is his or her responsibility to see that it is stamped.
- E. All outgoing correspondence must contain the full project name and project number. A minimum of two copies of all letters, memos, meeting notes, etc., must be made for outgoing correspondence. One is to be filed in the project file and the other is to be given to the Secretary for filing in the Office Chronological File. Special correspondences such as contracts have special copy requirements.

IV. STANDARD FILING INDEX FOR PROJECT FILES

0.00 INTRA-OFFICE

- 0.01 Project Directory
- 0.02 Project Schedule
- 0.03 Project Budget/Billings
- 0.04 Project Data (AIA-G808, or similar)
- 0.05 Mock-Set(s)
- 0.06 Outline Specifications
- 0.07 Construction Cost Worksheets (Intra-Office)
- 0.08 Memos (Intra-Office)
- 0.09 Sketches/Sketch Log
- 0.10 Photographs/Maps
- 0.11 LEED Checklist / Notes
- 0.12 Owner's Project Requirements (OPR)
- 0.13 Basis of Design (BOD)
- 0.14 Project Related Information

1.00 CONTRACTS

- 1.01 Owner/Architect
- 1.02 Architect/Consultants
- 1.03 Owner/Contractor
- 1.04 Design and/or Build Proposals
- 1.05 Other Proposals

Contractor/Subcontractor Contracts are to be filed in file section 9.00 SUBCONTRACTOR. Design/Build agreements may be filed in sub-section 1.01 Owner/Architect. Descriptive project proposals may be filed in sub-section 1.04 Design and/or Build Proposals.

2.00 OWNER

- 2.01 Owner Correspondence
- 2.02 Meeting Memorandums
- 2.03 Program Data
- 2.04 CM Correspondence (Owner Representative)
- 2.05 Real Estate Co. Correspondence
- 2.06 Seller Correspondence
- 2.07 Lender/Funding Source Correspondence
- 2.08 Property Manager Correspondence
- 2.09 Lessee Correspondence
- 2.10 Legal Correspondence
- 2.11 Insurance (Owners')
- 2.12 Marketing/Promo (Owner Related)
- 2.13 Notice of Completion
- 2.14 Homeowners Association

3.00 REVIEW AGENCIES

- 3.01 Code and Zoning Requirements/Analysis
- 3.02 Permits & Fees / Permit Log / Bonds (Agency)
- 3.03 Application Forms (Blank)
- 3.04 Planning Department Correspondence
- 3.05 Conditions of Approval/Findings/Reports
- 3.06 Building Department Correspondence
- 3.07 Plan Check Corrections
- 3.08 Fire Department Correspondence
- 3.09 Public Works/Engineering Department Correspondence
- 3.10 Grading Department Correspondence
- 3.11 OSHA Correspondence
- 3.12 Homeowners Association
- 3.13 Other Review Agency Correspondence
- 3.14 Electric Company Correspondence
- 3.15 Water Company Correspondence
- 3.16 Gas Company Correspondence
- 3.17 Telephone Company Correspondence
- 3.18 Cable Co. Correspondence
- 3.19 Other Utility Company Correspondence
- 3.20 Green Building Certification Institute (GBCI)
- 3.21 LEED Letter Templates
- 3.22 LEED Credit Interpretation Request (CIR)

Files may be added for additional agency and utility company correspondence.

4.00 CONSULTANTS

- 4.01 Architect - Correspondence
- 4.02 Structural - Correspondence
- 4.03 HVAC - Correspondence
- 4.04 Plumbing - Correspondence
- 4.04 HVAC/Plumbing - Correspondence
- 4.05 Fire Protection - Correspondence
- 4.06 Title 24 - Correspondence
- 4.07 Electrical - Correspondence
- 4.08 Civil Engineering - Correspondence
- 4.09 Soils - Correspondence
- 4.10 Site/Building Assessment - Correspondence
- 4.11 Seismic Assessment - Correspondence
- 4.12 Excavation/Shoring - Correspondence
- 4.13 Environmental Impact Report (EIR)- Correspondence
- 4.14 Traffic - Correspondence
- 4.15 Graphics/Signage - Correspondence
- 4.16 Parking - Correspondence
- 4.17 Landscaping - Correspondence
- 4.18 Specifications - Correspondence

SECTION F - PROJECT RECORDS: FILING AND STORAGE
OFFICE MANUAL
JANUARY 2015

4.00 CONSULTANTS (CONT.)

- 4.19 Interior Design - Correspondence
- 4.20 Acoustical - Correspondence
- 4.21 Lighting - Correspondence
- 4.22 Food Service - Correspondence
- 4.23 Illustrator - Correspondence
- 4.24 Model Maker - Correspondence
- 4.25 Architectural Photo - Correspondence
- 4.26 Estimating - Correspondence
- 4.27 Leasing - Correspondence
- 4.28 Special Inspections/Testing - Correspondence
- 4.29 CAD - Correspondence
- 4.30 Property Inspections - Correspondence
- 4.31 Communications - Correspondence
- 4.32 Sound and Video - Correspondence
- 4.33 Commissioning
- 4.34 LEED AP - Correspondence (file LEED letter templates
in REVIEW AGENCIES folder 3.19)

Files may be added for additional consultant
correspondence.

