



Risk Tip 6.
Sample Project File Index
Provided as a courtesy by the ACEC/MA Risk Management Forum
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A project filing structure should be established at project startup. Depending on the size of a project, one may select a simple single chronological file for small projects and for the larger projects one may select a file numbering system similar to the one shown below, unless the Client requires use of another file numbering system. The sample file numbering system shown below is made up of 8 main file sections or series (100, 200, 300, 400, 500, 600, 700 and 800). Where every project is different, some file numbers will not be needed. Files can be kept electronically or hard copy or a combination of both.

- 100** **CONTRACT FILES:** The most important documents to retain are the proposal, minutes of contract negotiation; executed prime agreement signed by both parties and any agreements with Sub-consultants. As the project progresses, should there be any changes, retain modifications as amendments to the contract and any subcontracts, especially changes in scope, schedule and fees.
- 101 Proposal and Negotiations
- 102 Base Contract
- 103 Contract Modifications
 - 103.1 Contract Modification/Amendment #1
 - 103.2 Etc.
- 104 Progress Reports
- 105 Invoices
- 110 **SUB-CONSULTANT/VENDOR FILES**
- 111 Subconsultant A
 - 111.1 Selection Process
 - 111.2 Subcontract and any Subcontract Modifications
 - 111.3 Invoices
 - 111.4 Subconsultant Correspondence
 - 111.4.1 Incoming Correspondence
 - 111.4.2 Outgoing Correspondence
- 112 Subconsultant B; etc.

- 200** **CORRESPONDENCE FILES:** Here you would retain copies of correspondence that comes in from the client and outside agencies that may be involved in the project and any internal correspondence. For large projects, you may want to consider an incoming and outgoing correspondence log. The log would identify the date, the sender's organization name and

the subject matter which can serve as a quick reference when searching for a specific document. This may include responses to value engineering recommendations made by the client's agent, if applicable.

- 201 Incoming Correspondence
 - 201.1 Client
 - 201.2 Agency or Other Entity
- 202 Outgoing Correspondence (Use same format as 201 above)
- 203 Internal Correspondence

300 **ADMINISTRATIVE/PROJECT CONTROL FILES:** These are primarily internal documents that establish project milestones. The software is either something that can be created by your firm or purchased from a software vendor. This section is an important tool to measure where you stand on the project against the budget and schedule that was established. Such tracking is essential to the profitability of the project.

- 301 Project Initiation Forms
- 302 Project Budget
- 303 Project Schedule
- 304 Project Work Plan
- 305 Kickoff Meetings, Agenda, Minutes

400 **TECHNICAL INFORMATION AND TECHNICAL DISCIPLINE FILES:** These files remain with each discipline during the execution of the project or are open to the entire project team if the files are electronically stored. When the project is completed, the files are turned over to the project administrator for filing of the complete project.

- 401 General
- 402 Survey/Mapping
- 403 Geotechnical
- 404 Civil
- 405 Structural
- 406 Architectural
- 407 Plumbing
- 408 Process
- 409 Mechanical HVAC
- 410 Electrical
- 411 Instrumentation and Control (I&C)
- 412 thru 499 Use when the sections above do not include other needed disciplines or technical areas

500 **PROGRESS SUBMITTALS/DELIVERABLES:** These are usually deliverables to the client and/or public agency on behalf of a client. They should match up with any deliverables listed in the base contract.

- 501 Submittal #1 (Specify)

502 Submittal #2 (Etc.)

600 **CONSTRUCTION SUPPORT FILES:** This section tracks the design team's interaction with the construction. It starts with the bidding phase and tracks activity all the way through to substantial completion and beyond through the warranty period, if applicable. These are important documents for construction administration activities. The request for information (RFI) log and shop drawings log are very important control documents. Each RFI or submittal should be assigned a number. The log should show the date the document was received, action taken and the date it was returned to the contractor. As delays and extras are major causes for claims against design professionals, detailed documentation and reasonable turnaround times of RFIs and submittals are essential.

601 Correspondence

601.1 Incoming

601.2 Outgoing

603 Meetings

603.1 Pre-Construction Meeting

603.2 Construction Progress Meetings

604 Requests for Information (RFI)

604.1 RFI Log

604.2 RFI Files

605 Shop Drawings/Submittals

605.1 Submittal Log

605.2 Submittal Files

606 Construction Contract Changes

606.1 Change Order Log

606.2 Proposed Change Orders Files

607 Site Visits and Inspections

608 Materials and Testing Data

609 Pre-Final Inspection

610 Final Inspection

700 **QUALITY MANAGEMENT:** The quality management file will contain all quality control/quality assurance checklists. This file should contain documentation that peer review was performed on the work product. The peer reviewer's markups or comments should be kept as a record along with the design team's responses to the comments.

701 Calculation Review Checklists/Document Comment Sheets

702 Drawing Review Checklists/Document Comment Sheets

703 Specifications Review Checklists/Document Comment Sheets

704 Report Review Checklists/Document Comment Sheets

800 **SAFETY:** As the engineer does not have overall control of site safety, this section is

intended to contain documentation of the safety controls the engineer has communicated to the engineer's staff. This consists of documentation of the engineering firm's safety, health and environment plan to be followed by the engineering firm's employees.

- 801 Project Safety, Health and Environment Plan
- 802 Safety Training
- 803 Accident Investigations and Reporting

This ACEC/MA Risk Tip is intended to provide current and accurate information to assist the reader in becoming more familiar with the subject matter. It is informational only and not intended to substitute for technical, legal, or risk management professional advice. The reader is encouraged to consult with an attorney or appropriate professional consultant to explore this information further.

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