

Intro

This is intended to help people find which filing code to use for a given document. Adding any additional information and descriptions for the filing codes. Also include notes of caution for commonly mis-coded files and misleading file types.

It is formatted so that the outline is useful for navigation. (From the view menu, choose “Show outline”)

This is a living document and **EVERYONE SHOULD FEEL ENCOURAGED TO EDIT AND CONTRIBUTE TO THIS DOCUMENT IN THE SERVICE OF HAVING IT BE MORE COMPLETE AND REFLECTING MOST-RECENT, BEST PRACTICES.**

Employees are encouraged to save a *copy* of this for keeping their own personal notes. Please be deliberate about distinguishing copies from this parent document using their filename.

Archiver Link:

<https://ppdo-dev-app-1.ucsc.edu/home>

Meta

Formatting for this document

Use Heading formats on filing codes to maintain a nested tree in the document outline. The filing codes with decimals in them use ‘Heading 5’; Integer filing codes use ‘Heading 4’. Text details regarding the filing codes should be ‘Normal Text’ and not appear in the outline.

Recurring Archiving Considerations Labels

These are different ‘labels’ used throughout the filing codes documentation:

- **Warning** These describe confusing attributes of files in this filing code or common pitfalls associated with the filing code
- **VERY IMPORTANT ARCHIVAL FILES** These flag the filing codes with files which are frequently used. They are subject to additional scrutiny and require additional care to ensure the files are usable (scanned correctly) and not lost.
- *Keep for McHenry Archives* These files need to be reboxed for McHenry's University Archives. Try to maintain their original organization or order but no need to re-staple or re-assemble the files.

Project Filing Codes

● A. General

- Project files with no other good filing code. Can be filed under 'A'. Catch-all Filing Code.
- A1 Miscellaneous (including newspaper articles, invitations, awards, etc.)
 - Catch-all category for files that do not readily fit in other filing codes.
 - Remember that files can be filed under the single letter filing codes so make sure that the file would not be better archived under just 'G - Construction' or 'E - Program & Design', etc.
- A2 Working File (FPR/CFR, Famis WO, all beginning documents, original Request, BAS Vice Chancellor Letters, etc.)authorization
 - **Warning:** Projects at this stage may not have been assigned project numbers, thus the documents at this nascent stage in the project may not be labeled with project numbers.
- A3 Project Directory Responsibility Matrix & Project Chronology

● B. Administrative Reviews and Approvals

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- B1 Chancellor's and delegated Approval (EVC), CPS, DAB Design Advisory Board, Project Summary Form
- B2 Office of the President / UC Regents (UCOP)
- B3 State Public Works Board
- B4 Department of Finance
- B5 Legislative Submittals
 - **Warning:** Do not confuse this with submittals for filing code 'H'
- B6 State Fire Marshal
 - The fire marshal approval and the corresponding stamp for the drawings can use this filing code.

- B7 Department of General Services, Division of State Architect (DGA DSA)
- B8 General Counsel
 - B8.1 General Counsel - Confidential
- B9 Monterey Bay Unified Air Pollution Control District (MBUAPCD)
- B10 Storm Water Pollution Prevention Plan (SWPPP)
- B11 Leadership in Energy & Environmental Design (LEED)
- B12 Outside Regulatory Agencies (California Department of Industrial Relations Pressure Vessel Unit, Pacific Gas and Electric, County Hazardous Waste. Etc)
- B13 Coastal Commission Approval
- B100 Other

● C. Consultants

- C1 Executive Architect (Engineers, Landscape Architect, Consulting Engineer, Etc.)
 - C1.1 Selection (Review Notes, Interview Notes, EIR, Affirmative Action)
 - Request for Qualifications (RFQs)
 - C1.2 Correspondence (include appointment correspondence)
 - C1.3 Agreement (Consultants Agreements and Authorizations- Professional Service Agreements (PSA), Executive Design Professional Agreement (EDPA), Authorizations, and Insurance Documents for consultants)
 - **Warning:** Blanket Agreements should be filed under the corresponding [consultant directory](#) in N\PPDO\Records\00xx Consulting Agreements. Only project specific agreements are filed under this code.
 - Per Contracts: “If an agreement is project specific, the DocuSign email would list the project #. If it is a blanket, the DocuSign email should say Blanket.”
 - **Warning:** Be careful not to file the contractor’s (builder’s) contract here, it should have filing code of F8 (Document is entitled “Agreement Pages”).
 - May require determining what role the parties on the agreement play in the project by looking at the project info in Filemaker.
- C2 Other Consultants (all other including EIR, acoustical, value engineering)
 - Examples of other consultants include civil engineers, telecoms engineers, etc
 - C2.1 Selection
 - C2.2 Correspondence
 - C2.3 Agreements (PSA, EDPA, Authorizations, Amendments)