5.00 SURVEYS, TESTS AND REPORTS

- 5.01 Soils
- 5.02 Survey
- 5.03 Structural Calculations
- 5.04 Title 24
- 5.05 Environmental
- 5.06 Legal/Title Report
- 5.07 Site/Building Assessment
- 5.08 Seismic Assessment
- 5.09 Property CC & R's
- 5.10 Special Inspections/Testing
- 5.11 Real Estate Marketing Reports/Analysis
- 5.12 Property Inspections
- 5.13 Storm Drainage

Do not include correspondence. Cover letters should be
filed under the appropriate agency or consultant, and a
copy may be attached to the report for reference.

6.00 MATERIALS RESEARCH AND SPECIFICATIONS

- 6.01 General Requirements
- 6.02 Site Construction
- 6.03 Concrete
- 6.04 Masonry

6.00 MATERIALS RESEARCH AND SPECIFICATIONS (CONT.)

- 6.05 Metals
- 6.06 Wood and Plastics
- 6.07 Thermal and Moisture Protection
- 6.08 Doors and Windows
- 6.09 Finishes
- 6.10 Specialties
- 6.11 Equipment
- 6.12 Furnishings
- 6.13 Special Construction
- 6.14 Conveying Systems
- 6.15 Mechanical
- 6.16 Electrical
- 6.17 Copy of Specifications

Depending on the amount and variety, this information may be kept in one file, or in a loose-leaf notebook, subdivided into various categories or companies. Please keep copies of manufacturer's literature in YOUR file and return to the original to the library so that other people can use it too!!

7.00 BID PERIOD

- 7.01 Bid Forms (Includes Bid List, Record of Deposits on Drawings, Instructions to Bidders AIA-A701).
- 7.02 Correspondence To/From Bidders
- 7.03 Register of Bid Documents (AIA-G804, or similar)
- 7.04 Addenda
- 7.05 Meeting Memorandums (Bid phase only)
- 7.06 Bid Worksheet
- 7.07 Copy of Bids
- 7.08 Copy of Specifications (Bid issue)

8.00 CONTRACTOR

- 8.01 Contractor Correspondence
- 8.02 List of Subcontractors (AIA-G705)
- 8.03 Subcontractor Correspondence
- 8.04 Construction Schedule
- 8.05 Construction Cost Worksheet (Itemized format)
- 8.06 Requests For Information (RFI)/(AIA-G716)/ RFI Log
- 8.07 Preliminary Notices
- 8.08 Bonds/Surety Correspondence
- 8.09 Insurance Certificates
- 8.10 Certificate of Substantial Completion
- 8.11 Certificate of Occupancy
- 8.12 Affidavit of Payment of Debts and Claims (AIA-G706)

SECTION F - PROJECT RECORDS: FILING AND STORAGE
OFFICE MANUAL
JANUARY 2015

8.00 CONTRACTOR (CONT.)

- 8.13 Affidavit of Release of Liens (AIA-G706A)
- 8.14 Warranties and Guarantees
- 8.15 Safety Program / Emergency Information

9.00 SUBCONTRACTOR (CONSTRUCTION FILES ONLY)

Files shall be organized in accordance with the Standard C.S.I. Division titles and numbers, i.e. 9.01050 Field Engineering.

10.00 APPLICATIONS FOR PAYMENT

- 10.01 Applications and Certificate for Payment (AIA-G702)

Include a cost breakdown submitted by the Contractor at the beginning of the job.

11.00 CHANGE ORDERS

- 11.01 Work Changes Proposal Request (AIA-G709)/WCR Log
- 11.02 Supplemental Instructions (AIA-G710)
- 11.03 Construction Change Directive (CCD) (AIA-G714)
- 11.04 Change Order Requests (COR)/COR Log
- 11.05 Change Orders (AIA-G701) / CO Log

12.00 FIELD REPORTS/CORRESPONDENCE

- 12.01 Superintendent Correspondence
- 12.02 Superintendents' Daily Report
- 12.02 Architects Field Report (AIA-G711)
- 12.04 Consultant Reports
- 12.05 Construction Manager Reports
- 12.06 Reports by Others
- 12.07 Meeting Memorandums (Construction Phase)
- 12.08 Punch List

13.00 SUBMITTAL(S) LOG

- 13.01 Shop Drawing and Sample Record (AIA-G712)
- 13.02 Submittals - Record Copies

The first page of this file shall be a list of items for which submittal of shop drawings or samples is required. Samples shall be logged in the same manner as shop drawings. If the particular project warrants it, this list might be accompanied with dates by which drawings should be submitted, in order for construction to remain on schedule.)

