

**DEPARTMENT OF TRANSPORTATION
DIVISION OF PLANNING AND PROGRAMMING
TRANSPORTATION PLANNING BRANCH**

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

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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 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



Patrick Norman, Director
Division of Planning and Programming



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Nicholas Tennyson, Secretary
Department of Transportation



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

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ITEM 23453. ADOPTED COMPREHENSIVE TRANSPORTATION PLAN (CTP) FILE

Records concerning existing and improved transportation networks needed to accommodate existing and anticipated travel demand in the planning area. File includes current official comprehensive transportation plans (CTPs) prepared and recommended by the Transportation Planning Branch and adopted by the municipality/municipalities, county, or metropolitan planning organization (MPO), and the Board of Transportation.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 3137. CLOSEOUT TRANSPORTATION PLANNING STUDY REFERENCE FILE

Records concerning planning efforts with municipalities, counties, and metropolitan planning organizations (MPOs). File includes plans, correspondence, survey material and cost estimates. File also includes maps, preliminary survey material (traffic movements, estimates, and working papers), geological survey maps, location survey maps, construction and right-of-way cost estimates, newspaper clippings, and other related study records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 41868. PLANNING LEAD (PL) GENERAL FILE

Correspondence, Federal Highway Administration (FHWA) Notice of Section 104 PL fund apportionments, Department of Transportation allocations of PL funds to urbanized areas, and State Planning Research-Planning Lead (SPR-PL) work program tables showing allocations of PL funds on increases and decreases in PL fund work orders.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after work order closed 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 resolution of issues involved.

ITEM 23455. TRANSPORTATION ADVISORY COMMITTEE AND TECHNICAL COORDINATING MINUTES FILE

Records concerning a continuing, cooperative, and comprehensive transportation planning process in North Carolina. File includes minutes of the Transportation Advisory Committee (TAC), Technical Coordinating Committee (TCC), Metropolitan Planning Organizations (MPO), and Rural Planning Organizations (RPO).

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 41874. TRANSPORTATION IMPROVEMENT PROGRAM (TIP) PROJECT-LEVEL TRAFFIC FORECAST FILE

Correspondence concerning the development of design-level traffic forecasts for the implementation of projects funded by State Transportation Improvement Program (TIP).

DISPOSITION INSTRUCTIONS: Retain in office permanently.

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ITEM 23466. TRANSPORTATION PLANNING FILE

Records in paper and electronic formats concerning transportation planning for counties, municipalities, and planning organizations. File includes preliminary comprehensive transportation plans (CTPs), proposed revisions, and final plans. File also includes agreements, signed resolutions endorsing CTPs, correspondence with municipalities, counties, metropolitan planning organizations (MPOs), rural planning organizations (RPOs), and others concerning CTPs, recommendations of local officials for revisions to plans, Board of Transportation meeting minutes citing adoption of CTPs, cost estimates, and listings showing dates of adoption of plans by jurisdictions and dates recommended by the Transportation Planning Branch. For planning organizations, file includes correspondence, MOUs, bylaws, agreements, annual notice of fund availability, work program tables, annual work programs and revisions, and annual performance reviews. File also includes records concerning the review of and responses to projects distributed through the NC Department of Administration clearinghouse process.

DISPOSITION INSTRUCTIONS: Scan in office paper records. Transfer paper records to the State Records Center after 15 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy electronic records in office when obsolete.

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The following 12 items will be discontinued.**

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ITEM 41861. DETAIL LISTING OF STATE PLANNING RESEARCH-PLANNING LEAD (SPR-PL) EXPENDITURES FILE

Monthly reports detailing expenditures of the SPR-PL funds. (Reports are used to verify that posted charges are correct.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 23422. FEDERAL AID POLICY GUIDE FILE

Reference copies of federal laws, policies, and procedures received from Federal Highway Administration (FHWA) concerning standards to be adopted or programs to be administered in accordance with federal legislation.

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

ITEM 37738. JOB ORDERS FILE

Job orders used to request planning photogrammetry, highway safety, and electronic data processing work of other units within the Department of Transportation.

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

ITEM 37739. NARRATIVE AND EXPENDITURE REPORTS FILE

Financial statements submitted to Federal Highway Administration (FHWA) monthly. Statements are summarized by the following functional codes: expenditures for current month, year-to-date balance, and total program estimate. File also includes letters of transmittal summarizing the balance of funds allocated for planning and research purposes, quarterly progress reports summarizing work performed, and materials used to report to the FHWA the management and balance of funds allocated for planning and research.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 41867. PLANNING LEAD (PL) FISCAL YEAR FILE

Invoices and quarterly progress reports submitted by Lead Planning agencies. File also includes notices of payments, correspondence, audit reports, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 41869. PLANNING LEAD (PL) PROGRAM FILE

Planning work programs and revisions for the metropolitan planning organizations. File includes work orders and correspondence.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 46047. 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. Amended 03-14-02

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by General Schedule for State Agency Records, System Maintenance Records: Records Backups File.