- **D. Environmental Review Process**

- D1 Correspondence
- D2 EIC Forms (environmental impact commission)
 - Also for Environmental Impact Classification Form – A UCOP form
- D3 CEQA Documentation (public drafts, final)
- D4 Mitigation Monitoring Program

- **E. Program and Design**

- E1 DPP - Detailed Project Program
- E2 PPG - Project Planning Guide
 - E2.1 BCA – Business Case Analysis
- E3 Budget / Cost Estimates / Cost Proposal
- E4 Schedules (all planning schedules: PPG, DPP, etc.)
- E5 Correspondence
 - E5.1 Executive Architect Correspondences
 - E5.2 Special Consultants (soils, biotic, acoustic, surveyor, etc.)
 - E5.3 Users / Building Committee / Campus Correspondences
 - E5.4 PP&C and Physical Plant
 - E5.5 Office of the President Correspondences
 - E5.6 Building Committee Correspondences
 - E5.7 Other
 - E5.8 Office of General Counsel Correspondences
- E6 Reports (soils, structural, acoustic, landscape analysis, calculations, etc.)
 - **VERY IMPORTANT ARCHIVAL FILES** Soil Reports are frequently referenced by subsequent projects. Double check any soil report scan is complete paying particular attention to any maps that may be part of the soil report
- E7 Value Engineering
 - E7.1 Correspondence / Agendas / Participants
 - E7.2 Workshop Minutes, Summaries, Final Reports
- E8 Meeting Minutes (Building Committee, Executive Architect, Campus Facilities)
- E9 Sustainability Measures

- **F. Bid Documents and Contract Award**

- F1 Correspondence
 - F1.1 Executive Architect Correspondences
 - F1.2 Special Consultants Correspondences
 - F1.3 Users / Building Committee / Campus Correspondences
 - F1.4 PP&C and Physical Plant
 - F1.5 Office of the President Correspondences
 - F1.6 General Counsel Correspondences
 - F1.6a General Counsel - Confidential
 - F1.7 Pre-qualification
 - F1.8 Other
- F2 Reviews
 - F2.1 Constructability, Code Review
 - F2.2 In-House, Physical Plant Reviews
 - F2.3 Independent Cost Review
 - F2.4 Independent Seismic Review
 - F2.5 Other
- F3 Structural, Title 24, Mechanical Calculation (Approved Documents)
- F4 Bidding Documents (Documents Posted to PlanRoom, Plan Deposits, Planholders, Advertisements for Bid, Job Walk Sign In Sheets, VC1, VC2, VC3 Memos, Request to Have Project Bid, Negotiated Contract Request)
 - Addenda issued during the bidding process should be archived under F4. Check that it was issued during the bidding process via the title on the document. Example below:

University of California, Santa Cruz
Project Name: Mt Hamilton – Lick Observatory Fire Restoration - General Repairs
Project Number: **6644J**

ADDENDUM NUMBER: 1

to the

CONTRACT DOCUMENTS

April 6, 2023

- F5 Drawings and Specifications (all phases and formats including As Builts/Record Sets)
 - **VERY IMPORTANT ARCHIVAL FILES**
 - **Warning:** A single CAD image is composed from multiple files and in order for the CAD program to build the image from the files, the files need to be organized in the same locations with respect to each other. This likely requires moving the entire folder of cad files into the desired location(s) and cannot be achieved with the Archives App.

