

# **DSA** Announcement **New Record Set Policy #06-01** July 5, 2006

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On September 1, 2006 the attached Record Set Policy will become effective. From July 1 through August 31, DSA will conduct pilot testing of new procedures. Clients interested in participating in pilot testing should contact their DSA Regional Office.

This change from current policy will result in the following:

**Upon approval, plans and specifications will be retained by DSA and an electronic Record Set shall be created. The original documents will be available within five working days after they are approved by DSA. Stakeholders will be required to sign a Record Set Handling Instructions form (DSA-145; see attached) indicating how they would prefer to retrieve their original drawings and specifications.**

### **Commentary:**

This policy is implemented in accordance with the requirements of Education Code Section 17304:

17304. (a) Upon approving the plans submitted by an applicant pursuant to this article, the Department of General Services shall cause a final record set of the plans to be printed. The department may contract with one or more private entities to perform that printing at one or more of the regional area offices of the department. The costs incurred pursuant to this subdivision shall be paid by the applicant.

(b) No later than five working days after approving plans submitted by an applicant pursuant to this article, the department shall issue a final letter of approval to the applicant.

Under this new policy DSA will scan the approved drawings and specifications and issue approval letters within five days after approving plans.

**Note:** The Education Code states that no construction contract shall be executed nor money paid unless approval in writing has been obtained from DSA:

17307. No contract for the construction or alteration of any school building, made or executed by the governing board of any school district or other public board, body, or officer otherwise vested with authority to make or execute a contract, is valid, and no public money shall be paid for any work done under a contract or for any labor or materials furnished in constructing or altering any building, unless the plans, specifications, and estimates comply in every particular with the provisions of this article and the requirements prescribed by the Department of General Services and unless the approval thereof in writing has first been had and obtained from the Department of General Services.



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Please review Policy #06-01, Record Sets, which may answer some questions. Other questions that are not addressed in the policy, and the answers to those questions are presented below:

1.

**Q: Why is the Division of the State Architect (DSA) issuing this new record set policy?**

**A:** Currently, after DSA stamps the plans and specifications the architect takes these documents to a printing service or back to their office and makes a set of prints and specifications and sends these to DSA for its record set.

This record set is required so that DSA has an accurate record of the documents that were stamped and for DSA's use during construction and in review of addendums, change orders, and deferred approval items.

Sometimes DSA would receive this record set the same day or within a few days of stamping. Other times DSA would not receive the record set for several months after stamping, and at times DSA would never receive the record set.

Section 17297 of the Education Code states that "...before letting any contract for any construction or alteration of any school building, the written approval of the plans, as to the safety of design and construction, by the Department of General Services, shall be first had and obtained".

The written approval is the DSA approval letter, indicating the conditions of approval. Under current practice, the approval letter is issued when the record set of plans and specifications is received by DSA. Currently, the date of the DSA approval letter is the date that the record set is received by DSA.

Recently, the State Allocation Board has indicated that applications will not be approved for State school funding where construction contracts are signed after April 26, 2006, and have not secured written approval by the DSA prior to the contract signature date.

Faced with the possibility of losing state funding for their projects if record sets are not submitted to DSA in a timely manner, school district officials pointed out that DSA has not been conforming to the following Education Code Section.

17304. (a) Upon approving the plans submitted by an applicant pursuant to this article, the Department of General services

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shall cause a final record set of the plans to be printed. The department may contract with one or more private entities to perform that printing at one or more of the regional area offices of the department. The costs incurred pursuant to this subdivision shall be paid by the applicant.

(b) No later than five working days after approving plans submitted by an applicant pursuant to this article, the department shall issue a final letter of approval to the applicant.

According to the above, DSA is required to cause a final record set of plans to be printed (DSA Regional Offices may contract with private entities, if necessary, to do that printing) and DSA is required issue the approval letter within five working days after stamping the plans.

To respond to the school districts' concerns and to be in conformance with the law, DSA is implementing this new record set policy.

Under this new procedure DSA will scan the original drawings and specifications after stamping and return the originals to the architect. These scans will serve as DSA's record set.

