

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION**

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

RAIL DIVISION

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

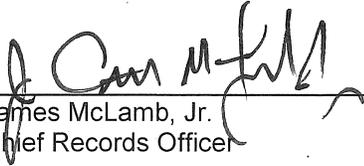
The Department of Transportation and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*reference value ends.*" The Department of Transportation hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Natural and Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the Department of Transportation will be responsible for cost of microfilm production.

The Department of Transportation and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The Department of Transportation agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records and to make electronic records accessible for the period of time prescribed in this schedule. Where the method of recording information changes (for example, to an electronic system), the retention periods governing the records listed herein still apply, provided the records document the same agency function.

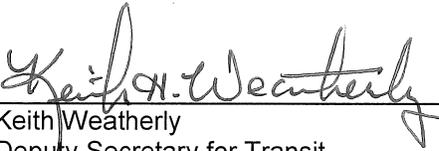
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.

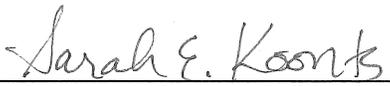
The Department of Transportation agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

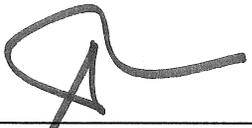

James McLamb, Jr.
Chief Records Officer

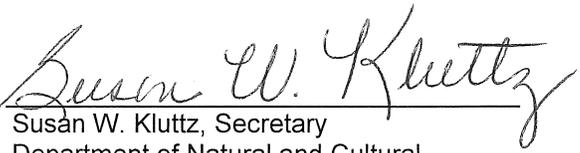

Paul Worley, Director
Rail Division


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APPROVED


Nicholas Tennyson, Secretary
Department of Transportation


Susan W. Kluttz, Secretary
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Resources

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION
BUSINESS OFFICE**

ITEM 50684. PREQUALIFICATION APPLICATIONS FILE

Records concerning applications by firms wanting to prequalify to perform engineering design for NCDOT. File includes firm contact information, codes, employee names, resumes, and project history.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50685. PRIVATE ENGINEERING FIRM EVALUATION FILE

Records concerning the expertise, professionalism, communications, accuracy, and quality of work, ability to meet schedules, responsiveness, and amount of assistance coordination required for private engineering firms. File includes evaluation forms.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50686. PROJECT CORRESPONDENCE FILE

Records in paper and electronic formats concerning correspondence between NCDOT and a railroad related to projects.

DISPOSITION INSTRUCTIONS: Destroy paper records after project is complete. Retain electronic records in office permanently.

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION
DESIGN AND CONSTRUCTION**

ITEM 50687. AMERICAN REINVESTMENT AND RECOVERY ACT (ARRA) PROGRAM DOCUMENTATION FILE

Records concerning ARRA grant program administration. File includes grant requirements, project tracking, disbursements, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 20 years after completion of program.

ITEM 50688. AS-BUILT/POST-CONSTRUCTION DRAWINGS FILE

Records in paper and electronic formats concerning final drawings prepared by the contract administrator illustrating as-constructed modifications to original construction plans.

DISPOSITION INSTRUCTIONS: Destroy paper records after project is complete. Retain electronic records in office permanently.

ITEM 50689. CLOSE-OUT DOCUMENTATION FILE

Records in paper and electronic formats concerning projects provided to the Design and Construction Unit from outside parties. File includes correspondence and review documentation.

DISPOSITION INSTRUCTIONS: Destroy paper records after project is complete. Retain electronic records in office permanently.

ITEM 50690. CONSTRUCTION PROJECT DOCUMENTATION FILE

Records in paper and electronic formats concerning Rail Division projects. File includes correspondence, submittals, RFIs and responses, photographs, and reports that document the progress of the project.

DISPOSITION INSTRUCTIONS: Destroy paper records after project is complete. Retain electronic records in office permanently.

ITEM 50691. FINAL CONSTRUCTION PLANS AND CONSTRUCTION REVISIONS FILE

Records in paper and electronic formats concerning Rail Division construction projects. File includes final sealed plans and specifications issued for construction including any construction revisions.

DISPOSITION INSTRUCTIONS: Transfer paper records for Central Let projects to the Contract Standards and Development Unit. Destroy remaining paper records after project is complete. Retain electronic records in office permanently.