- Addendum Drawings and Specifications would be filed here. Other files related to the addendum would be filed elsewhere.
- Also make a copy of CAD folder and also archive them in the associated '##xx CAD' directory
 - eg CAD files for project 1401 would be archived in both these locations:
 - N\PPDO\Records\14xx Thimann Labs\1401\1401\F5 - Drawings and Specifications
 - N\PPDO\Records\14xx Thimann Labs\14xx CAD
- Examples of filenames of files archived here: [A0.3-Site Plan.pdf]
- F6 Affirmative Action (pre-bid meeting / notes)
- F7 Bid Summary Form (Bid Forms and Bid Results)
 - F7.1 Bid Protest
- F8 Contract (Notice of Selection as Apparent Lowest Responsible Bidder, Notice to Proceed (NTP), Statement of Experience & Financial Condition, Withdrawal of Bid, Agreement, Bonds, Insurance Certificates, Assignment of Contract, DIR Contract Registration/Updates)
 - **Warning:** Do not use this filing code for the consultant agreement, that uses C1.3 and [in R:\00xx Consulting Agreements](#)
 - **Warning:** Be careful not to file 'Contractor *Blanket* Mini Contracts' here. [How to file those contract documents in R:\02xx Contractor Blanket Mini Contracts.](#)
- F9 Builder's Risk & UCIP Insurance
 - F9.1 Builder's Risk
 - F9.2 UCIP
- F10 Escrow Agreement

- **G. Construction**

- G1 Correspondence
 - G1.1 Contractor Correspondence
 - G1.1a Subcontractor Substitution
 - G1.2 Executive Architect / Consultants Correspondences
 - G1.3 Users / Building Committee / Campus Correspondences
 - G1.4 PP&C and Physical Plant Correspondences including Utility Shut Down Notices, Work Orders and Certified Payroll
 - G1.5 Geotechnical Engineer Correspondences
 - G1.6 Testing and Inspection to Laboratory Correspondences
 - G1.7 General Counsel Correspondences
 - G1.7a General Counsel - Confidential
 - G1.8 Other
- G2 Certificate for Payment, Invoices, Expense Reports
- G3 Contractor's Schedule and Updates
- G4 Progress Meetings Notes
- G5 UCSC Inspectors' Daily Reports/Inspection Request
 - G5.1 Hot Work Permits
- G6 UCSC memoranda
 - G6.1 Architect Field Reports
- G7 Contractors' Daily Reports
- G8 Testing and Inspection Reports / Geotechnical Engineer
- G9 Testing and Inspection Reports / Testing and Inspection Laboratory
- G10 Testing and Inspection Reports / Other
 - Includes State Fire Marshal Fire Inspection Reports (Construction Inspection Form)
- G11 Proposal Request (Bulletins) and Contractor's Response
- G12 Request For Information (RFIs)
 - Requests for information are sent to the university by the contractor when they need some information; maybe they need a decision on what height to install a sink or why they uncovered some conduit when it was not on the drawings they received or how much weight some wall-mounted cabinets will need to hold. Most of the time, the university will pass the RFI off to the consultant/architect to answer.
 - There are contractual time limits for getting an answer to the contractor and a contractual time limit for getting an answer to the university from the consultant/architect.
 - There can be many versions of the same RFI: The one received from the contractor, the one including the architect's response, and maybe a different version that has the university response.
 - **Warning:** RFIs may have supporting documents including product data, drawings, photos, and spreadsheets that need to be filed in this filing code too. Preferably the supporting documents are included with the corresponding RFI in a single file for archiving.

- G13 Letter of Instruction (Architect's Supplemental Instruction)
- G14 User Requests for Change in Project Scope
- G15 Change Orders & Contract Amendments
- G16 Field Orders
- G17 Warranties and Guarantees
- G18 Punchlists
- G19 Notice of Completion (including Certificates of Beneficial Occupancy, Notice of Substantial Completion (original with Contract) Bond Inquiry)
 - Notice of Completion frequently referred to as "NOC"
 - 'Certificate of Substantial Completion' certify that whatever was being built can now be put into use by the University (e.g. We can start using the building that was built.)
- G20 Warranty Deficiency
 - **VERY IMPORTANT ARCHIVAL FILES**
- G21 Construction Photographs, Video Cassettes, etc.
 - Photo negatives should be labeled with project information and added to box for returning to the warehouse.
 - *Keep for McHenry Archives* Keep all hard copies of the photos and keep them organized to be sent to the University Archives. Try to preserve information that identifies the project and the dates of the photos.
- G22 Claims (Legal action including supplementary data) Public Records Act
 - **VERY IMPORTANT ARCHIVAL FILES**
 - G22.1 Claims – Confidential
 - G22.2 DIR Investigations/Requests for Information
- G23 Commissioning
- G24 Building Permits