Since DSA will no longer need to wait to receive a record set from the client in order to issue the approval letter. The approval letter will be issued immediately after stamping. Also, the approval letter will be dated the same day as the stamp date. This will help avoid confusion regarding the DSA approval date. In addition, it will eliminate the possibility that a school district will not receive state funding for a project because of a late record set submittal.

**2.**

**Q: Is DSA prepared to handle this scanning workload?**

**A:** DSA has been scanning the record set of plans and specifications for over four years. We have not had problems in scanning the documents. We have adequate staff and scanners dedicated to the scanning effort. DSA will scan the documents within five days or less of stamp-out.

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### **FREQUENTLY ASKED QUESTIONS**

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**3.**

**Q: What will DSA do with the check-set drawings?**

**A:** DSA will retain the check-set drawings until after the scanning of the original drawings has been completed. The check-set drawings will then be removed for recycling.

**4.**

**Q: What is Form DSA-145 “Record Set Handling Instruction”**

**A:** This form provides clarity to DSA staff and our clients regarding how the original plans and specifications are to be made available after scanning.

Form DSA-145 must be filled out before the plans are stamped.

Two options are available:

a. The client can have the documents returned via a delivery service. The client will pay for the shipping costs

**or**

b. The client can choose to pick-up the documents in person at the DSA Regional Office. The client signs the bottom of the form indicating that he/she has taken custody of the documents.

**5.**

**Q: How will DSA handle the original drawings?**

**A:** Immediately following the stamp-out of the drawings, they will be placed in line for scanning. If the plans need to be kept overnight, the original plans will be stored in a secured room or cabinet.

As soon as the documents are scanned they will be available to the individual named on Form DSA-145, “Record Set Handling Instructions,” for pick-up or delivery.

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6.

**Q: How does this new policy improve DSA’s coordination with the Office of Public School Construction (OPSC) for State funding of school construction projects?**

**A:** Since DSA will have the record set of plans the same day the plans are stamped-out, the Approval Letter will have the same date as the stamped date. Therefore, there will be no confusion regarding what constitutes DSA written approval.

7.

**Q: What is the Approval Letter?**

**A:** Section 17307, California Education Code states that the school district cannot award a contract for school construction before the Department of General Services has approved the plans and specifications in writing. The Approval Letter provided to school districts by DSA, a division of the Department of General Services, is the written approval required by the statutes.

8.

**Q: What is meant by the term “stamped” or “stamped out”?**

**A:** Historically, DSA placed an “identification stamp” on each drawing, and the signature sheet of the specification manual, to indicate that plans and specifications had been reviewed and found to comply with Code requirements. Today, an image of the DSA identification stamp is generally included on the drawings prepared by the designer prior to submission to DSA. After DSA checks the plans and specifications, the plan reviewer adds his or her initials and date to the identification stamp. Documents that have been initialed and dated by the DSA plan reviewer are “approved” and are often still referred to as “stamped out.”

9.

**Q: When will I receive the Approval Letter?**

**A:** The Approval Letter will be mailed to the School District and a copy sent to the design professional in general responsible charge of the project after stamp-out. The approval letter will be dated the same as the stamp-out date. As we make further improvements we hope to have the letter sent electronically.



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#### FREQUENTLY ASKED QUESTIONS

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10.

**Q: Can DSA burn a CD of the DSA record set of stamped drawings and specifications and make it available?**

**A:** DSA will burn a CD of the DSA record set of stamped drawings and specifications if requested by the school district or authorized representative.

11.

**Q: What happens in the unlikely event the stamped documents are lost or damaged when in DSA's custody?**

**A:** DSA will evaluate all situations on a case-by-case basis. However, DSA does not foresee serious problems. If stamped documents are damaged or lost after the Record Set is made, the Record Set can be used to replace the lost or damaged documents. If stamped documents are lost or damaged prior to creation of the Record Set, the only information potentially lost would be the handwritten changes made during the final back check.

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**Q: What is the procedure if I want to take the hand-marked corrected original drawings back to my office to make changes to the CAD files?**

**A:** The drawings will not be stamped if the documents are not left with DSA for scanning. If the un-stamped hand-marked original drawings are removed, the new CAD prints will be compared to the hand-marked original drawings as a final review to verify the changes were incorporated correctly into the new CAD files. The drawings will then be stamped and placed in line for scanning.

