State of California
DEPARTMENT OF TRANSPORTATION

Business, Transportation and Housing Agency

Memorandum

Flex your power!
Be energy efficient!

To: DISTRICT DIRECTORS
DEPUTY DIRECTORS
DIVISION CHIEFS

Date: April 7, 2006

File: 508

From: RICHARD D. LAND
Chief Engineer

Subject: Archiving As-Built Plans

This memo supersedes the memo, *As-Built Plans*, dated October 31, 2000, signed by Robert L. Buckley and Robert Pieplow.

It is imperative that the California Department of Transportation (Department) maintains complete and accurate contract records, including As-Built plans, to assist in the development of future projects and to minimize possible litigation involving construction claims and exposure to tort liability. This memo is intended to clarify who is responsible for the many actions necessary to complete and archive As-Built plans.

The Division of Design will archive the electronic As-Built files in the Document Retrieval System (DRS): http://10.168.0.22/falcon/websuite.htm, and arrange for the preparation and storage of microfilm copies.

As-Built Reporting:

As stated in the Project Development Procedures Manual, archive-ready As-Built plans for projects with less than 300 total plan sheets (roadway and structure combined), must be submitted to the DRS unit at the Headquarters Office of Computer Aided Drafting Design (CADD) and Engineering Global Information System Support (GIS) within 180 days from Construction Contract Acceptance (CCA). As-Built plans for projects with more than 300 total plan sheets must be submitted within 270 days from CCA. The date of entry into the DRS will be used as the milestone date indicating the As-Built plan set is completed.

The tracking and reporting of as-built completion status based on the project EA will begin immediately and will be for those contracts with CCA dates of January 1, 2005 or later. The reports will be posted on the DRS web site: http://cadd.dot.ca.gov/html/drs/reports/

Archive-ready As-Built Plans:

Archive-ready As-Built roadway plans are to be completed and submitted by the Districts to the DRS unit. Archive-ready As-Built structure plans are to be completed by Division of Engineering Services (DES) and submitted through Structure Maintenance and Investigation to the DRS unit. All projects (including Minor and Locally Funded Projects) are to be submitted electronically in a tiff format for entry into the DRS. It is the responsibility of the Districts and DES to obtain these archive-ready As-Built plans from the consultants and Local Agencies preparing these products.

Structure As-Built plan sheets will also continue to be entered into the Bridge Inspection Retrieval Information System (BIRIS) by Structure Maintenance and Investigations, using existing procedures.

Encroachment Permit As-Built plans will continue to be submitted using existing procedures (see link below).

The backlog of As-Built plans shall be handled according to procedures found in the CADD users manual (see link below).

As-Built standards and procedures for creating electronic As-Built sheets from the as-awarded CADD files can be found in the following manuals:

- Procedures for preparation of As-Builts from Plans Specifications and Estimates to entry into the DRS: Section 2-3 of the Plans Preparation Manual:
  http://www.caltrans.ca.gov/hq/esc/oe/project_plans/drafting/dpmanual.pdf
- Standards and guidelines to assist the as-built process using CADD:
  Chapter 4 of the CADD Users Manual:
  http://www.dot.ca.gov/hq/oppd/cadd/usta/caddman/default.htm
- Responsibility for completing As-Built plans:
  Section 5-104D of the Construction Manual:
  http://www.dot.ca.gov/hq/construc/manual2001/chapter5/chp5_1.pdf
- Responsibility for completing Structure As-Builts:
  Pages 1-20.1 to 1-21.1 of the Bridge Design Details manual:
  http://www.dot.ca.gov/hq/esc/techpubs/manual/bridgemanuals/bridge-design-details/page/Section%201.pdf
- Procedures for completing Structure As-Built redline corrections:
  Bridge Memo to Designers: 1-20
  http://www.dot.ca.gov/hq/esc/techpubs/manual/bridgemanuals/bridge-memo-to-designer/bmd.htm#sec1

Microfilming of As-Built Plans:

The DRS unit will be responsible, through the use of a contract vendor, for microfilming all As-Built plan sheets, other than encroachment permit projects, utilizing the electronic files submitted by the Districts and Structure Maintenance and Investigation. The DRS unit will forward the final microfilm sets to the Headquarters Microfilm Unit upon their completion. The Districts and Structure Maintenance and Investigation have the option of preparing the microfilm via their own microfilming contracts, and shipping them to the Headquarters Microfilm Unit, notifying DRS of their completion.

- Guidelines on microfilming: Chapter 4 of the CADD users manual and the following section of the DRS website: http://cadd.dot.ca.gov/html/drs/standards

Microfilming of encroachment permit As-Built plan sheets is the responsibility of the Headquarters Microfilm Unit.

- Guidelines on microfilming encroachment permit plan sheets: http://cadd.dot.ca.gov/html/drs/standards/PermitsCaltransMicrofilming.pdf

If you have any questions regarding these procedures, please contact Jim Springer, HQ CADD and Engineering GIS Support, at (916) 227-2627.

cc: Randy Iwasaki – Chief Deputy
Bruce Berhans - Legal
Louie Samudio – Records Management
Kevin Thompson – Structure Design
Rob Stott – Structure Design
Gene Mallette - Construction
Dolores Valls – Structure Construction
Mickey Horn – Structure Construction
Barton Newton – Structures Maintenance
Paul Cavanaugh – Traffic Operations
Design Management Board
Construction Management Board