SECTION F - PROJECT RECORDS: FILING AND STORAGE
OFFICE MANUAL
JANUARY 2015

14.00 PROGRESS PHOTOGRAPHS

14.01 Construction Photos

15.00 SUPPLEMENTAL SERVICES

15.01 Tenant Related Services

V. TENANT RELATED SERVICES - IMPLEMENTATION

- A. The following format will be implemented in order to standardize the filing of Tenant Related Services.
- B. For each new/and or existing project, which contains leasable tenant space, a major file division shall be created - 15.00 Supplemental Services. (See Subparagraph II.B. for Format and Sample).
- C. Upon first requests for Tenant Improvement services a minor division shall be created. All Minor Divisions of this file should be in the 15.01 (sub-number) category. There will be four standard types of files, which will be formatted as shown below.

Under the sub-section "Tenant Improvement" an additional folder may be added for each suite number as needed.

Format:

- 1. 15.01 Presentation Drawings
Project # Project Name
- 2. 15.01 Tenant Improvements
Project # Suite Number
Project Name

Samples:

- 15.01 Presentation Drawings
8210 Harbor View Business Park
- 15.01 Tenant Improvements
8210.02 Suite 104/105
Harbor View Business Park

- D. It is the responsibility of the staff member who receives the tenant related services request, to properly file all related documents when the work has been completed.

VI. DRAWING FILE - IMPLEMENTATION AND MAINTENANCE

- A. After a project is assigned a project number, the designated Project Manager shall assign a flat file drawer number and prepare a "cardboard" drawing file. Additional flat files shall be added in order to separate presentation and/or design drawings from construction drawings. The drawing file shall contain all original drawings, larger than 8 1/2" x 11", for a project. Original drawings include architectural and consultant drawings, surveys, shop drawings and important record prints. Shelves at individual drafting stations are intended for convenient storage of prints and sketched...but not for original drawings or sketches.
- B. The Project Manager is responsible for the maintenance of the drawing file. Additionally, all project team members, and other architectural staff are expected to use proper procedures and extreme care at all times when removing or replacing drawings in and out of the drawer.
- C. Project documents in a drawing file are to be maintained in the same order as they are labeled. Construction Document drawings are to be maintained according to the list of drawings on the cover sheet. All drawings are normally numbered, or labeled, for ease of referencing, and shall be separated according to the work phase (Site Analysis, Schematic Design, Design Development, Construction Documents, etc.) The discipline of work is denoted by prefix letter and subsequently all drawings are added in numerical order. (A1 for Architectural drawing one, S for Structural, M for Mechanical, etc.) Although the documents for individual projects may vary, this basic drawing numbering system shall be followed and drawings filed accordingly.
- D. Project drawings are the products of our firm and instruments of service to a client. For these reasons all drawings must be handled with extreme care. Tears in original drawings and sketches shall be immediately taped on both sides. Folds shall be made flat. If anyone requires assistance with removing or replacing drawings in a crowded drawer, please stop and ask another staff member for help.
- E. Once the project is completed, or if the project is to be discontinued, the Project Manager is responsible for organizing the drawings into the following specific

categories in preparation for review with the principal-in-charge:

1. Renderings and presentation drawings.
2. Good quality descriptive design sketches made during the design process that should be kept as a record.
3. Important record prints (Approved by Owner, etc.).
4. Original working drawings.
5. Negatives of drawings made during the design of production process.
6. Building Permit Application Set.
7. Bid Set.
8. Construction Issue Set.

All selections of drawings and/or other documents should be verified with the principal-in-charge prior to filing in storage. This is also a good time to verify if any of the drawings should be photographed and included in the office promotional files.

Once selections have been verified, and with the approval of the principal-in-charge, the Project Manager should produce the following additional sets if this hasn't already been done:

1. Make a half-size set of the Construction Issue drawings. These are to be put on the hanging plan file for reference on future jobs.

VII. SPECIFICATIONS - FILE AND MAINTENANCE

- A. The Project Manual is prepared with the direction of the principal-in-charge and the Project Manager. The Project Manual contains the Specifications and other pertinent information for a project. Normally, all specification material is kept and maintained in the project file Section 6.00 MATERIALS RESEARCH AND SPECIFICATIONS, or in a separate notebook.
- B. At the end of a job, either at the completion of construction or if the project is to be discontinued, the approved original specification documents (Project Manual) shall remain in the Project File. One copy of the Project Manual shall be prepared and filed in the library.
- C. Pre-formatted specifications and general note sheets included with drawings shall remain with the other drawings, and filed in the drawing file.

VIII. REPORTS AND OTHER PROJECT DOCUMENTS

- A. Reports and other project documents shall be filed and maintained in the project file Section 5.00, SURVEYS, TESTS AND REPORTS.

IX. PROJECT RECORDS - STORAGE

- A. At the end of a job, either at the completion of construction or if the project is to be discontinued, the Project Manager shall transfer all Project Records to storage.
- B. The Project Manager shall place the Project File in either a file cabinet designated for storage use, or if space is otherwise unavailable in a labeled cardboard box. Project Drawings are to be stored according to their future use. Drawings for projects requiring Tenant Improvement Services post-construction shall remain in the assigned flat file drawer. Drawings for projects not requiring post-construction services shall be gathered together and separated according to work phases and placed into storage tubes. The tubes are to be labeled, assigned a tube number, recorded on the Project Records Storage Directory and placed into the tube rack at a designated location in the workroom.