

FILING SYSTEM

For Project Engineers

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1. PURPOSE AND SCOPE.

This bulletin outlines a filing system for the use of project engineers. A uniform filing system for all project correspondence and construction data is essential for reference and record. To facilitate control and procedure, it is important that each letter, memorandum, report, instruction, authorization, etc., as well as contract documents and construction records, generally be filed promptly and maintained uniformly, so that they will be readily available at all times.

Since such files form the permanent record of project construction and may be subject to use as legal evidence in matters of dispute or litigation, they must be preserved as a complete and chronological account of the work. All data and records, therefore, should be filed systematically. Under this system, all subject matter relating to project construction is divided into three major classifications, "Preliminary", "General" and "Construction". All filed material should be appropriately classified and segregated in folders.

2. PRELIMINARY ("P") FILES.

Correspondence and records relating to all matters (active or completed) prior to award of the construction contracts should be filed in this section.

3. GENERAL ("G") FILES.

In this section, all material of a general nature, or material pertaining to more than one contract or project should be filed.

4. CONSTRUCTION ("C") FILES.

A separate file should be maintained for each prime contract for all correspondence, documents and subject matter relating thereto. Correspondence regarding samples, tests, guarantees, interpretations, etc., should be filed in the applicable "C - Construction" file, and under the particular caption to which it refers.

It is important that subject matter be properly classified. For example, correspondence regarding samples of hardware might be filed in a folder captioned "C-470-b Hardware -

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Samples", or, if it is anticipated the volume of correspondence or data will be small, the one folder, captioned "C-470-~~Hardware~~", may suffice.

5. CHANGE RECORDS.

A separate section of the "C" file designated as "C-600- Changes - Contract" should be established and maintained for each (general or prime) contract. As soon as it is known, or anticipated, that a change in contract terms or requirements may eventuate, give the subject matter a consecutive Change Item number and establish a file folder to receive all correspondence and data relating to the pending change. Assemble in such numbered folder all correspondence to date, (if taken from another folder, replace same with a copy or a cross reference notation) and file in the (pending) change folder all future data relating to the item, including proposals, estimates, correspondence, and drawings, etc., and (if issued) the Proceed Order and Change Order. (As an example "FILE C-600 - CHANGE ITEM 46") The cross reference between Change Item, Proceed Order, and Change Order numbers will appear on the Change Order Record Form FPFA-373. (See File Folder C-120) A separate file folder should be maintained for each change item. Change item folders should also bear a label giving a brief description of the change, and space for insertion of the subsequent "Proceed Order" and "Change Order" numbers.

It is advantageous to subdivide each "C-600 File" into four parts for convenience of reference in accordance with the status of the change, as between "Pending", "Proceed Orders", "Change Orders", and "Rejected", by maintaining the folders in the section corresponding to the current status of the Change Item.

6. REFERENCE & USE.

Each file separator and folder should be labeled with the appropriate "file number" and "specific subject designation" and identified as to the "project and contract numbers".

- a. Each piece of correspondence or data should be permanently marked (preferably in the upper right hand corner) in ink or by means of rubber stamp, to show,-
 - (1) - the proper filing designation, and,
 - (2) - the date received.

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- b. If it is desirable to subdivide a listed subject, for example, "P-1-Site Acquisition" to accommodate an additional subject to cover "appraisals", a folder captioned, "E-2-Appraisals" may be added.

7. INDEX.

The accompanying Index is designed to provide flexibility to meet varying project conditions and expansion for new items.

8. CROSS REFERENCE & CONTRCL.

- a. A copy of the precise filing index used, complete and currently revised, shall be kept in the front of the top drawer of each file cabinet section, at all times (even when in permanent or dead storage).
- b. When necessary to remove or change material from one folder or section to another, replacement copies or appropriate cross reference sheets should be utilized.

9. DISPOSITION of RECCRDS.

On completion of a project, the project engineer shall transmit all field office records to the regional office for permanent storage, except such "as-built" and construction records as are required for maintenance of the project, which the project engineer shall deliver to the housing manager at completion of contract work.

10. FILING INDEX:

"P - PRELIMINARY" - (Prior to construction contracts)

P-1 SITE ACQUISITION

P-10 TENANT REMOVAL

P-20 DEMOLITION

P-30 EQUIVALENT ELIMINATION

P-40 DEVELOPMENT COST & BUDGET

P-50 DWELLING & NON-DWELLING COST ANALYSES

P-60 PERMITS

P-70 APPLICATION FOR FINANCIAL ASSISTANCE

P-80 LOAN CONTRACT

P-90 DEVELOPMENT FUND AGREEMENT

P-110 ANNUAL CONTRIBUTIONS AGREEMENT

P-120 ARCHITECT-ENGINEER'S CONTRACT

P-130 DRAWINGS & SPECIFICATIONS

P-140 LOCAL AGREEMENTS (Including development contracts, payments in lieu of taxes, dedications, easements, and local municipal agreements)

"G - GENERAL" (Of a general character applying to the project as a whole, but not to a specific contract)

