

**DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
FIELD SUPPORT  
UTILITY 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

**UTILITY 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.

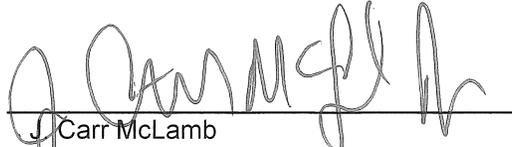
The Department of Transportation and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*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.

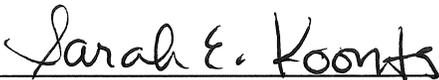
**APPROVAL RECOMMENDED**

  
\_\_\_\_\_  
J. Carr McLamb  
Chief Records Officer

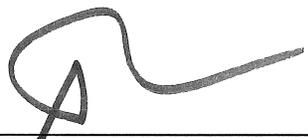
  
\_\_\_\_\_  
Ronald Wilkins  
State Utilities Manager

  
\_\_\_\_\_  
Greg Perfetti, Director  
Field Support

  
\_\_\_\_\_  
Michael L. Holder, Chief Engineer  
Division of Highways

  
\_\_\_\_\_  
Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

  
\_\_\_\_\_  
Nick Tennyson, Secretary  
Department of Transportation

  
\_\_\_\_\_  
Susan W. Kluttz, Secretary  
Department of Cultural Resources

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**ITEM 3147. UTILITIES TIP PROJECTS FILE**

Records in paper and electronic formats concerning the removal or relocation of utility facilities that conflict with highway construction or improvement. File includes correspondence and reports about the coordination of this work between utility forces and highway forces and reimbursement or sharing of the costs incurred. File also includes requests for authorization, pole data sheets, utility companies' estimated costs, utility relocation agreements, relocation plans, and related project correspondence.

DISPOSITION INSTRUCTIONS: Destroy paper records in office 5 years after project closing. Retain electronic records in office permanently. Destroy records currently held in the State Records Center as of 6/24/16 immediately.

**ITEM 3691. ENCROACHMENT AGREEMENTS FILE**

Records concerning agreements with utility companies and other utility owners concerning provisions for the encroachment of utility facilities on right-of-way property. File includes encroachment agreements, encroachment plans, letters of approval, related correspondence, and reports. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Retain in office permanently. Return to agency microfilm currently held in the State Records Center as of 6/24/16.

**ITEM 48724. ENCROACHMENTS (ELECTRONIC) FILE**

Electronic records concerning encroachment approvals by the Division or District offices. File includes data fields consisting of county, encroaching party, approval date, routes, type of installation, description of installation, linear footage, and method of installation.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

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The following items will be transferred.**

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**ITEM 16508. MUNICIPAL AGREEMENTS FILE**

Agreements negotiated by the Right-of-Way Branch with municipal officials concerning all construction and improvement activities within corporate city limits. Information includes or concerns provisions for and participation in costs of right-of-way width, control access, relocation of utilities, and adequate traffic operation control devices according to G.S. Section 160-200 (11) and (31), Section 136-18, and Section 20-169. File also includes the maps or drawings regarding construction plans that are attached to agreements.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Technical Services, Transportation Program Management, Program Management, Local Programs Management.

**ITEM 16509. RAILROAD AGREEMENTS FILE**

Agreements negotiated by the Right-of-Way Branch with railroad companies concerning highway construction affecting railroad lines. Information includes or concerns compensation for property being acquired for right-of-way purposes, overpasses, underpasses, installation of drainage facilities, signals, electric lines, other utilities, and agreements with railroad companies in cases where railroad companies are encroaching on Department of Transportation property. File also includes maps or drawings detailing construction plans that are attached to agreements.

DISPOSITION INSTRUCTIONS: Function and records transferred to Rail Division, Facilities and Operations.