

DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT

Records Retention and Disposition Schedule

The 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

CONSTRUCTION UNIT

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 N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. 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. **Public records including machine readable records not listed in this schedule are not authorized to be destroyed.** The

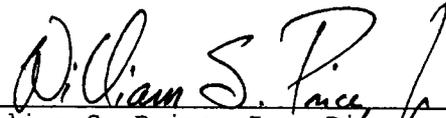
CONSTRUCTION UNIT

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 This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

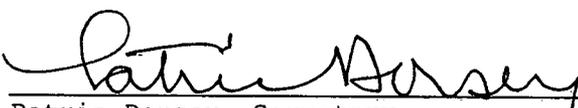
  
Jeannie L. Kearns  
Chief Records Officer  
Department of Transportation

  
Len Sanderson, Head of Construction  
Construction Unit

  
William S. Price, Jr., Director  
Division of Archives and History

APPROVED

  
James E. Harrington, Secretary  
Department of Transportation

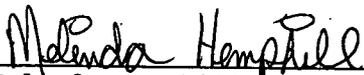
  
Patric Dorsey, Secretary  
Department of Cultural Resources

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT  
FINAL ESTIMATE SECTION

Amend the records retention and disposition schedule approved August 14, 1989 by changing the title and description for Item 3119 as shown on substitute page dated May 18, 1994.

APPROVAL RECOMMENDED

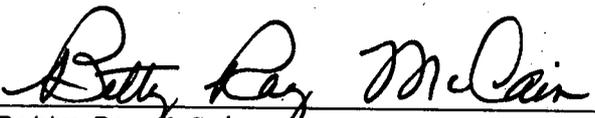
  
\_\_\_\_\_  
Melinda Hemphill, Chief Records Officer  
Department of Transportation

  
\_\_\_\_\_  
Len Sanderson, Head  
Construction Unit

  
\_\_\_\_\_  
William S. Price, Jr., Director  
Division of Archives and History

APPROVED

  
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Sam Hunt, Secretary  
Department of Transportation

  
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Betty Ray McCain, Secretary  
Department of Cultural Resources

May 18, 1994

MCC

DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT

Records Retention and Disposition Schedule

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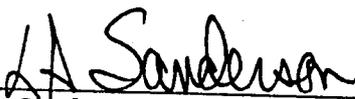
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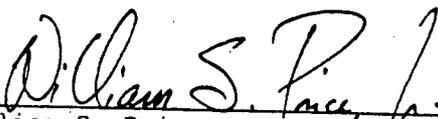
CONSTRUCTION UNIT

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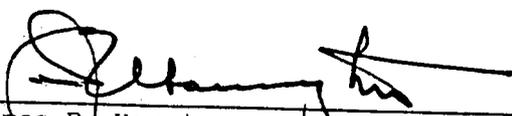
APPROVAL RECOMMENDED

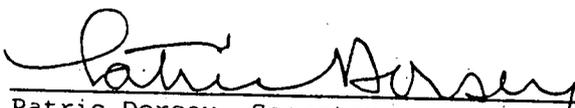
  
Jeannie L. Kearns  
Chief Records Officer  
Department of Transportation

  
Len Sanderson, Head of Construction  
Construction Unit

  
William S. Price, Jr., Director  
Division of Archives and History

APPROVED

  
James E. Harrington, Secretary  
Department of Transportation

  
Patric Dorsey, Secretary  
Department of Cultural Resources

August 14, 1989

This schedule was modified to  
comply with the provisions of the  
*General Schedule for State Agency Records*,  
effective October 1, 2000  
Remaining items retain the  
original date shown below.

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**DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT  
CONSTRUCTION OPERATIONS ENGINEER**

**ITEM 16216. HIGHWAY LETTINGS REFERENCE FILE.**

Computer printout listing entitled "Highway Letting Lists," which details lowest bidders on government contracts. (File is used to monitor the status of projects and for reference to second and third lowest bidders in cases where lowest bidder is unable to fulfill the contract.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 16713. CONSTRUCTION PROGRESS CHARTS (FEDERAL AND STATE PROJECTS) FILE.**

Progress schedules prepared by the contractor. File provides details of construction progress and percentage of project completed and is used to monitor construction progress in regard to specified contract working days agreements.

