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# Project Delivery Directive

Number: PD-06

TO: Project Delivery Employees

References: California Public Records Act (CPRA)

Effective Date: February 8, 2016  
Supersedes: PD-06 dated 2/1/2012, "Sharing of Electronic Files"

Review by: February 8, 2019

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**TITLE**            Sharing of Electronic Files

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## **DIRECTIVE**

Electronic copies of certain design information shall be made available to internal and external entities throughout the project delivery process for projects on the State Highway System (SHS). The sharing of electronic files aids in providing information in a cost effective and timely manner that will allow both Caltrans and its partners to deliver projects more efficiently. Therefore, providing these files will aid in improving the overall quality of the project while delivering those projects on time and within budget.

Requests for electronic files will be handled differently based on their category.

**Category 1.**        Requests from Project Development Team (PDT) members for electronic files needed to deliver a Caltrans-sponsored project. The PDT consists of any internal and external forces required to deliver a project including internal functional units, A&E consultants, construction contractors under contract with Caltrans, etc. From Project Initiation Document (PID) to Project Closeout, all requests can be made by one PDT member to another, except for contractors. From Contract Award until Project Closeout, all contractor requests are to go through the Resident Engineer. The PDT will share the appropriate static or vector files in order to expedite delivery of the project.

**Category 2.**        Requests from prospective bidders for electronic files for use in preparing bids for advertised projects. See Attachment "A" for a list of specific files to be provided. These files contain design information that can be used by the bidder to prepare their bids. Prospective bidders should send requests for any additional electronic files as a "Bidder's Inquiry" through the district construction office, Duty Senior.

**Category 3.** Requests from implementing agencies (external agencies responsible for a project on the SHS) for electronic files where the information will be used to deliver a project on the SHS. Static files can be shared, and vector files should be shared when the Caltrans Project Manager and the PDT agree that the requested vector files would be beneficial to the implementing agency in the delivery of their project. Implementing agencies should send all requests to the Caltrans Project Manager.

For Categories 2 and 3, shared files shall not be converted by Caltrans to another vector file format due to the potential for data loss or errors. If the recipient of the file chooses to convert the data, it is up to the recipient to verify the accuracy of the data.

Requests for files for work done on the SHS through an encroachment permit must obtain the files through the encroachment permit process. Requests from the general public and other requests that do not fall within these three categories are to be handled using the guidance set forth in Deputy Directive DD-79: *California Public Records Act Compliance*.

To implement this Project Delivery Directive, see Attachment "A" for detailed guidance regarding the sharing of electronic files for each category. This directive and its attachments will be incorporated into the next revision of the Project Development Procedures Manual.

This Project Delivery Directive pertains to design-bid-build projects only. Special projects where Caltrans is involved in the design (e.g., design-build, design sequencing, etc.) should be handled on a case-by-case basis following the intent of this policy, as they are unique in nature and may require special handling.

#### ***DEFINITION/BACKGROUND***

Electronic files are defined as any data stored by Caltrans in a computerized format. This may include drawings, reports, survey deliverables, or project files. Any data that is stored digitally is considered an "electronic file" regardless of source. For example, a Portable Document File (PDF) of a handwritten document or a Computer Aided Civil Engineering (CAiCE) .pfs roadway project file would both be considered electronic files.

Electronic files are classified as either vector or static files. Vector files are files that can be edited, such as text files, spreadsheets, Computer-Aided Drafting and Design (CADD) or roadway design software files (currently MicroStation DGN and CAiCE project files). Static files include PDF, Tagged

Image File Format (TIFF), and Joint Photographic Experts Group (JPG) files. Any design data kept in MicroStation or Caltrans current roadway design software at the completion of a project is considered archived vector data.

Caltrans often receives requests for copies of as-built plans, survey data, mapping, design files, and final contract plans in a variety of formats. There is a need for statewide consistency within the Capital Outlay Support (COS) Program regarding the sharing of electronic files for information that could expedite the delivery of projects on the SHS by Caltrans and our local partners, while limiting the amount of liability related to the accuracy of the data provided.

Caltrans' external partners generate electronic files that could be beneficial to a current project or for future projects. Whenever there is a written agreement with external partners, the agreement should include language to obtain these electronic files as appropriate.

## ***RESPONSIBILITIES***

### Deputy Director, Project Delivery:

- Establishes Project Delivery policies, procedures, standards, guidance and best practices related to sharing of electronic files.

### Chiefs, Divisions of Construction, Design, Engineering Services, Environmental Analysis, Project Management, and Right of Way and Land Surveys:

- Incorporate this directive and its attachments into applicable manuals within one year and review it within two years of issuance.
- Ensure that this directive and its attachments are delivered to the target audience in their division.
- Develop, maintain, and implement Project Delivery policies, procedures, standards, guidance, and best practices related to sharing of electronic files.

### Office of CADD and Engineering GIS Support:

- Provide details on the preparation of electronic files released under this directive in applicable Project Delivery manuals.

### District Directors:

- Ensure that this directive and its attachments are followed within their District.
- Ensure appropriate support of activities outlined in this directive.

### Deputy District Directors, Project Delivery Functions and Engineering Services Deputy Division Chiefs:

- Ensure that employees are informed of this directive.

Resident Engineers

- After contract award, act as focal point for all project related electronic file requests from the contractor.

Project Managers:

- For local funded projects on the state highway system, act as a focal point for all project related electronic file requests.

Functional Managers:

- Provide the appropriate electronic files to be shared and provide recommendations concerning files that can or cannot be shared.

Task Managers:

- Ensure that resources are available for the time required to locate and share project related electronic files.

Project Development Teams:

- Ensure that electronic files are shared in compliance with this policy.

Public Map Files/Records Counter Staff:

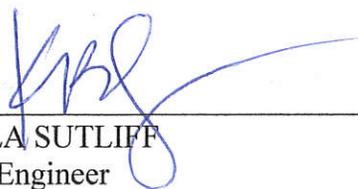
- Ensure that electronic files are shared in compliance with this policy.

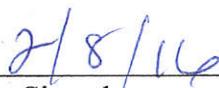
Project Delivery Employees:

- Be aware of and follow, as appropriate, Caltrans policies regarding sharing of electronic files.

*APPLICABILITY*

This directive applies to all Caltrans project delivery employees involved in the design and construction of the transportation system.

  
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KARLA SUTLIFF  
Chief Engineer  
Deputy Director, Project Delivery

  
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Date Signed

Attachment