

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
GEOTECHNICAL ENGINEERING 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 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.

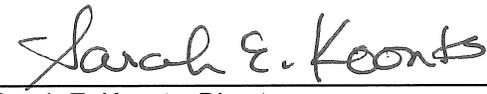
The Department of Transportation agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Carr McLamb
Chief Records Officer


John Pilipchuk
State Geotechnical Engineer


Rodger Rochelle, Administrator
Division of Technical Services


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 13621. ADMINISTRATIVE UNIT FILE

Records in paper and electronic formats concerning equipment, personnel, job orders, work orders, and projects. File includes equipment rental variance by department and title, rental equipment assigned to cost centers, equipment rental and fuel charges, equipment job order costs, longevity pay, bond and savings note reports, biweekly payroll registers, payroll and distribution, payroll and additive distribution, detail listing of job order costs, route expenditures, biweekly cost report for pay period, technical service expenditures, and disaster claim job orders.

DISPOSITION INSTRUCTIONS: Destroy in office paper records after notification by Payment of Final Estimates memorandum from State Construction Engineer. Retain in office electronic records permanently.

ITEM 48875. ENCROACHMENT REVIEW FILE

Records concerning encroachments to NCDOT right-of-way by private or other governmental organizations. File includes investigations, recommendations, project assignments, soil boring and testing data, proposed designs, and other related records. File also includes review of bridges or other structures designed and built by local government.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 3110. GEOENVIRONMENTAL INVESTIGATION AND DESIGN FILE

Records in paper and electronic formats of geoenvironmental investigations for hazardous materials and hazardous wastes released into subsurface materials. File includes project assignments, requests for proposal, costs estimates, investigation reports, design recommendations, right-of-way recommendations, regulatory correspondence, and other related records. Project assignments and progress status data are entered into Project Status (Electronic) File (Item 48877).

DISPOSITION INSTRUCTIONS: Destroy in office paper records after notification by Payment of Final Estimates memorandum from the State Construction Engineer. Destroy electronic records in office when reference value ends.

ITEM 13623. GEOTECHNICAL OPERATIONS FILE

Records in paper and electronic formats concerning geotechnical investigations, operations, and design recommendations for construction and maintenance of roadways and structures along with pavement and subgrade investigations for soil stabilization and pavement designs. File includes project assignments, progress status, inventories, reports, maps, soil boring and rock coring data, laboratory and field testing reports, design recommendations, calculations, drawings, and other related records. Project assignments and progress status data are entered into Project Status (Electronic) File (Item 48877).

DISPOSITION INSTRUCTIONS: Destroy in office paper records entered into Project Status (Electronic) File (Item 48877). Destroy in office remaining paper records after notification by Payment of Final Estimates memorandum from State Construction Engineer. Destroy in office electronic records when reference value ends.

ITEM 48876. GROUTING OPERATIONS FILE

Records in paper and electronic formats concerning grouting operations. File includes project assignments, material usage, locations, and costs. Since 2006, project assignments and progress status data are entered into Project Status (Electronic) File (Item 48877).

DISPOSITION INSTRUCTIONS: Destroy in office paper records 3 years after project completion. Destroy electronic records when reference value ends.

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ITEM 48877. PROJECT STATUS (ELECTRONIC) FILE

Electronic records concerning status of investigations or designs conducted by unit. File includes data fields consisting of completion dates, status of inventories, reports, index of projects and programs, recommendations for designs, soil test results, special studies, archival plan locations, and other related data. Data is entered into this database from Geotechnical Operations File (Item 13623) and Geoenvironmental Investigation and Design File (Item 3110).

DISPOSITION INSTRUCTIONS: Retain in office permanently.

The following items will be discontinued.

ITEM 13617. PROJECT CONTROL INDEX FILE

Index listings detailing the status of projects and program submission.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 13618. GEOLOGICAL SURVEY DATA CARDS FILE

Cards detailing the current microfilming status of the Roadway Subsurface Investigations File and Bridge Foundation Log Sheets File.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 13622. SOIL SURVEY MAPS FILE

U.S. Department of Agriculture county survey maps and publications used for general reference to topographical data.

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

ITEM 13624. BRIDGE FOUNDATION LOG SHEETS FILE

Reports prepared by the Geotechnical Unit that include soil and rock legends, boring data, bent numbers, collar elevations, boring locations, total depths, elevations, blow count notes, soil descriptions, and other subsurface data.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Geotechnical Operations File (Item 13623).