

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT**

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

TRANSPORTATION PROGRAM MANAGEMENT

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.

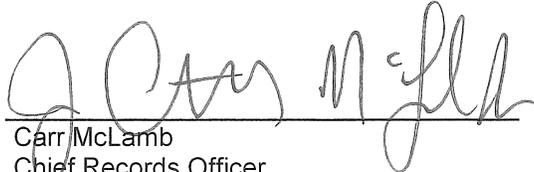
The Department of Transportation and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when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

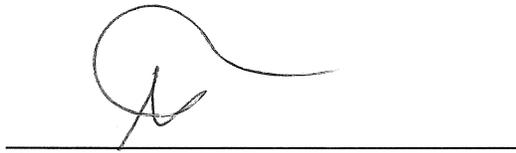

Carr McLamb
Chief Records Officer

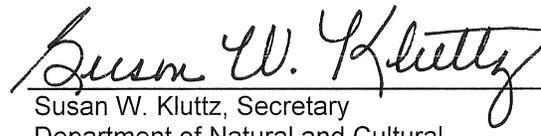

Jimmy Travis, Director
Transportation Program Management Unit


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

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT**

ITEM 50669. CORRESPONDENCE FILE

Records concerning correspondence by and with Transportation Program Management. File includes correspondence with various NCDOT staff and non-NCDOT representatives.

DISPOSITION INSTRUCTIONS: Destroy in office 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 50670. TRANSPORTATION PROGRAM MANAGEMENT FILE

Records concerning operations of the Transportation Program Management Unit. File includes policy directives and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete 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 23457. UNIT HEAD CORRESPONDENCE FILE

Records concerning correspondence between the Director of the Transportation Program Management Unit and other unit heads in the NC Department of Transportation. File includes e-mails and memoranda. File also includes correspondence with division engineers.

DISPOSITION INSTRUCTIONS: Destroy in office 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.

The following item will be discontinued.

ITEM 23456. INTERSTATE PROJECT FILE

Correspondence and descriptive information concerning projects and planning of interstate routes for the period of 1960-1970.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Project Development and Environmental Analysis Unit, Interstate (I) Program File (Item 46156).

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT
BID MONITORING AND DATA ANALYSIS**

ITEM 50671. BID LETTING ANALYSIS REPORTS FILE

Records concerning analyses generated by NCDOT's Bid Analysis and Management System. File includes work papers, bid pattern studies, and other related records. (Comply with confidentiality provisions of G.S. § 136-28.5.)

DISPOSITION INSTRUCTIONS: Destroy in office 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 50672. CASE STUDIES FILE

Records concerning the study of bidding patterns. File includes minutes, record of approval from the Research Executive Committee, annual work program document, and approval letter from the Federal Highway Administration division office. (Comply with confidentiality provisions of G.S. § 136-28.5.)

DISPOSITION INSTRUCTIONS: Destroy in office 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 50673. CERTIFIED ASPHALT PLANTS FILE

Records to be used in bid analysis concerning certified asphalt plants in/near North Carolina. File includes maps and listings.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT
PROGRAMS MANAGEMENT**

ITEM 50674. PROGRAM REPORTING FILE

Records concerning programs overseen by the Programs Management Office. File includes reports for long-term programs or tasks, such as grants and IT projects, and other related records.

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.

ITEM 50675. SPECIAL REPORTS FILE

Records concerning unique initiatives within the Programs Management Office or the Transportation Program Management Unit. File includes one-time reporting for projects, project delivery methods, legislative reporting assigned to TPMU, human resources reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after completion of initiative 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.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT
PROGRAMS MANAGEMENT
AMERICAN RECOVERY AND REINVESTMENT ACT (ARRA) REPORTING OFFICE**

ITEM 50676. ARRA COMPLETED PROJECTS FILE

Records documenting completion of federal stimulus projects. File includes 1586 Initial ARRA Project Plans, audits, correspondence, information for subrecipients, reports from the American Association of State Highway and Transportation Officials (AASHTO) and the Federal Office of Management and Budget (OMB), and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after project completion 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.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT
PROGRAMS MANAGEMENT
LOCAL PROGRAMS MANAGEMENT**

ITEM 16508. AGREEMENTS FILE

Records concerning agreements between DOT and outside entities concerning Transportation Improvement Program (TIP) projects; locally-administered projects; traffic, utilities, maintenance, and division construction projects; and other special agreements. File includes signed agreements, supplemental agreements, correspondence, and documentation of NC Board of Transportation approval.