ITEM 50692. PROJECT DOCUMENTATION FILE

Records in paper and electronic formats concerning Rail Division projects. File includes correspondence, calculations, preliminary plans and review documentation, project agreements and computer-aided design and drafting (CADD) files.

DISPOSITION INSTRUCTIONS: Destroy paper records after project is complete. Retain electronic records in office permanently.

ITEM 50693. TRANSPORTATION IMPROVEMENT PROGRAM (TIP)/MISCELLANEOUS PROJECT REVIEW DOCUMENTATION FILE

Records in paper and electronic formats concerning projects provided to the Design and Construction Unit from outside parties. File includes correspondence and review documentation.

DISPOSITION INSTRUCTIONS: Destroy paper records after project is complete. Retain electronic records in office permanently.

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION
ENGINEERING COORDINATION AND SAFETY**

ITEM 25538. ACTIVE RAIL CROSSING SIGNAL OR CLOSURE PROJECT FILE (STATE AND FEDERAL PROJECTS) FILE

Correspondence and reports in paper and electronic formats detailing railroad grade crossing proposals, review of plans, site inspection, agreements, and payments to railroad companies for installation of warning signals and other protection devices, and continued maintenance of railroad crossings as required by the Department of Transportation in accordance with G.S. § 136-20. File also includes material lists, aerial photographs, construction inspection checklist, plan sheets, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic version when reference value ends. Transfer records to Completed Rail Crossing Signal or Closure Project File (State and Federal Projects) File (Item 25539) upon final payment to the railroad company.

ITEM 25539. COMPLETED RAIL CROSSING SIGNAL OR CLOSURE PROJECT FILE (STATE AND FEDERAL PROJECTS) FILE

Correspondence and reports detailing railroad grade crossing proposals, review of plans, site inspection, agreements and payments to railroad companies for installation of warning signals and other protection devices, and maintenance of railroad crossings as required by the Department of Transportation in accordance with G.S. § 136-20. File also includes material lists, aerial photographs, construction inspection checklist, plan sheets, and other related records.

DISPOSITION INSTRUCTIONS: Destroy paper records in office after 7 years if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy records currently stored in the State Records Center as of 5/12/16 15 years from date received. Retain electronic records in office permanently.

ITEM 50694. CORRIDOR STUDIES FILE

Records in paper and electronic formats concerning active and completed corridor studies. File includes term sheets, agreements, resolutions, public involvement materials, correspondence, plans, and reports. File also includes funding requests, scopes, invoices, letters, estimates, and other related records.

DISPOSITION INSTRUCTIONS: Destroy paper records at project completion. Retain electronic records in office permanently.

ITEM 50695. CROSSING INVENTORY FILE

Electronic records concerning railroad crossing inventories. File includes data fields consisting of crossing safety projects, crossing crashes, and crossing inventories.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 25540. CROSSING SAFETY INVESTIGATION FILE

Records in paper and electronic formats concerning non-project related material for railroad crossings in the state. File includes inquiries, correspondence, crash reports, preliminary cost estimates, conceptual sketches, and other records evaluating cost-benefit of highway railroad at-grade crossing protective warning devices and proposed improvements.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic records when reference value ends. Destroy in office paper records 3 years after superseded or obsolete.

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION
ENGINEERING COORDINATION AND SAFETY**

ITEM 37799. DROPPED PROJECTS FILE

Records in paper and electronic formats concerning highway-railroad at-grade crossing projects that were canceled prior to completion. File includes municipal agreements, preliminary NCDOT-prepared planimetrics, preliminary railroad company-prepared plans and estimates, site sketches, field notes, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 12790. FEDERAL RAILROAD ADMINISTRATION (FRA) GENERAL FILE

Electronic records concerning the FRA. File includes correspondence, budget information, and federal funding records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50696. FEDERAL RAILROAD ADMINISTRATION (FRA) SUBMITTALS FILE

Electronic reports submitted to the FRA.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50697. GEOGRAPHIC INFORMATION SYSTEM (GIS) FILE

Electronic records concerning railroad crossing and tracks. File includes geospatially referenced data in vector and raster formats. File also includes records related to historically located railroad crossings and tracks.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50698. HIGHWAY-RAILROAD AT-GRADE CROSSING IMPROVEMENT PROJECTS FILE

