

Project Delivery Directive PD 06 Attachment A
Detailed Guidance regarding the sharing of electronic files

Table 1. Summary of Electronic file guidance for each category

	Category 1	Category 2	Category 3
Description	Electronic Files where the sharing of files is beneficial to delivery of a Caltrans-sponsored project (i.e. the requestor is considered part of the PDT)	Electronic files from an active project being provided to prospective bidders. They do not have a contract with the state for this work, yet providing certain information during the bidding process to all bidders could lead to better and more accurate bids from prospective bidders.	Electronic Files and the requestor is an implementing agency (external agency responsible for a project on the SHS) where the information will be used to deliver a project on the SHS.
Type of requestor	A member of the PDT (Design, R/W, Environmental, DES, a utility company, etc.)	Prospective bidders	A local partner (city, county, regional transportation agency, etc.)
Time Frame	PID through project closeout	Project advertisement	PID through project closeout of their locally sponsored project on the SHS.
Forms Required	none	none	Confidentiality and Hold Harmless Agreement for the Sharing of Electronic Files
Type of files to be shared	The PDT will share the appropriate static or vector files in order to expedite delivery of the project.	Type of files shared depends on the type of project but can include PDF, TIF, MicroStation, LandXML, or Roadway Design files.	Requested files are to be provided in a static format. Vector files should be shared if the Caltrans PM and PDT team determine that those vector files would be beneficial to the implementing agency for the delivery of their project on the SHS.
Focal Point for Requests:	From 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.	During advertisement, prospective bidders should send all requests for additional electronic files in as a "Bidder's Inquiry" through the district construction office, Duty Senior.	Caltrans Project Manager
Resources	Project number	Project number	Project number (Oversight)

For all categories, contact your local Information Technology (IT) or CADD Support group for recommendations on methods of sharing large electronic files (i.e. e-mail, ftp sites, cd/dvd media, etc.)

Category 1:

On current Caltrans sponsored projects (active, completed, or shelved) that follow the standard design-bid-build process, it is vital that the PDT share electronic files in order to increase communication and productivity. The PDT consists of any internal and external forces required to deliver a project including internal functional units, A&E consultants, contractors under contract with Caltrans, etc. Forms or disclaimers are not needed in order to share information about the project within the PDT. Full disclosure shall be provided regarding the source of the information or its degree of confidence (i.e. was data only field verified, surveyed in a certain year, etc.).

Utility companies should also be treated as part of the PDT. If they request an electronic copy of the base map, design should send that information to facilitate their utility verifications. Utility companies are not required to submit a hold harmless agreement, nor a confidentiality statement. They are doing a part of the work for the project, whether developing relocation plans or verifying data.

Consultants working directly for Caltrans as part of the PDT are bound by their task order or contract. The task order or contract should define what information they need and will be given.

Whenever electronic files are shared with any external parties (e.g. utility companies, consultants, etc.), the Project Manager and Task Managers are to be informed of what files were shared.

Before Plans, Specifications, and Estimate (PS&E) are turned into District Office Engineer (DOE), any vector files that are shared electronically **MUST NOT** include the engineer's signature. There are no other restrictions on the type of file (.DGN, .PDF, etc) that is shared with the team before the PS&E is turned into DOE. Between PS&E and when the project is awarded, all DGN files of plan sheets will be locked and will not be shared, except when necessary to prepare an addendum. After contract award, any vector files that are shared electronically **MUST NOT** include the engineer's signature, seal information, or printed name.

See Appendix QQ of the Project Development Procedures Manual (PDPM) and sections 3.6 & 3.7 of the CADD Users Manual for guidance on Digital Design Models (DDM's) and other survey deliverables.

Before PS&E, all requests can be made by one PDT member to another and do not need to go through any focal point. After contract award, all requests for electronic files from the contractor shall be directed to the Resident Engineer (RE). It will be the RE's responsibility to request and provide the appropriate file from another PDT member.

For most requests, extra resources are not needed to cover the sharing of current active project files. However, occasionally a member of the PDT may ask for files from past or shelved projects to use on new projects from a functional unit that is not resourced to work on the project. Historical project files were developed specifically for a previous project and it is incumbent on the engineer who will be taking responsible charge of the current active project to verify all aspects of the accuracy of the information before incorporating any portion of that historical project file.

