



STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION
RALEIGH 27611

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GOVERNOR

July 8, 1980

DIVISION OF HIGHWAYS

THOMAS W. BRADSHAW, JR.
SECRETARY

MEMORANDUM TO: Project Engineers

FROM: W. A. Wilson, Jr. *W. A. Wilson, Jr.*

SUBJECT: Project Files

A study of the "let" project files revealed they contained correspondence and other material that had no direct bearing on the final plan preparation nor was it pertinent to the construction of the project. Therefore, it should have been purged from the file prior to filing. Also, there was no consistent or orderly arrangement to the file contents and this makes researching a file both awkward and time consuming. The attached guidelines are presented to assist Roadway Design personnel in eliminating irrelevant correspondence and material from project file and at the same time provide for an orderly arrangement of the contents.

The guidelines also include revising the manner that interchange detail originals and irregular bid proposals are retained. Basically, interchange details will be filed in a central file while irregular bids will become a part of the project file, thus their retention will be governed by the latest "Records Disposition Schedule." The inventory of interchange details to be prepared by each Project Engineer should be submitted to Project Status August 1, 1980.

It is anticipated that the guidelines will produce a uniformity among the let files and eliminate unnecessary clutter. It should be emphasized that these guides are to be used as general guides and are not all inclusive. The decision as to what is to be retained is still left to the discretion of the Project Engineer.

BW/dcp

Attachments

cc: Mr. George E. Wells

GUIDELINES CONCERNING PROJECT FILE CONTENTS

To promote uniformity in the content of project files the following Guidelines are offered. The Guides are to assist Roadway Design Personnel in the preparation and maintenance of project files in order to eliminate unnecessary clutter.

I. Plan Preparation Stage

The Project Engineer will ensure that project correspondence and calculations are placed in three ring notebooks.

A. Project Notebooks

There will be two class of notebooks, one for correspondence and one for calculations and/or work papers.

1. Correspondence Notebook(s)

Originally, the correspondence notebook shall consist of three sections; (1) Planning Report Section; (2) Approval Section; and (3) Correspondence Section. (Each section should be separated with tabs.)

A) Planning Report Section (Omit on Paving Projects)

The project planning report and environmental reports are to be in the rear of the notebook or the back of of notebook number 1 if there is more than one correspondence notebook.

B) Approval/Denial Section

Approvals such as the Dual Signature Letter, Right-of-Way Authorization Letter, Field Inspection Letter, answer to the field inspection letter, FHWA Approvals, as well as denials are to be included in this section. All material in this section will be in chronological order, the most recent on top. This section will precede the Planning Report Section.

C) Correspondence Section

This section will consist of all project related correspondence (see I.B. below) and will precede the Approval Section. Correspondence will be placed in chronological order with the most recent on top.

2. Work Notebook(s)

Estimates, calculations, and support data should be properly identified and dated before it is placed in the notebook.

8. File Contents

1. Anything considered important should be retained; however, duplications should never be placed in the file. Also, before the file is submitted to the Plan Review Section, the Project Design Engineer and the Project Engineer shall examine the project file to ensure that only the following types of correspondence and/or data are retained:

- A) All approvals and denials
- B) The Field Inspection Letter and the reply to the inspection letter.
- C) Correspondence and data on all items which actions are pending.
- D) Correspondence that provides significant historical or background information on controversial matters
- E) Justification studies for special or unusual situations
- F) A copy of all correspondence originated in Roadway Design, excluding routine transmittals.

G) A copy of all correspondence in which Roadway Design was the primary recipient, excluding routine transmittals, announcement of meetings, form memorandums requesting acreage corrections and Right-of-Way revisions, etc.

H) Structure Recommendations

I) Calculation of Quantities

J) Final IBM printout of the Engineers Estimate

K) All items required by the Plan Review and the Contract and Proposal Sections for their review

L) Any other items that in the judgement of the Project Engineer are important and their retention is desirable.

2. The following are types of material and/or correspondence that should be removed from the file prior to submitting it to the Plan Review

Section

A) Preliminary Designs

B) Preliminary estimates and calculations for the same.

C) Sub-surface investigations and sub-surface reports, however, sub-surface recommendations should be retained.

D) All transmittal slips and/or memorandum forms (except the last one transmitting field books, etc. to the field) should be removed.

E) All duplications

F) All Engineers estimates except the latest IBM printout

3. Before the project file is submitted to the Plan Review Section, it will be removed from the notebooks and placed in binders. The binders will be available from Project Status.

II. Plan Review Phase

Upon completion of the plan review process, the Plan Review Project Engineer should verify that the project file contains a copy of any correspondence he may have in his file. Also, he should remove any material no longer necessary such as checks list.

III. Contract and Proposal Phase

- A. After the review process is completed, the Contract and Proposal Engineer should verify that the project file contains a copy of any correspondence he may have in his file. Also, he should remove any material that is no longer necessary.

- B. Irregular Proposals

After the bid proposals have been reviewed, all irregular proposals and their bid examination sheets are to become a part of the Project File.

IV. Project Status Phase

- A. File Assembly

The Project Status Section will ensure the file is in proper order and filed. The Highway Design Branch file will be filed with the project file but will not be integrated with it until the total file is sent to the basement to be filed.

Prior to filing the binders, Project Status will label them. The binders should be labeled with the following information:

1. Project No.

County

2. Description of Contents

(Correspondence, Calculations, Approvals, etc.)

3. Description

4. Letting Date

5. Preliminary Project No. _____, TIP No. _____

6. Binder No. _____ of _____

B. "Let" Project Correspondence

1. Correspondence received on projects that have been let to contract shall be processed in accordance with Roadway Policy Number 1-6, "Correspondence on Let Projects".

2. The retention of let project files will be in accordance the latest "Records Retention Schedule".

3. Purging the existing "Let" files

The existing "Let" files contain duplications of correspondence, calculations, estimates, preliminary designs and estimates, transmittals, and other material that has no relevant bearing on the Design or Construction of the project and should be removed from the file. The file should be purged in accordance with the Guidelines contained herein.

However, correspondence dated after the letting should remain in the file.

Purging the existing files will be accomplished by Project Status.

V. Interchange Details

A. Proposed Retention Schedule

After Project Status has had the 50-scale detail reproduced for the Division, they will prepare the index card and file the detail and the

card in the central detail file.

(Temporarily, Mr. Willey's group will remain custodian for the details, therefore, anyone desiring to check out details should contact Mr. Willey or his representative.)

B. Existing Detail Originals

Each Project Engineer will provide the Project Status Coordinator a list of all detail originals they have on file. The list should contain the following data:

1. Project Number
2. Location or Description
3. Date

Project Status will retrieve the details, index cross-reference, and file them in the Central Detail File.

VI. Project Planning Reports

A. Project Planning Reports will be forwarded to the appropriate Project Engineer to be placed in the project file. In cases where the Planning Report will cover two or more projects, a report should be placed in each project file. However, if there are separate grading and paving projects, the Planning Report should be placed only in the grading project file. Since Project Status will no longer retain a copy of the Planning Report on file, the Project Engineer may receive extra copies, if so he should dispose of them as he sees fit.

B. Planning Reports: Currently on File

The existing project planning reports on file in Project Status are to be reviewed and purged. The reports for projects currently in design will be forwarded to the appropriate Project Engineer to be

included in the project file. Reports for project on hold or in suspense will remain on file.

VII. Irregular Bid Proposal File

A. Proposed Method

The irregular bid proposal and the Bid Examination Sheet will become part of the project file.

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