ITEM 37749. STATE PLANNING RESEARCH-PLANNING LEAD (SPR-PL) WORK PROGRAM FILE

Records concerning work programs and revisions. File includes North Carolina Statewide Planning Work Program submitted to the Federal Highway Administration (FHWA) for approval annually showing each item included in the work program and funds allocated to work tasks. File also includes revisions submitted and approved.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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ITEM 23465. SYSTEMS RESPONSIBILITY FILE

Records concerning the state and municipal responsibilities for all streets included in the mutually adopted thoroughfare plans. File includes thoroughfare plan system responsibilities, proposals, and correspondence between the Statewide Planning Branch and city officials. File also includes preliminary proposals (maps)-Ultimate State and City Street Systems within the Municipal Urban Area, municipal agreements on system responsibility, and city and state resolutions of agreement approvals, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 37747. TRANSFER OF CHARGES FILE

Transfers of charges submitted to controller by the Statewide Planning Branch to correct charges made to wrong work order numbers. (File is used to correct coding of expenditures, job order charges in the journal voucher, errors in expense vouchers, and coding of costs on payroll.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 42423. TRANSPORTATION SYSTEM PLANNING INDEX FILE

Indices to Transportation System Planning File (Item 23466).

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

ITEM 37748. VEHICLE RENTAL EQUIPMENT AND MILEAGE AND DISTRIBUTION REPORTS FILE

Reports received from Fiscal Section detailing the issuance and/or transfer of equipment and monitoring and reporting the use of equipment assigned to the Statewide Planning Branch by the Equipment Unit.

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

**DEPARTMENT OF TRANSPORTATION
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TRAFFIC SURVEY GROUP**

ITEM 23467. ANNUAL AUTOMATIC TRAFFIC RECORDER REPORTS FILE

"Automatic Traffic Recorder Data" reports showing the annual summary of average daily traffic by months.

DISPOSITION INSTRUCTIONS: Retain in office 1 complete set permanently. Destroy in office duplicates annually.

ITEM 23468. AVERAGE DAILY TRAFFIC MAPS FILE

Blueline copies of county maps showing average daily traffic for all hard-surfaced and non-surfaced soil roads which include station books showing station number. (File is used for reference to post average daily traffic counts.)

DISPOSITION INSTRUCTIONS: Destroy in office average daily traffic books when reference value ends. Destroy in office station books after 3 years.

ITEM 23469. DRAWBRIDGE REPORTS FILE

Monthly drawbridge reports listing type, name, and number of each vessel passing under drawbridge, as well as time signalled, number of vehicles delayed while bridge remained open, and other related information. (Reports are compiled into an annual report.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 23470. HIGHWAY TRAFFIC STATISTICS FILE

Annual statistical forms listing automatic traffic recorder data, truck weight data, vehicle classification counts, drawbridge and ferry information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 23471. MANUAL COUNT FORMS FILE

Traffic Survey Group Manual Count Forms used for manually recording traffic volume and vehicle types. (Information is summarized annually and posted to maps.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 23472. MONTHLY TRAFFIC SUMMARIES FILE

Monthly Summary Sheets of average daily traffic as provided by automatic traffic recorders, Monthly Summary of Operations of Ferries, Ferry Traffic Reports, and Drawbridge Traffic Summaries. (File is used to compile traffic reports for the Federal Highway Administration.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 23473. ORIGIN AND DESTINATION PRINTOUTS AND SUMMARY SHEETS FILE

Printouts and tabulation summary sheets prepared from computer tabulation Sheets. (File is used to prepare Origin and Destination Studies in published form for distribution.)

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 23474. ORIGIN AND DESTINATION STUDIES FILE

Origin and Destination Studies prepared by the Traffic Survey Group and the Federal Highway Administration showing traffic demand pattern data. (File is used to aid in the development of immediate improvements to the interstate system within municipalities and the development of a long-range transportation plan in cooperation with the municipalities, counties, MPOs, and RPOs.)

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

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ITEM 23476. PORTABLE TRAFFIC RECORDER COUNT FILE

Portable traffic recorder count forms used to summarize and post traffic counts to average daily traffic maps. Each form shows time, county, station number, location, month, readings, count or estimate, and remarks.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 23477. SPEED SURVEY FILE

Speed study reports showing traffic survey station, road system, passenger cars, commercial vehicles, buses, speed, and other related information concerning each survey.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 23478. TRUCK WEIGHING SURVEYS FILE

Truck weighing surveys conducted by the Traffic Survey Group in compliance with requirements of the Federal Highway Administration.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 23479. TURNING MOVEMENTS FILE

Diagrams showing traffic counts gathered by field surveys staff upon request.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.