

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
ROADSIDE ENVIRONMENTAL 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

ROADSIDE ENVIRONMENTAL 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 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 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



Don G. Lee, State Roadside Environmental
Engineer
Roadside Environmental Unit



Greg Perfetti, Director
Field Support



Michael L. Holder, Chief Engineer
Division of Highways

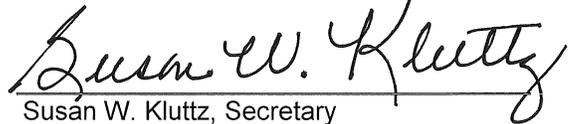


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Nicholas Fennyson, Secretary
Department of Transportation



Susan W. Kluttz, Secretary
Department of Natural and Cultural
Resources

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
ROADSIDE ENVIRONMENTAL UNIT
ENVIRONMENTAL OPERATIONS & REST AREA**

ITEM 25124. PRIMARY AND INTERSTATE REST AREA PROJECTS FILE

Records concerning sites for roadside rest areas along primary roads and interstate highways, including both new construction and renovations. File includes field notes, cost estimates, preliminary drawings, inspection reports, and all project-related materials concerning rest area projects. File also includes all project-related correspondence and reports prepared by the Roadside Environmental Unit. File also includes station and elevation level field notes for sewer lines at rest areas, preliminary project drawings and photographs, water and sewage treatment reports, State Board of Health inspection reports, equipment specifications, and all related correspondence, drawings, and reports. File also includes all project-related correspondence and reports used to verify the cost of interstate rest area projects, work breakdown structure (WBS) elements Cost Estimates for Roadway Areas, Preliminary Field Plan, Engineer's Estimate, special provisions, and all related correspondence and reports.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 25127. REST AREAS GENERAL FILE

Records concerning rest area facilities. File includes master plans, inventories, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 34924. REST AREA RECYCLING PROGRAM FILE

Records concerning recycling programs at rest areas. File include completed forms listing amount of recyclable materials collected at each rest area site monthly.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 25128. REST AREA USE SURVEYS FILE

Rest area traffic survey reports detailing volume of traffic at rest area sites. File includes copies of Automatic Traffic Count Worksheets, North Carolina Rest Area Use Study Forms, Greatest Number of Vehicles Parked at Any One Time Report, Safety Rest Area Capacity Charts, and other related surveys and reports.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 25156. WATER USE REPORTS FILE

Reports used to monitor water usage at rest area facilities and to comply with North Carolina sanitation laws. File includes Rest Area Water Use Reports and Monthly Analysis of Water Reports.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
ROADSIDE ENVIRONMENTAL UNIT
OFFICE OF BEAUTIFICATION**

ITEM 48390. LITTER REPORTING FILE

Records concerning litter prevention. File includes reports of littering and formal notifications to motorists who litter.

DISPOSITION INSTRUCTIONS: Destroy in office after notification is mailed.

ITEM 48391. SPONSOR-A-HIGHWAY FILE

Records in paper and electronic formats, including e-mail, concerning the Sponsor-A-Highway program. File includes supplemental agreements for service access and applicable renewals.

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

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
ROADSIDE ENVIRONMENTAL UNIT
ROADSIDE EROSION CONTROL & VEGETATION MANAGEMENT**

ITEM 48725. SCENIC BYWAYS DESIGNATION APPLICATIONS FILE

Records concerning applications for Scenic Byways Program designation. File includes application forms, maps, photographs, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 48726. SCENIC BYWAYS GRANT APPLICATIONS FILE

Records concerning applications for Scenic Byways Program grants. File includes application forms, plans and specifications, and other related records. File also includes annual compilation of individual grants as required by the Federal Highway Administration.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 48727. SCENIC BYWAYS PROGRAM FILE

Records concerning the Scenic Byways Program operated by the North Carolina Department of Transportation. File includes correspondence, planning documents, division requests, grant information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 48728. SCENIC BYWAYS STUDY LIST APPLICATIONS FILE

Records concerning applications for Scenic Byways Program study list. File includes application forms, maps, photographs, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

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The following 2 items are being Transferred.**

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
ROADSIDE ENVIRONMENTAL UNIT
ROADSIDE EROSION CONTROL & VEGETATION MANAGEMENT**

ITEM 25125. PLANS AND ORIGINAL DRAWINGS FILE

Initial drawings of rest area facilities prepared by the Roadside Environmental Unit. Records detail electrical distribution and lighting, contour plans, building plans, and other preliminary design plans used for reference to renovate installed sites or to design new facilities. Drawings include information concerning current plants, activities, special projects, and aerial photographs.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Environmental Operations & Rest Area, Primary and Interstate Rest Area Projects File (Item 25124).

ITEM 25126. PRIMARY REST AREAS PROJECTS FILE

Correspondence, field notes, preliminary drawings, and other related records concerning primary rest area projects. File includes detailed Roadside Environmental Units' initial plans for developing the state roadside park areas. (Information is used for reference to maintain or expand the roadside park system.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Environmental Operations & Rest Area, Primary and Interstate Rest Area Projects File (Item 25124).