DISPOSITION INSTRUCTIONS: Transfer to the Highway Records Section with Final Estimate Assembly upon final estimate payment to the contractor to be incorporated into the Office Projects File.

**ITEM 16714. CONSTRUCTION PROJECT CONTRACTS (FEDERAL AND STATE PROJECTS) FILE.**

Proposal contracts and contract bonds for active roadway and structure projects with all related correspondence concerning the award of contracts and supplemental agreements regarding changes in contracts. (File is used to monitor contract construction procedures and progress.)

DISPOSITION INSTRUCTIONS: Transfer to Final Estimate Section upon receipt of the Final Estimate Assembly from the resident engineer.

**ITEM 16716. CONTRACTOR'S MONTHLY ESTIMATES (FEDERAL AND STATE PROJECTS) FILE.**

Monthly estimates for monthly payment, which are reviewed by the Construction Unit, and then forwarded to and returned from Fiscal Section upon payment to the contractor. File includes monthly estimate and all related correspondence and reports.

DISPOSITION INSTRUCTIONS: Transfer daily to Highway Records Section during the entire state of a construction project to be incorporated into the Official Projects File.

**ITEM 16717. LABOR VIOLATIONS (FEDERAL-AID PROJECTS) FILE.**

Project-related correspondence and reports supporting wage violations reported to the Federal Highway Administration. File includes contractor's monthly payroll or contractor's own payroll form, statement of compliance, wage violation memorandums submitted by company to resident engineer, and all related correspondence and reports. (File is used to review contractor's payrolls.)

DISPOSITION INSTRUCTIONS: Transfer to Final Estimate Section after final estimate is processed to be incorporated into the Final Estimate package.

**ITEM 16718. MONTHLY STATUS REPORTS REFERENCE FILE.**

Periodic reports concerning the progress and status of various stages of project activity. File details description of each project, project funding data, general project data such as required project functions and dates accomplished, and project schedules. File includes project status report, report on contracts awarded-force account construction authorized, report on location and type of projects under construction, report on construction progress and location of structures and roadway, status of contracts under construction, and construction summary sheets.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

**DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT  
CONSTRUCTION OPERATIONS ENGINEER**

**ITEM 16992. NOTICES TO CONTRACTORS REFERENCE FILE.**

Ledger sheets listing by project contractors for which sealed bids have been accepted. (File is sent to contractors prior to letting date and is used as cross-reference to relate assigned work order numbers to original project numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 16993. PROJECT CORRESPONDENCE (FEDERAL AND STATE PROJECTS) FILE.**

Project-related correspondence and reports prepared by other highway units. (File is used to monitor the progress and status of various phases of construction project work and to coordinate project-related activities with other highway unit heads and division engineers.)

DISPOSITION INSTRUCTIONS: Transfer to Final Estimate Section upon completion of the project.

**DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT  
FINAL ESTIMATE SECTION**

**ITEM 3118. LOAD TICKETS (STATE PROJECTS) FILE.**

Receipts for materials (stone, asphalt, etc.) delivered to a project site. (Resident engineers retain original copies of load tickets as supporting documents for the final estimate.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency in the State Records Center 1 additional year and then destroyed.

**ITEM 3119. LOAD TICKETS (FEDERAL-AID PROJECTS) FILE.**

Receipts for materials (stone, asphalt, etc.) delivered to a project site. (The original copies are maintained by the resident engineers as supporting documents for the final estimate.) Amended 5-18-94

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency in the State Records Center for 3 years after notification by the Highway Records Section of final voucher payment by the Federal Highway Administration and then destroyed.

**ITEM 3120. FIELD BOOKS (STATE PROJECTS) FILE.**

Resident engineer's diaries, pay record books, and engineering field data books detailing the construction of each state-funded roadway and minor structure project. File includes field books on topography, level notes, original cross sections, final cross sections, pipe books, drainage notes, and all related field data concerning right-of-way markers, prime coats, property lines, rock soundings, traverse topography, stake outs, pile driving, utilities, and other subjects.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 3121. FIELD BOOKS (FEDERAL-AID PROJECTS) FILE.**

Resident engineer's diaries, pay record books, and engineering field data books detailing the construction of each state-funded roadway and minor structure project. File includes field books on topography, level notes, original cross sections, final cross sections, pipe books, drainage notes, and all related field data concerning right-of-way markers, prime coats, property lines, rock soundings, traverse topography, stake outs, pile driving, utilities and other subjects.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency in the State Records Center 5 additional years or after notification by Highway Records Section that final voucher payment has been made by the Federal Highway Administration, and then destroyed.