If there is a request for archived vector data, in DGN format, it is the PDT's responsibility to make sure the unit is resourced with enough hours in the active project to search for the archived data. The signature, seal information, printed name, and as-built stamp must be removed from the DGN files before providing them to the team. As-built plans in static format can be shared with the signature, seal information, names and as-built stamp intact.

PDT members are not to share electronic project information with anyone outside of the PDT. Requests for any information (i.e. completed work such as a project report, etc.) on a current Caltrans sponsored project from individuals who are not a part of the PDT are to be treated as a CPRA request. See DD-79: *California Public Records Act (CPRA) Compliance*.

Category 2:

This category is for bidders/contractors during the advertisement and bidding of a project. Prior to advertisement, files to be shared shall be identified in the Special Provisions under Supplemental Project Information and shall be made available at the time of advertisement and posted with the bid set. The following files must be provided for all projects with earthwork:

- The digital terrain model (a 3 dimensional model representing the original ground before job site activities start) in 3D DGN or LandXML format;
- Roadway design alignments and profiles in LandXML format;
- Cross-sections in a 2D DGN and PDF file format; and
- The digital design model (a 3 dimensional model consisting of roadway design alignments, profiles, and cross sections representing the finished grade) in LandXML format.

Other electronic files that may be made available to facilitate use of automated machine guidance include finished grade break lines in a 3D DGN format.

NOTE: It will be the bidder's responsibility to do any other data conversions and Caltrans will not be held responsible for any errors created by the bidder's conversion process.

Any files that are shared electronically as a .DGN file **MUST NOT** include any engineer's signature, seal information, nor printed names. All DGN files must also contain the text "For Design Study Only."

If a bidder does request any electronic files not originally posted, the request is to be submitted as a bidder inquiry so that any files released after being deemed appropriate for bidding can be provided to all bidders.

Category 3:

In the case of locally sponsored projects on the SHS, Caltrans wants to increase partnering and cooperation to help in the efficient delivery of projects.

This category applies to electronic file requests from an implementing agency for a project on the SHS. It does not apply to consultants working for the implementing agency. Consultants working for the implementing agency should not make electronic file requests except through the implementing agency. All electronic file requests from the implementing agency shall be directed to the Caltrans Project Manager (PM). Requests for any information received directly from a consultant working for an implementing agency is to be treated as a CPRA request. See DD-79: *California Public Records Act (CPRA) Compliance*.

Static file format is the standard format for requested electronic files. Vector files however, should be shared when the PM and the PDT team agree that the requested vector files would be beneficial to the implementing agency in the delivery of their project.

Vector files that are shared electronically as a .DGN file **MUST NOT** include the engineer's signature, seal information, nor printed names. Full disclosure shall be provided regarding the source of the information or its degree of confidence, if known (e.g. data was field verified, surveyed in a certain year, etc.).

The PM shall request that the implementing agency designate a project specific representative who is authorized to sign a Confidentiality and Hold Harmless Agreement for the Sharing of Electronic Files. If a cooperative agreement has been signed which already includes indemnification clauses, this requirement can be waived. The PM shall ensure that copies of all confidentiality and hold harmless agreements are maintained in the project history folder.

The PM shall also require that the implementing agency provide Caltrans with the as-built plans and any applicable archived vector files (e.g. basemaps, DTM's, sheet files, etc.) at the completion of the project.

It is the PM's responsibility to contact the appropriate author of the files being requested and obtain permission to provide these electronic files.

Once the appropriate files are released to the implementing agency, the agency may share them with only those individuals that have a contract/agreement to deliver their project. The electronic files provided are to be used only for the specific project for which the request was initiated.

With the exception of data files (such as a CAiCE project file or an XML file, etc.), each electronic file should have the following note:

“By accepting this file, the recipient expressly agrees to treat this document as confidential. All of the information provided in this file shall be properly safeguarded and protected from unauthorized viewing, use, and disclosure.”

If files are transmitted via e-mail, the following note is to be included with the e-mail:

“CONFIDENTIALITY NOTICE: This communication with its contents may contain confidential and/or legally privileged information. It is solely for the use of the intended recipient(s). Unauthorized interception, review, use or disclosure is prohibited and may violate applicable laws including the Electronic Communications Privacy Act. If you are not the intended recipient, please contact the sender and destroy all copies of the communication.”

Since a project number is established to do oversight on projects, that project number should be used for any time spent finding electronic files and in the case of vector files, for removing their signature, seal information, and printed names. It is the PM’s responsibility to make sure resources are available for the time needed to locate and deliver the files.