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
ROADSIDE ENVIRONMENTAL UNIT
ROADSIDE EROSION CONTROL & VEGETATION MANAGEMENT**

ITEM 3129. CONTRACT EROSION CONTROL PROJECTS FILE

Records concerning the cost of erosion control on highway construction projects let to contract. File includes correspondence as well as reports used to verify the department's design plans, cost estimates, preliminary and final field reviews, preliminary and final field inspections, special provisions and related correspondence and reports, and other roadside development activities.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 34920. ENVIRONMENTAL IMPACT STATEMENT FILE

Records prepared by the Soil and Water Engineering Section describing the anticipated impact of construction projects on the environment.

DISPOSITION INSTRUCTIONS: Destroy in office when project is complete.

ITEM 34922. SEDIMENTATION REPORTS FILE

Records concerning erosion and sedimentation control inspection reports. File includes completed reports for each division on highway contract construction, major maintenance, and Force Account Projects.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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The following 4 items are being
Discontinued or Transferred.**

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
ROADSIDE ENVIRONMENTAL UNIT
ROADSIDE EROSION CONTROL & VEGETATION MANAGEMENT**

ITEM 25150. CONTRACT EROSION CONTROL PROJECTS OF OTHER HIGHWAY DEPARTMENTS FILE

Project-related correspondence and reports prepared by other highway departments used for reference in planning landscaping projects. File includes recommended working days, work orders, change work order allotments, special provisions, pavement designs, bid tabulations, and related correspondence and reports.

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

ITEM 34921. CONTRACT EROSION CONTROL PROJECT PLANS FILE

Project-related plan drawings prepared by other units and used to design sedimentation and erosion control plans. File includes field inspection plans, cross sections, profiles, Erosion and Sedimentation Control Plan originals, and reduced Erosion and Sedimentation Control Plans.

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

ITEM 25152. PRELIMINARY ENGINEERING EROSION CONTROL PROJECTS FILE

Records concerning the location and status of proposed construction projects. File includes preliminary and final field reviews, preliminary and final field inspections, special provisions, recommendations, pavement design, and other related correspondence and reports.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Contract Erosion Control Projects File (Item 3129).

ITEM 25155. SEED LABORATORY REPORTS FILE

Reference copies of Report of Purity and Germination Test performed by the North Carolina Department of Agriculture, Seed Testing Division, which is required before seed can be used on a highway project.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
FIELD SUPPORT
ROADSIDE ENVIRONMENTAL UNIT
STATE ROADSIDE ENVIRONMENTAL ENGINEER**

ITEM 25132. CORRESPONDENCE WITH AREA ROADSIDE ENVIRONMENTAL ENGINEERS FILE

Records concerning all administrative and technical functions of landscape design, construction, and maintenance work used to advise and direct the field staff of the unit. File includes State Roadside Environmental Engineer's correspondence with area Roadside Environmental engineers.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 25134. CORRESPONDENCE WITH UNIT HEADS AND KEY HIGHWAY OFFICIALS FILE

Correspondence and reports of the State Roadside Environmental Engineer with Board of Transportation members, the State Highway Administrator, Chief Engineer, branch managers, and other unit heads. File includes overall planning reports regarding funding, management, and status of projects; compliance with Federal Highway Administration policies and procedures; development of highway programs; and other related records. File also includes reports prepared by the State Roadside Environmental Unit as directed by key highway administrators.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 25137. DIVISION OF ENGINEERS AND DIVISION OF ROADSIDE ENVIRONMENTAL ENGINEERS FILE

Records concerning regular roadside maintenance, which includes initial erosion control by state forces, maintenance of grass and trees, selective cutting and trimming, use of herbicides, and maintenance of rest areas, tables, and litter deposit cans. File includes State Roadside Environmental Engineer's correspondence with division engineers and division Roadside Environmental Engineers.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 48399. SELECTIVE VEGETATION REMOVAL PERMITS FILE

Records concerning selective vegetation removal (SVR). File includes SVR applications, permits, denial letters, and other related records.

DISPOSITION INSTRUCTIONS: Scan in office paper permits. Destroy in office after 1 year paper copies of scanned records. Destroy in office remaining records after 5 years.

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The following 4 items are being
Discontinued or Transferred.**

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DIVISION OF HIGHWAYS
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ROADSIDE ENVIRONMENTAL UNIT
STATE ROADSIDE ENVIRONMENTAL ENGINEER**

ITEM 25131. CORRESPONDENCE AND AGREEMENTS WITH ARCHITECTS AND LANDSCAPE FILE

Record copies of agreements between the Department of Transportation and landscape architects with all related correspondence and supporting data. Information details provisions for payment to landscape architects contracted as consultants on landscape projects.

DISPOSITION INSTRUCTIONS: Function and records transferred to Facilities Management.

ITEM 25133. CORRESPONDENCE WITH STATE AND FEDERAL AGENCIES FILE

Correspondence, reports, brochures, publications, and all related records collected by the State Roadside Environmental Engineer. (Information is used to keep informed and to coordinate activities with state and federal agencies involved with landscape planning.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Correspondence and Agreements with Architects and Landscape File (Item 25131) and Correspondence with Unit Heads and Key Highway Officials File (Item 25134).

ITEM 25135. CORRESPONDENCE WITH UTILITY COMPANIES FILE

Correspondence concerning coordinating activities with utility companies to provide utilities for rest areas, approving the use of herbicides by utility companies encroaching highway right-of-way property, authorizing cutting and planting permits to companies on the right-of-way, and other related Roadside Environmental activities.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25136. DIVISION ENCROACHMENTS FILE

Correspondence, maps, reports, and agreements concerning temporary encroachments.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.