Records in paper and electronic formats concerning highway-rail at-grade crossing improvements installed as part of the Transportation Improvement Program (TIP), High Risk Rural Roads program (HRRR), Highway Safety Improvement Program (HSIP), American Reinvestment and Recovery Act (ARRA), or other similar funding program. File includes correspondence, project scheduling, planning board reports, site photographs, NCDOT-prepared planimetrics, railroad company prepared plans and estimates, authorizations for project engineer (PE) and construction, progressive and final invoices, payment records, construction inspection reports, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Transfer paper records to the State Records Center 3 years after close of project. Records will be held for agency in the State Records Center 10 additional years and then destroyed. Destroy electronic records in office 3 years after close of project.

ITEM 50699. HIGHWAY SAFETY IMPROVEMENT PROGRAM (HSIP) FILE

Records concerning HSIP projects. File includes encroachment agreements and invoices from completed projects.

DISPOSITION INSTRUCTIONS: Transfer paper records to Facilities and Operations, Encroachment Agreements File (Item 50708) when agreement is complete. Retain electronic records in office permanently.

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION
ENGINEERING COORDINATION AND SAFETY**

ITEM 50700. INSPECTION REPORTS FILE

Electronic records concerning active and completed safety inspection reports. File includes term sheets, agreements, resolutions, public involvement materials, correspondence, plans, and reports. File also includes funding requests, scopes, invoices, letters, estimates, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office inactive reports when reference value ends.

ITEM 50701. INVENTORY DAMAGES FILE

Records concerning damages to NCDOT crossing equipment. File includes Amtrak X-15 forms, Event recorder downloads, estimates and other related records regarding trespasser incidents.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50702. PHOTOGRAPHS FILE

Records concerning public rail crossings. File includes digital images of crossing ID placard, each roadway and track approach to the crossing, and crossing surface.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50703. RAIL CROSSING SAFETY: NCDOT-PREPARED PLANIMETRIC AND RAILROAD-PREPARED PLANS FILE

Records in paper and electronic formats concerning planimetric and highway-rail at-grade crossing improvement designs. File includes designs submitted by municipalities, private engineering firms, and railroad companies.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after superseded or obsolete.

ITEM 38222. RAILROAD CRASH FILE

Records in paper and electronic formats concerning crashes involving trains that occurred in North Carolina since 1985. File includes locations of crashes, names of counties and municipalities, number of injured, and other related data.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 25510. RAILROAD INVENTORY FILE

Electronic records concerning United States Department of Transportation - American Association of Railroads (USDOT-AAR) Crossing Inventory forms. (File is used by the Highway Safety Planning and Analysis Section to secure railroad crossing data.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 38404. RAILROAD PROGRAM DEVELOPMENT FILE

Electronic records concerning Transportation Improvement Program (TIP) development materials including Railway-Highway Grade Crossing signal worksheets, investigative index listings, and priority ranking.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**DEPARTMENT OF TRANSPORTATION
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ENGINEERING COORDINATION AND SAFETY**

ITEM 25543. SIGNAL MAINTENANCE COST FILE

Records in paper and electronic formats concerning reimbursement made to all railroad companies for the cost of maintaining highway-rail at-grade crossing safety warning devices for crossings forming a part of the State Highway System in accordance with G.S. § 136-20. File includes payment schedules, railroad company invoices, fiscal correspondence, railroad certification of signal maintenance, and other related records.

DISPOSITION INSTRUCTIONS: Destroy paper records in office after 20 years. Destroy electronic records in office when reference value ends.

ITEM 25544. SIGNAL MAINTENANCE INSPECTIONS FILE

Electronic records concerning record of activity conducted at the conclusion of each safety inspection. File includes safety inspection reports.

DISPOSITION INSTRUCTIONS: Destroy in office inactive reports when reference value ends.

ITEM 50704. TRAFFIC SEPARATION STUDIES FILE

Records in paper and electronic formats concerning active and completed traffic separation studies. File includes term sheets, agreements, resolutions, public involvement materials, correspondence, plans, and reports. File also includes funding requests, scopes, invoices, letters, estimates, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years.