G-1 DRAWINGS - CONTRACT

- (a) Correspondence
- (b) Interpretations

G-10 SPECIFICATIONS - CONTRACT

- (a) Correspondence
- (b) Interpretations

G-20 CONFERENCE MINUTES

G-30 LABOR MATTERS - Wages, hours, and strikes

G-40 PERSONNEL

G-50 PHOTOGRAPHS

G-60 SIGNS, FENCES, PROTECTIONS, AND TEMPORARY BUILDINGS

G-70 POLICIES AND PROCEDURES:

- (a) Correspondence
- (b) Interpretations

G-80 TELEPHONE CALLS:

- (a) Correspondence
- (b) Reports - Long Distance Telephone Call (FPHA-16)

G-90 PAY ROLLS - FIELD OFFICE:

- (a) Correspondence
- (b) Reports - Pay Rolls (FPHA-31)

G-100 REQUISITION FOR FUNDS:

- (a) Correspondence
- (b) Administrative, Supervision, and Inspection Budget (LHA) - FPHA 1030
- (c) Allotment of Funds (Form FPHA 501)

G-110 OFFICE SUPPLIES AND EQUIPMENT

- (a) Correspondence
- (b) Requisition for Articles and Services (FPHA 60)

G-120 AS-BUILT DRAWINGS

G-130 FINAL JOB CLEAN-UP:

- (a) Correspondence
- (b) Punch Lists

G-140 OCCUPANCY

"C-CONSTRUCTION" (Re: one contract)

C-1 CONTRACT (including bids, bid tabulations, recommendations, Notice to Proceed, Contract, Bond(S), Certificate of Completion, etc.)

C-10 SUBCONTRACTS

C-20 SUBCONTRACTORS

C-30 DRAWINGS

- (a) Correspondence
- (b) Interpretations

C-40 SPECIFICATIONS:

- (a) Correspondence
- (b) Interpretations

C-50 CONFERENCES (Minutes)

C-60 LABOR MATTERS - Wages, Hours, Strikes, Racial Compliance, etc.

C-70 PROGRESS SCHEDULE (Contractor's):

- (a) Correspondence
- (b) Progress Schedule (FPHA-372)

C-80 PROGRESS REPORT (Project Engineer's):

- (a) Correspondence
- (b) Progress Report (FPHA-377)

C-90 INSPECTION - SUPERVISION

- (a) FPHA Inspection and Supervision
- (b) LHA Inspection and Supervision
- (c) Architect - Engineer's Supervision

C-100 CONTRACT BREAKDOWN:

- (a) Correspondence
- (b) Schedule of Amounts for Contract Payments (FPHA-1000)

C-110 PAYMENTS - partial - Contractor's:

- (a) Correspondence
- (b) Reports - Periodical Estimate (FPHA-1001)
- (c) Reports - Schedule of Change Orders (FPHA-1002)
- (d) Reports - Schedule of Materials Stored (FPHA-1003)
- (e) Reports - Summary of Materials Stored (FPHA-1004)

C-120 PAYMENTS TO CONTRACTOR'S EMPLOYEES

(Supervision of):

- (a) Correspondence
- (b) Affidavit Appoint Officer to Supervise Payments

C-130 INSURANCE:

- (a) Correspondence
- (b) Reports - Contractor's Coverage (FPHA-299)

C-140 PAY ROLLS - Contractor's:

- (a) Correspondence
- (b) Weekly Summaries - (FPHA-283, 284, & 285)

C-150 EMPLOYMENT:

- (a) Correspondence
- (c) Reports

C-160 DELAYS:

- (a) Correspondence
- (b) Record of Delays

C-170 SHOP DRAWINGS:

- (a) Correspondence
- (b) Record of Drawings

C-180 CHANGE ORDER REPORTS:

- (a) Correspondence
- (b) Change Order Record

C-190 MISCELLANEOUS REPORTS

C-250 DEMOLITION
C-260 EXCAVATING, FILLING, & GRADING
C-270 CONCRETE WORK
C-280 MASONRY
C-290 STONE - Cut or Cast, Terra Cotta
C-300 INCINERATORS
C-310 DAMPPROOFING AND WATERPROOFING
C-320 CAULKING
C-330 ROOFING, INSULATION, & SHEET METAL WORK
C-340 WINDOWS
C-350 DOORS & TRIM
C-360 STAIRS
C-370 STRUCTURAL STEEL
C-380 MISCELLANEOUS & ORNAMENTAL IRON
C-390 PLASTERING
C-400 CARPENTRY & MILLWORK
C-410 INSULATION - GENERAL
C-420 WEATHER STRIPPING
C-430 FLOOR COVERING
C-440 TILE, MARBLE, TERRAZZO, & SLATE
C-450 PAINTING
C-460 GLAZING
C-470 HARDWARE
C-480 SHAKES
C-490 RANGES
C-500 REFRIGERATORS
C-510 PLUMBING WORK
C-520 HEATING AND VENTILATING WORK
C-530 ELECTRICAL WORK
C-540 ELEVATORS
C-550 LANDSCAPE WORK
C-600 CHANGES - Contract:

A separate folder, filed numerically, for each Change Item including all correspondence thereon, proposals, estimates, data and (if issued) Proceed Order and Change Order.