

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
MATERIALS AND TESTS UNIT**

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

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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 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.

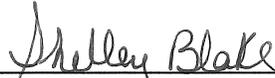
The Department of Transportation and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference 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 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 Cultural Resources concur that the long-term and/or permanent preservation of electronic records require 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 Cultural Resources regarding the creation and management of electronic records.

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



Shelley Blake
Chief Records Officer



Christopher A. Peoples, State Materials Engineer
Materials and Tests Unit



Greg Perfetti, Director
Field Support



Michael L. Holder, Chief Engineer
Division of Highways

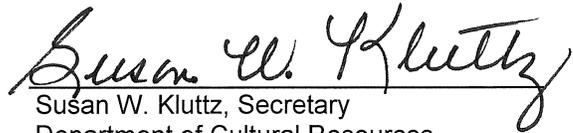


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Anthony Tata, Secretary
Department of Transportation



Susan W. Kluttz, Secretary
Department of Cultural Resources

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ITEM 23379. FIELD INSPECTION REPORTS FOR PRE-FABRICATED PRODUCTS FILE

Records in paper and electronic formats concerning the acceptability for payment of pre-fabricated products such as pipe, steel, iron, precast, etc., used in construction projects. File includes product information and test results.

DISPOSITION INSTRUCTIONS: Destroy in office paper copies of state project records 3 years after closing of the work order. Destroy in office paper copies of federal project records 5 years after closing of the work order. Retain electronic records in office permanently.

ITEM 50463. LABORATORY CERTIFICATION FILE

Records in paper and electronic formats concerning the qualification of laboratories to perform testing on materials used in construction projects. File includes documentation of equipment calibration, technician training, and comparative testing.

DISPOSITION INSTRUCTIONS: Destroy in office paper records 5 years after expiration of certification. Retain electronic records in office permanently.

ITEM 50464. MATERIALS RELATED PROCEDURES FILE

Records in paper and electronic formats concerning standard procedures used to verify the quality of materials and products used in construction projects. File includes documents providing technical guidance on the determination of material and product quality.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 50465. MINIMUM SAMPLING GUIDE FILE

Records in paper and electronic formats concerning the sampling and testing responsibility/frequency for materials and products used in construction projects. File includes documentation of technician training and proficiency.

DISPOSITION INSTRUCTIONS: Destroy in office paper records 5 years after closing of the work order for all construction projects affected by sampling and testing. Retain electronic records in office permanently.

ITEM 14018. MIX DESIGNS FILE

Records in paper and electronic formats concerning the combinations of materials used to produce asphalt mix and concrete. File includes information from producers and blending proportions used to create desired properties.

DISPOSITION INSTRUCTIONS: Destroy paper records in office when superseded or obsolete. Retain electronic records in office permanently.

ITEM 50466. PLANT INSPECTIONS AND AUDITS FILE

Records in paper and electronic formats concerning the qualification of manufacturers to provide asphalt, concrete, steel fabrication, guardrail, and other products used in construction projects. File includes documentation of audits and verification of test results.

DISPOSITION INSTRUCTIONS: Destroy in office paper records 5 years after expiration of certification. Retain electronic records in office permanently.

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ITEM 50467. SAMPLING AND TESTING OF MATERIALS FILE

Records in paper and electronic formats concerning the acceptability for payment of materials used in construction projects. File includes sample information and test results.

DISPOSITION INSTRUCTIONS: Destroy in office paper copies of state project records 3 years after closing of the work order. Destroy in office paper copies of federal project records 5 years after closing of the work order. Retain electronic records in office permanently.

ITEM 50468. TECHNICIAN CERTIFICATION AND ASSESSMENT FILE

Records in paper and electronic formats concerning the qualification of technicians to sample and test materials used in construction projects. File includes documentation of technician training and demonstration of proficiency. File also includes assessments.

DISPOSITION INSTRUCTIONS: Destroy in office paper records 5 years after expiration of certification. Retain electronic records in office permanently.

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**All items following are
Discontinued or Transferred.**

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ITEM 23369. ADMINISTRATIVE CORRESPONDENCE FILE

Correspondence, memorandums, reports, and related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

ITEM 23371. ASPHALT LABORATORY TESTS WORKING (STATE AND FEDERAL PROJECTS) FILE

Daily test reports, field notes, and related records on asphalt samples taken from project construction.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Laboratory Certification File (Item 50463).