● **H. Submittals** (including substitutions) See Project Documents Desk, filed by specification section, manuals

- **VERY IMPORTANT ARCHIVAL FILES:** There are tons of these files but they are also among the most referenced files, particularly product data submittals and O&M submittals. Warranties are super important while the warranty is still in effect (generally less than 5 years after project completion). As-builts are super important but need to be filed in F5. Schedules, shop drawings, and test data are not as important.
- Submittals are documents that are sent by the contractor to the university to fulfill some part of their contractual obligations detailed in the specification book. They are reviewed by University and the architect/Consultant and then returned back to the contractor with the disposition of the review.
 - Note this means there can be many versions of the same exact same submittal generated from each. Additionally, rejected submittals result in revisions. (eg we may not like the proposed product being submitted, rejecting it. Subsequently the contractor will send a different product as a revision to the rejected submittal.) We are only interested in archiving the

final version of each revision, but will archive intermediate versions when we are unsure a final version exists on the server.

- Most submittals are related to the contractors contractual obligation to get confirmation from the university for every product that is 'installed' and how it is installed. These are submitted as "Product Data" which show which product will be installed and "**Shop Drawings**" which show how the product will be installed. Also some will have samples or color charts. Shop Drawings are commonly large format.
 - Submittals are commonly numbered with the section in the specifications they are fulfilling, this is their 'spec section'.
 - Besides shop drawings, product data, and samples, submittals also include these things:
 - Test Reports
 - Can be filed here or under G8 - G10
 - Warranties
 - **Warning:** *These can be submitted as a submittal but should be archived under G17 filing code.*
 - O&M (Operation and Maintenance literature)
 - Schedules
 - **Warning:** *These can be submitted as a submittal but should be archived under G3 filing code.*
 - As-Builts
 - **Warning:** *These can be submitted as a submittal but should be archived under F5 filing code.*
 - Samples
 - Samples are physical examples of things like upholstery, landscaping material, paint swatches etc.
 - [Documentation for archiving unscannable stuff.](#)
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- I. Group II And III Equipment
 - Not used for Archiving
 - J. Gifts
 - Not used for Archiving
 - K. Lot Leases (for Faculty Housing, etc.)
 - Not used for Archiving
 - L. Leased University Facilities
 - Not used for Archiving

Filing Other Non-project-related Documents

Consultant Files

Consultant related files that are *not associated with a project* would be filed under their named directory in N\PPDO\Records:\00xx Consulting Agreements. Several examples of files that would be filed here include:

- Professional Service Agreements (PSA)
- Executive Design Professional Agreement (EDPA)

These commonly use the term “Blanket” as in “Blanket Agreement”.

Contractor Mini Forms

These are agreements that can be used to hire pre-approved contractors for small projects. Thus they are not associated with any one project. They are located in the folder with their firm name in the following location on the records. There are two types of these: **General Blanket Mini Contracts** and **Blanket Mini Orders**.

- The General files will be sent once a year and have a title along the lines of “General Contracting Services”. These should be filed in the Contract subfolder of the contractor’s folder (N\PPDO\Records:\02xx Contractor Blanket Mini Contracts\”Contractor Name”\Contract). If the file is not already named, rename it and include the contract number, contractor’s name, “Blanket Mini Contract”, and the year. For example: 0203 T. Boyd Construction Blanket Mini Contract 2022
- The Mini Orders are the contract for a specific project and will have a numbered name (BM0xx). These are filed in the Orders subfolder (N\PPDO\Records:\02xx Contractor Blanket Mini Contracts\”Contractor Name”\Orders). Be sure to include the name of the order and a bit of information about the project. For example: BM055 Science Library Path Paver Repairs.