**ITEM 13997. AS-BUILT PLANS (FEDERAL AND STATE PROJECTS) FILE.**

Original as-built plans. Plans include summaries of quantities used in the construction project and document construction designs, changes, and specifications.

DISPOSITION INSTRUCTIONS: Transfer As-Built Plans to the Reproduction Section for filming after final estimate payment to the contractor. After verification of microfilmed plans, transfer originals to the division except for structure plans which are to be transmitted to the Bridge Maintenance Unit. (Each division will receive a copy of its sets of plans to be incorporated into the division Project Reference File.)

**DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT  
FINAL ESTIMATE SECTION**

**ITEM 14029. CONSTRUCTION UNIT CORRESPONDENCE FILE.**

Correspondence concerning projects involved with the Final Estimate Section. File includes record copies of the Final Estimate Assembly submitted by the resident engineer through the division engineer; reference copies of proposal contract bonds for completed federal and state roadway and structure projects; and record copies of all project correspondence concerning lettings, construction, and progress of federal and state projects.

DISPOSITION INSTRUCTIONS: Transfer to the Fiscal Section Final Estimate Assemblies for payment. Transfer to the Highway Records Section upon final estimate payment to the contractor to be incorporated into Active Projects Federal and State File.

**ITEM 14030. CORRESPONDENCE FILE.**

Correspondence and related information concerning construction matters and special problems encountered on projects. File includes construction audit reviews, resident engineer's office reviews, and survey instrument correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT  
PAVEMENT SECTION**

**ITEM 14013. ASPHALT CONSTRUCTION AND INSPECTION REPORTS FILE.**

Reports concerning the certification of concrete and asphalt plants utilized for production of pavement mixtures on Department of Transportation contracts, certification of field laboratories furnished by contractor on construction projects, the testing and sampling of asphalt mixtures, and asphalt cement price adjustment data. File includes certifications of concrete and asphalt plants, asphalt cement price adjustment notifications, and all related correspondence and reports.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 14018. MIX DESIGN REPORTS FILE.**

Reports concerning tests performed by the Materials and Test Laboratories on bituminous and concrete mixtures to be used on construction projects. File includes Report on Stability Test on bituminous mixture and is used for reference to design, issue, and revise job mix formulas and concrete mix designs.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 14028. PROJECT CORRESPONDENCE (FEDERAL AND STATE PROJECTS) FILE.**

Project-related correspondence and reports concerning contract pavement construction work. File includes asphalt cement reports, scale inspections, preconstruction conference minutes, test reports for aggregate and bituminous mixtures, concrete mixtures, contract proposal, daily reports of bituminous plant roadway inspectors and marshall test reports, and other related correspondence and reports. (File is utilized by the pavement construction engineer and staff to review inspections performed by project pavement inspectors; to review the sampling and testing of pavement mixtures; to advise resident engineers and contracting firms on materials, equipment, and construction procedures; and to advise division engineers on pavement maintenance problems.)

DISPOSITION INSTRUCTIONS: Destroy in office data concerning project descriptions, mixture composition, and pavement performance when administrative value ends. Destroy in office remaining records after 2 years.

**DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
CONSTRUCTION UNIT  
STATE CONSTRUCTION ENGINEER**

**ITEM 16665. BOARD OF TRANSPORTATION MINUTES FILE.**

Duplicate copies of Board of Transportation minutes. File includes information concerning awards of projects, resolutions, allocations of highway funds, and all related policies and procedures approved by the Board of Transportation.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 16701. CORRESPONDENCE FILE.**

Intra-agency and Federal Highway Administration correspondence, memorandums, directives, manuals, research studies, and guidelines concerning highway policies and procedures. File concerns engineering methods and materials; the overall planning, funding, management, and status of construction projects; and the development of proposed highway programs.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 16711. PLANNING BOARD MINUTES FILE.**

Copies of Planning Board minutes with agendas, working day recommendations, and all related correspondence and reports. (File is used to monitor the status of proposed construction projects.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.