**If you have additional questions or comments regarding this policy, please contact the local DSA Regional Office.**

**RECORD SETS**

**Policy 06-01**

Reference: California Education Code Sections 17297 and 17304.  
California Building Code (Title 24, Part 1) Section 4-318, CCR

Revised 06-27-06  
Issued 06-12-06

Discipline: All

A policy is based on law and code objectives, addressing any aspect of DSA’s plan & construction review program that is not clearly addressed by statute or regulations. Policy may specify administrative or technical requirements that are not currently addressed within Title 24, but are deemed necessary to fulfill DSA program objectives. DSA Policies are reviewed on a regular basis and subject to revision at any time.

**Purpose:**The purpose of this policy is to implement the statutory requirements of Section 17304 of the California Education Code and provide guidance pending revision of the regulations in Section 4-318 of Title 24, Part 1. The Education Code requires the creation of a copy (known as the Record Set) of the final approved set of plans and specifications, by the Department of General Services, at client expense.

**Background:** In the past, DSA allowed the client to take the original approved plans and specifications and return a copy to DSA to serve as the official Record Set. This procedure created several problems which the new policy will address:

- Sometimes the Record Set would not be returned to DSA in a timely manner, resulting in delays to the project approval and additional work for DSA.
- Sometimes the Record Set would not match the original approved documents.

Another problem often encountered is that plans and specifications are obtained by contractors and others before the approval letter is issued by DSA. Per State law (Education Code Sections 17297 and 17307) no contract for the construction of any school building is valid and no public money shall be paid for work done under such contract until the approval letter has been issued by DSA.

**1. POLICY (Effective September 1, 2006):**

**1.1 Documents Retained by DSA** - After the plans and specifications have been approved by DSA they will be retained by the DSA Regional Office and an official Record Set made.

**1.2 Return of Documents** – Not later than five working days after the original documents are initialed and dated by DSA they will be made available for return to the client.

A Record Set Handling Instructions form (DSA-145) must be submitted to DSA at the time of the back check to instruct DSA staff on the method requested for returning the documents.

The documents may be picked up by the architect or engineer in general responsible charge or a representative.

Alternatively, the architect or engineer may provide an account number for one of the delivery services listed on the DSA-145 form for return of the drawings at client expense. DSA will package and label the documents and notify the service that they are ready for pick up.

**1.3 Approval Letter** – Not later than five working days after the documents have been approved, DSA shall issue the approval letter.

**1.4 Expense** – DSA is not currently charging for the creation of the Record Set, but reserves the right to do so in the future.



**RECORD SET HANDLING INSTRUCTIONS**

Revised 5/07

**For DSA use only**

File No. \_\_\_\_\_

(Read only)

Application #  \_\_\_\_\_

Project Name. \_\_\_\_\_

(Read only)

Please return the original plans and specifications as instructed below: (Client must check appropriate box below)

DSA stamped plans and specifications	
Check all that applies:	<input type="checkbox"/> Plans <input type="checkbox"/> Specs
Total number of drawings	_____
Stamped date	_____
Submittal	_____ Date
<input type="checkbox"/> Record Set	_____
Call for pick-up	_____ Increment _____ Description (eg. CO#, Add#)

I will have my representative pick-up the original documents.

Call me \_\_\_\_\_ at ( ) \_\_\_\_\_ for pick-up

Please package and ship original documents via the delivery service indicated: \_\_\_\_\_

My account number: \_\_\_\_\_

Method of Delivery: \_\_\_\_\_

(e.g.: ground, next day, etc.)

Insurance Requested?  Yes  No

Declared Value: \_\_\_\_\_

(Enter -0- if no insurance is requested)

I understand the risks inherent in shipping documents using the delivery method indicated above and agree to hold the State harmless for any loss or damage to the original plans and specifications that may be incurred. I agree to pay the shipping cost.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Email: \_\_\_\_\_

(PRINT NAME)

**Ship to** Attention: \_\_\_\_\_

Company: \_\_\_\_\_

Street: \_\_\_\_\_

City: \_\_\_\_\_

State: CA

Zip code : \_\_\_\_\_

Phone #: ( ) \_\_\_\_\_

**Pick-up Verification:**

I picked-up the original documents for the referenced project

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Company: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_