ITEM 50705. TRESPASSER INCIDENT FILE

Electronic records concerning trespasser incidents on railroad crossings as reported by the Federal Railroad Administration (FRA), media, or other sources. File includes data regarding derailments, stuck vehicles, hazardous materials releases, and other on-track events that cause delays to rail operations.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

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The following 2 items will be discontinued.**

**DEPARTMENT OF TRANSPORTATION
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RAIL DIVISION
ENGINEERING COORDINATION AND SAFETY**

ITEM 38223. RAILROAD CRASH (PRINTOUTS) FILE

Computer generated printouts produced from Railroad Crash Database (Electronic) File (Item 38222). Printouts list location of crashes, names of counties and municipalities, number of injured, and other related data.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Railroad Crash File (Item 38222).

ITEM 25542. RAILROAD CROSSING AERIAL PHOTOGRAPHS FILE

Mylar prints of aerial photographs of railroad crossing used in safety program project development.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION
FACILITIES AND OPERATIONS**

ITEM 50706. CROSSING AND TRESPASSERS FILE

Records concerning damage estimates to NCDOT crossing equipment. File includes Amtrak X-15 forms, Event recorder downloads, and other related records regarding trespasser incidents.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50707. DRAWINGS FILE

Records in paper and electronic formats concerning outside entities who wish to encroach upon Rail Division corridors and properties. File includes active and completed drawings files.

DISPOSITION INSTRUCTIONS: Destroy paper records in office after project is complete. Destroy electronic records in office when superseded or obsolete.

ITEM 50708. ENCROACHMENT AGREEMENTS FILE

Records concerning active and completed agreements granted to utilities, municipalities, businesses, and private citizens to encroach upon the rail corridor. File includes written permissions. File also includes agreements where the encroachment is no longer in place.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 50709. MAPS FILE

Records in paper and electronic formats concerning state-owned railroad corridors. File includes railroad valuation maps.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50710. MISCELLANEOUS FILE

Records in paper and electronic formats concerning Rail Division properties under the responsibility of the Corridor and Property Unit manager. File includes active and completed contracts and maintenance records.

DISPOSITION INSTRUCTIONS: Scan in office paper records after project is complete. Destroy in office after 10 days paper copies of scanned records. Retain electronic records in office permanently.

ITEM 16509. RAILROAD AGREEMENTS FILE

Records concerning agreements with railroad companies concerning highway construction affecting railroad lines. Information includes or concerns at-grade crossings or parallel encroachments, installation of drainage facilities, and spur line agreements. File also includes maps or drawings detailing construction plans that are attached to agreements.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 50711. STORMWATER POLLUTION PREVENTION PLAN (SPPP) AND SPILL PREVENTION, CONTROL AND COUNTERMEASURE (SPCC) PLAN FILE

Records in paper and electronic formats concerning stormwater pollution prevention and spill prevention control and countermeasure. File includes storm water discharge, observations, best management practices, program certifications, training attendance, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION
PLANNING AND DEVELOPMENT**

ITEM 50712. PERMANENT PROJECTS FILE

Records concerning the management of programs and statewide rail planning processes. File includes ridership and revenue project documentation, Federal Railroad Administration (FRA)-NCDOT Rail Freight Assistance, appraisals, title opinions, corridor studies, railroad information, historical maps, abandonment records, and other related records. (See Engineering Coordination and Safety, Corridor Studies [Item 50694] for temporary project records.)

DISPOSITION INSTRUCTIONS: Scan in office paper records. Destroy in office after 10 days paper copies of scanned records. Retain in office electronic and remaining paper records permanently.

**DEPARTMENT OF TRANSPORTATION
DEPUTY SECRETARY FOR TRANSIT
RAIL DIVISION
OPERATIONS AND FACILITIES BRANCH**

ITEM 50272. ATLANTIC COAST LINE (ACL) #501 LOCOMOTIVE ENGINE BLUEPRINTS FILE

Records concerning additions to the state maintained system with date, federal number, location, description, type symbol, width, length, and project number of each road built or replaced. File includes county maintenance maps dated from 1945 to 1959 with attached annual summary of work performed entitled "Project Record of Road Construction."

DISPOSITION INSTRUCTIONS: Item discontinued. All records transferred.