DISPOSITION INSTRUCTIONS: Retain in office original signed agreements permanently. Destroy in office remaining records 5 years after project completion (final voucher date for federal aid projects) 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 50677. AGREEMENTS WEB APPLICATION FILE

Electronic records concerning agreements between DOT and outside entities. File includes scanned images of signed agreements and comments made during the approval and closing process.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 47643. COMPLIANCE REPORT FILE

Reports used to monitor sponsors of completed enhancement projects to ensure compliance with the terms and conditions in the agreements. File includes questionnaires, sponsors' information, photographs, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after satisfying the terms of the agreement for all projects 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 47468. CORRESPONDENCE FILE

Records in paper and electronic formats concerning responses to inquiries from the general public, legislators, Federal Highway Administration, and other interested parties.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 47536. ENHANCEMENT FUNDING (ELECTRONIC) FILE

Electronic records concerning applications submitted by various communities across North Carolina for federal enhancement funding and awarded enhancement projects. File includes data fields consisting of applications data, demographic information, project descriptions, project locations, amounts of federal awards, notes on status of projects, and other related data. Data is entered into this database from Project Call File (Item 47465) and Project File (Item 47471).

DISPOSITION INSTRUCTIONS: Purge data 3 years after completion of project.

ITEM 47470. GUIDES AND MANUALS FILE

Guides and manuals used to administer the program applicable to federal and state guidelines. File includes project manager's guide, transportation program consultant's manual, federal guidelines, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT
PROGRAMS MANAGEMENT
LOCAL PROGRAMS MANAGEMENT**

ITEM 47465. PROJECT CALL FILE

Records concerning applications submitted by governmental entities for federal enhancement funding. File includes applications, list of awarded projects, Enhancement Advisory Council recommendations, fund allocations, review sheets, evaluations/criteria, and other related records. Data is entered into the Enhancement Funding (Electronic) File (Item 47536).

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after final estimate is paid for all projects 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.

ITEM 47471. PROJECT FILE

Records in paper and electronic formats concerning administration and documentation of awarded locally-administered projects that receive federal and/or state funds. File includes applications, agreements, federal authorizations, right-of-way certifications, final plans, project specifications, engineers' estimates, bid packages, preliminary plans, and other related records. Data is entered into the Enhancement Funding (Electronic) File (Item 47536).

DISPOSITION INSTRUCTIONS: Destroy in office preliminary plans when reference value ends. Destroy in office remaining records 5 years after satisfying the terms of the agreement for all projects 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.

The following item will be discontinued.

ITEM 47469. ENHANCEMENT ADVISORY COUNCIL FILE

Records in paper and electronic formats concerning the selection and function of the Enhancement Advisory Council. File includes conflict of interest statements, W-9 Forms, expense reports, correspondence, names and addresses of council members, and social security numbers. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT
RESEARCH AND DEVELOPMENT**

ITEM 50678. ANNUAL RESEARCH WORK PROGRAM FILE

Records concerning approval from the Annual Research Work Program. File includes minutes, record of approval from the Research Executive Committee, annual work program document, and approval letter from the Federal Highway Administration division office.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after project completion 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 23430. NATIONAL RESEARCH OBLIGATION FILE

Records concerning external funding obligations administered by the Research and Development Unit. File includes invoices for the American Association of State Highway and Transportation Officials (AASHTO) Technical Services, Transportation Research Board, National Cooperative Highway Research Program (NCHRP), Strategic Highway Research Program 2 (SHRP2), and Research Pooled Funds.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after project completion 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 50679. RESEARCH PROGRAM DEVELOPMENT FILE

Records concerning development of the annual research program. File includes research need statements, preliminary and full proposals, evaluations, subcommittee minutes, and notification letters.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after project completion 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 50680. RESEARCH PROJECT FILE

Records concerning the execution of research projects. File includes proposals, authorizations, minutes, reports, correspondence, and reference copies of invoices.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after project completion 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.

The following item will be discontinued.

ITEM 13603. HIGHWAY RESEARCH BOARD FILE

Correspondence concerning Highway Research Board meetings and Information Exchange Bulletins published by the board.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to National Research Obligation File (Item 23430).

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT
SCHEDULE MANAGEMENT**

ITEM 50681. SCHEDULE CHANGE FORMS FILE

Records concerning major milestones established for projects. File includes schedule change forms and electronic approval signatures.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
TRANSPORTATION PROGRAM MANAGEMENT
VALUE MANAGEMENT**

ITEM 50682. VALUE ENGINEERING (VE) STUDY FILE

Records concerning the systematic application of recognized techniques by a multi-disciplined team to identify the function of a product or service. File includes reports, workbooks, selection correspondence, recommendations, and study materials.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after final estimate is paid 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.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
DIRECTOR-PLANNING AND PROGRAMMING
STATEWIDE PLANNING BRANCH
RESEARCH AND DEVELOPMENT**

ITEM 23423. HIGHWAY RESEARCH PROGRAM FILE

Topics proposed to the Transportation Research Board for study. File includes agendas, reports, contracts, publications, and related correspondence.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 37751. 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 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.