ITEM 23372. CHEMICAL LABORATORY TESTS WORKING (STATE AND FEDERAL PROJECTS) FILE

Daily tests reports, field notes, and related records used to verify chemical analysis of materials used on state construction projects.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Sampling and Testing of Materials File (Item 50467).

ITEM 23373. CONCRETE BEAM FLEXURAL STRENGTH REPORTS FILE

Test reports on the quality of concrete beams.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Sampling and Testing of Materials File (Item 50467).

ITEM 23374. CONCRETE COMPRESSION TEST REPORTS FILE

Test reports and other records concerning the compression of concrete.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Sampling and Testing of Materials File (Item 50467).

ITEM 23375. CONCRETE PIPE INSPECTION (FEDERAL AND STATE PROJECTS) FILE

Reports concerning the use of concrete pipe on state construction projects.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Field Inspection Reports for Pre-Fabricated Products File (Item 23379).

ITEM 23377. FABRICATOR'S CERTIFICATION FILE

Records concerning manufacturer's certification of compliance with material specifications as prescribed by the Department of Transportation. File includes fabricator's certificate of compliance, copies of purchase orders, and all related correspondence. (Records are not subject to audit.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Plant Inspections and Audits File (Item 50466).

ITEM 23378. FEDERAL PROJECTS FILE

Records concerning materials used on federal construction projects. File includes test reports, contract records, Jute Mesh Inspection Reports, reports on steel and other metals, and Federal Highway Administration sample test reports.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Sampling and Testing of Materials File (Item 50467) and Field Inspection Reports for Pre-Fabricated Products File (Item 23379).

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ITEM 23383. NUCLEAR TESTING SECTION FILE

Reports and data concerning nuclear testing performed by construction personnel.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division Engineer's Office, Resident Engineer's Office, Resident Engineer's Active Project (Federal and State) File (Item 25750).

ITEM 23388. PHYSICAL TESTING LABORATORY FIELD SAMPLE INDEX CARDS FILE

Card index of laboratory sample cards.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Sampling and Testing of Materials File (Item 50467).

ITEM 23386. PHYSICAL TESTING LABORATORY LOG BOOK FILE

Log book recording all samples received in laboratory and status of routine tests.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 23387. PHYSICAL TESTING LABORATORY SAMPLE CARDS FILE

Laboratory sample test cards verifying the physical characteristics of materials used on state and federal-aid projects.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Sampling and Testing of Materials File (Item 50467).

ITEM 23389. PRESTRESSED CONCRETE BRIDGE REPORTS FILE

Reports concerning prestressed concrete used in the construction of bridges.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Field Inspection Reports for Pre-Fabricated Products File (Item 23379).

ITEM 23390. RECORD SAMPLE TESTING FILE

Progress and final sample test reports on materials (soil, stone, sand, asphalt, concrete, etc.) used in the construction of federal-aid projects.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Sampling and Testing of Materials File (Item 50467).

ITEM 23394. SOILS LABORATORY TEST REPORTS PROJECT (STATE AND FEDERAL) FILE

Test reports showing the results of tests performed by the Soil Laboratory including field reports of work done by Soils Investigation Section.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Sampling and Testing of Materials File (Item 50467).

ITEM 23395. SPECIAL PROVISIONS REFERENCE FILE

Specifications and standards for materials and procedures prepared by the Department of Transportation for compliance on construction projects.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Technical Services, Contract Standards and Development Unit.

ITEM 23396. STATE PROJECTS FILE

Test reports, concrete reports, Jute Mesh Inspection Reports, contract records, reports on steel and other metals, and other records which provide information concerning materials used on state construction projects.

DISPOSITION INSTRUCTIONS: Function and records transferred to Sampling and Testing of Materials File (Item 50467) and Field Inspection Reports for Pre-Fabricated Products File (Item 23379).

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ITEM 23397. STEEL TEST REPORTS FILE

Reports on tests performed by the Materials and Tests Laboratories on samples of steel and other metals submitted by the manufacturers.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Field Inspection Reports for Pre-Fabricated Products File (Item 23379).

ITEM 23400. WELDER'S CERTIFICATES FILE

Certificates issued by the American Welder's Society certifying the competence of field and shop welders of companies contracted by the Department of Transportation to supply construction material.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Technician Certification and Assessment File (Item 50468).