

POLICY: RECORD SETS OF DSA-APPROVED PLANS AND SPECIFICATIONS

DISCIPLINE(S): All

PURPOSE: This policy specifies the statutory and regulatory requirements of the Division of the State Architect (DSA) relating to the creation, retention and distribution of DSA-approved copies of plans and specifications (referred to as the “final record set”) for construction of projects under the jurisdiction of DSA.

BACKGROUND: The California Education Code (CEC) Section 17304 triggers the Department of General Services to create a final approved record set of plans and specifications to be paid for by the client. This requirement is incorporated into regulations in the California Code of Regulations, Title 24, Part 1 (California Administrative Code), Section 4-318.

1. POLICY (Effective January 1, 2017):

1.1. Documents Retained by DSA – After the plans and specifications have been approved, a copy of the DSA-approved final record set will be made available to the client.

1.1.1. DSA prefers and encourages clients to submit electronic copies (PDF versions only) of construction design documents for approval and retention within the DSAbbox environment. The DSA-approved final record set will continue to reside in the Project Folder in the Project Track of DSAbbox, within the respective DSA Regional Office upon approval. All project collaborators will continue to have access to these documents as described in Section 1.3.1 as allowed by their project-specific DSAbbox permission levels verified on the form [DSA 95](#) (Intake Project Review Box Request) and subsequent form [DSA 102-IC](#) (Construction Start Notice/Inspection Card Request). DSA staff shall also upload electronic copies of the final record set into filenet via Navigator.

1.1.2. When construction design documents are submitted to DSA for review in paper format, DSA will return the original paper version of the final record set to the client, as described in Section 1.3. DSA shall only retain an electronic copy of all record sets for DSA retention/archival purposes, and these electronic copies shall be created in PDF format, provided by the reprographics firm selected by the client. This electronic version of the final record set shall be uploaded by DSA staff into the applicable folder within DSAbbox, and into filenet via Navigator.

1.2. Expense – Upon plan approval, DSA will release the final record set to the reprographics firm selected by the client for reproduction, as applicable. It is expected that this service will only be required in situations where the client has submitted paper copies of the record set for review by DSA. The expenses for this service will be paid for by the client.

1.3. Return of Documents – Not later than five working days after the record set is approved by DSA, a copy of the final record set will be made available for return to the client. Similar to the retention process for the final record set, the method for return of the final record set to the client is dependent on the format these documents were submitted to DSA for review (either electronic or paper).

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- 1.3.1.** When clients submit electronic copies of the record set which are subsequently approved by DSA, this electronic final record set exists in PDF format and resides in the applicable DSAbbox folder at the respective DSA regional office. Project collaborators may, at their convenience, view and/or download electronic copies of the final record set immediately upon approval and upload of the documents to their applicable folder in DSAbbox by DSA staff.
- 1.3.2.** In the event that clients choose to submit paper versions of the record set which are subsequently approved by DSA, the original paper version of the final record set will be made available to the architect or registered engineer in general responsible charge as requested in their completed form [DSA 145](#) (Paper Record Set Handling), upon receipt from the reprographics firm.
- 1.4. Approval Letter** – Not later than five working days after the record set has been approved, DSA shall issue the “Approval of Plan(s)” letter in accordance with CEC Section 17297 and CAC Section 4-318(b).

REFERENCES:

California Administrative Code (CAC) Section 4-318
California Education Code Sections 17297, 17304

A DSA Policy is a formally established set of governing statements based on law and code objectives, addressing any aspect of DSA's plan and construction review program that is not clearly addressed by code. A Policy also may specify administrative or technical requirements that are not yet addressed within Title 24, but are deemed important and necessary to fulfill code objectives in advance of adoption into the Code.