

**DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
TRANSPORTATION MOBILITY AND SAFETY DIVISION  
INTELLIGENT TRANSPORTATION SYSTEMS (ITS) AND SIGNALS 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.

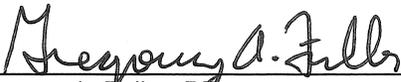
The Department of Transportation and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of Transportation agrees to comply with all policies, standards, and 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

  
\_\_\_\_\_  
Gregory A. Fuller, PE  
ITS & Signals Unit

  
\_\_\_\_\_  
J. Kevin Lacy, State Traffic Engineer  
Transportation Mobility and Safety Division

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

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

**APPROVED**

  
\_\_\_\_\_  
Anthony Tata, Secretary  
Department of Transportation

  
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Susan W. Kluttz, Secretary  
Department of Cultural Resources

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**ITEM 48622. COMPACT QUALIFIED PRODUCTS LIST (QPL99) (ELECTRONIC) FILE**

Electronic data records concerning catalog cuts and QPL submittals of traffic signal equipment. File includes data fields consisting of construction item number and description, manufacturer information, project information, distributor information, and date when product was approved or rejected.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 48623. CONFLICT MONITOR CERTIFICATION (ELECTRONIC) FILE**

Electronic data records concerning conflict monitor certification. File includes data fields consisting of specific results for each conflict monitor tested and may include test date, identifying information for item tested, identifying information of test equipment and software, and pass/fail information for specific tests performed.

DISPOSITION INSTRUCTIONS: Purge data fields after 5 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.

**ITEM 38025. EQUIPMENT REPAIRS FORMS FILE**

Form completed by electronics technicians performing repairs. File includes dates of equipment receipt and return, diagnosis, parts used, and other related data. Information is input into Traffic Electronic Center (TEC) (Electronic) File (Item 38024).

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 48624. INTELLIGENT TRANSPORTATION SYSTEMS (ITS) (ELECTRONIC) FILE**

Electronic data records concerning ITS project planning, funding, and construction. File includes data fields consisting of project number, location description, justification, devices, cost estimates, and construction progress and approval.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 48625. LED TRACKER (ELECTRONIC) FILE**

Electronic data records concerning LED signal heads. File includes data fields consisting of warranties, malfunctions, repairs, and replacements.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 25551. ORIGINAL SIGNAL AND/OR GEOMETRIC PLANS FILE**

Records in paper and electronic formats of traffic signal designs and/or intersection geometric designs which have been completed, revised, and/or upgraded for intersections along North Carolina roadways. File is used to indicate intersections where signals installations or geometric roadway changes have been made. File also includes designs submitted by municipalities.

DISPOSITION INSTRUCTIONS: Scan in office paper records when received. Destroy in office paper copies of scanned records after 30 days. Retain electronic records in office permanently.

**ITEM 48626. SIGNAL DESIGN TRANSPORTATION IMPROVEMENT PROGRAM (TIP) PROJECTS (ELECTRONIC) FILE**

Electronic data records concerning traffic signals on TIP projects. File includes data fields consisting of project number, engineer assigned to project, project due date, field recommendations, project milestones, Intelligent Transportation System information, and construction limits and revisions.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

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**ITEM 37864. SIGNAL INVENTORY (ELECTRONIC) FILE**

Electronic data records concerning geometric and signal design and/or studies completed at various intersections and other locations along North Carolina roadways. File includes data fields consisting of description of each location, route numbers, names of counties, cities, and divisions, location numbers, and other related data.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 25547. SIGNAL INVENTORY FILE**

Records concerning geometric and signal designs and/or studies completed at various intersections and other locations along North Carolina roadways. File includes correspondence, photographs, geometric and signal design plans, and other related records. Description of each location, route numbers, names of counties, cities, divisions, location numbers, and other related data are entered into Signal Inventory (Electronic) File (Item 37864).

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 25555. SIGNAL SYSTEM CORRESPONDENCE FILE**

Correspondence and supporting documentation for signal system projects.

DISPOSITION INSTRUCTIONS: Destroy in office 15 years after project is accepted and turned over to NCDOT for maintenance or when a project upgrades the signal system, whichever occurs first. Destroy records held at the State Records Center 15 years from date received.

**ITEM 48627. STRUCTURES FILE**

Records concerning foundation drawings and fabricators' metal support shop drawings for structures that will support traffic signals and Intelligent Transportation Systems technologies. File will also contain similar information for direct buried concrete poles. File may include correspondence, photographs, signal design plans, inspection reports, structure movement tracking (for salvaged, surplus, or reused poles), and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 48628. TECHNICAL SUPPORT (ELECTRONIC) FILE**

Electronic data records concerning trouble calls from divisions, municipalities, design personnel, and others along with actions taken to resolve issues. File includes data fields consisting of requestor, dates of request and resolution, location, descriptions of problem and solution, and person responsible for solution.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 38024. TRAFFIC ELECTRONIC CENTER (TEC) (ELECTRONIC) FILE**

Electronic data records concerning repairs performed on signal equipment by Traffic Electronic Repair Center. File includes data fields consisting of dates equipment received and returned, diagnosis, test procedures, parts used, and other related data.

DISPOSITION INSTRUCTIONS: Purge data fields after 5 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.

**ITEM 37867. TRANSPORTATION IMPROVEMENT PROGRAM (TIP) CONTRACT HANGING FILE**

Construction plans used to determine type and location of signal designs needed during and after construction. Plans also used for construction revisions. File includes half size copies of construction plans once project is let.

DISPOSITION INSTRUCTIONS: Destroy in office one year after project is accepted and turned over to NCDOT for maintenance.

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**ITEM 37868. TRANSPORTATION IMPROVEMENT PROGRAM (TIP) CONTRACT SIGNAL INVENTORY FILE**

Records concerning signals installed as a part of TIP. File includes correspondence, project schedules, planning board reports, aerial photographs, plans, bid documents, estimates, and other related records.

DISPOSITION INSTRUCTIONS: Transfer data pertinent to signal designs to Signal Inventory File (Item 25547). Destroy any remaining records in office one year after project is accepted and turned over for maintenance. Destroy records held at the State Records Center 10 years from date received.

**The following items will be discontinued.**

**ITEM 25545. CONSULTANT PHOTOGRAPHS FILE**

Photographs of signal equipment and intersections taken by consultant firm in 1965 study. File is used as reference to maintain, change, and add signal equipment.

DISPOSITION INSTRUCTIONS: Records no longer being created. Destroy in office all remaining records immediately.

**ITEM 25546. COUNTY AVERAGE DAILY TRAFFIC MAPS FILE**

County maps showing the average daily traffic.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 37865. LOCATIONS INDEX (PRINTOUTS) FILE**

Computer generated printouts produced from Signal Inventory (Electronic) File (Item 37864). Printouts list description of each location, route numbers, location numbers, names of counties and cities, and other related data.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 25554. LOCATION MAPS FILE**

County maps and supplements showing location of all traffic signals in the state.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 45971. SECURITY BACKUPS (ELECTRONIC) FILE**

Records on computer readable media identical in digital format to electronic records created and maintained in the office and retained off-site in a separate location in case the original records are damaged or inadvertently erased. File also includes logs, directories, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 25553. SIGNAL EQUIPMENT LITERATURE FILE**

Booklets, pamphlets, and catalogs received from companies manufacturing signal equipment. (File is used by Signals Management Section to determine type of signal equipment to install.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.