

DEPARTMENT OF TRANSPORTATION
FINANCIAL MANAGEMENT DIVISION
CHIEF FINANCIAL OFFICER

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. 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.

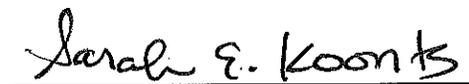
The Department of Transportation and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of Transportation agrees to comply with all policies, standards, and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

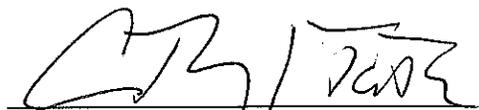
The Department of Transportation agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Mark Foster, Chief Financial Officer
Financial Management Division


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED


Tony Tata, Secretary
Department of Transportation


Susan W. Kluttz, Secretary
Department of Cultural Resources

**DEPARTMENT OF TRANSPORTATION
FINANCIAL MANAGEMENT DIVISION
CHIEF FINANCIAL OFFICER
FUNDS ADMINISTRATION
ENHANCEMENT UNIT**

ITEM 47465. CALL PROCESS 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 Database (Electronic) File (Item 47536).

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

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

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

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

ITEM 47471. PROJECT FILE

Records in paper and electronic formats concerning administration and documentation of awarded enhancement projects. 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 Database (Electronic) File (Item 47536).

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

**DEPARTMENT OF TRANSPORTATION
FINANCIAL MANAGEMENT DIVISION
CHIEF FINANCIAL OFFICER
FUNDS ADMINISTRATION
ENHANCEMENT UNIT**

ITEM 47536. ENHANCEMENT DATABASE (ELECTRONIC) FILE

Electronic records concerning applications submitted by various communities across North Carolina for federal enhancement funding and awarded enhancement projects. Electronic file includes 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 Call Process File (Item 47465) and Project File (Item 47471). (File maintenance and backup procedures conducted by Information Technology Center.)

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

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

**DEPARTMENT OF TRANSPORTATION
FINANCIAL MANAGEMENT DIVISION
CHIEF FINANCIAL OFFICER
PROGRAM DEVELOPMENT BRANCH
FEASIBILITY STUDIES UNIT**

ITEM 47454. FEASIBILITY STUDIES SPECIAL PROJECT FILE

Records in paper and electronic formats concerning special feasibility studies conducted by the unit. File includes cost estimates, preliminary designs, drawings, traffic projections, capacity analysis results, correspondence, and other related records. Data is entered into Projects Database (Electronic) File (Item 47458) and routinely updated.

DISPOSITION INSTRUCTIONS: Function and records transferred to the Division of Highways, Director-Planning and Programming.

ITEM 47455. PRIVATE ENGINEERING FIRMS PRE-QUALIFICATION FILE

Records concerning pre-qualification packages from private engineering firms (PEF's) interested in performing engineering studies for the unit. File includes pre-qualification packages, correspondence, and other related records. Data is entered into the Private Engineering Firms Pre-Qualification Database (Electronic) File (Item 47456) and routinely updated.

DISPOSITION INSTRUCTIONS: Function and records transferred to the Division of Highways, Director-Planning and Programming.

ITEM 47456. PRIVATE ENGINEERING FIRMS PRE-QUALIFICATION DATABASE (ELECTRONIC) FILE

Electronic records concerning requests from private engineering firms to perform engineering studies for the unit. Electronic file includes contract information, determination of qualifications, correspondence, and other related data. Data is entered into this database from Private Engineering Firms Pre-Qualification File (Item 47455). (File maintenance and backup procedures conducted by Information Technology Center.)

DISPOSITION INSTRUCTIONS: Function and records transferred to the Division of Highways, Director-Planning and Programming.

ITEM 47457. PROJECTS FILE

Records in paper and electronic formats concerning unit's recommendations on candidate Transportation Improvement Program (TIP) projects requested by the public, local governments, and/or Board of Transportation. File includes traffic projections, capacity analysis results, cost estimates, preliminary designs, signed copies of final feasibility study reports, correspondence, and other related records. Data is entered into Projects File Database (Electronic) File (Item 47458) and routinely updated.

DISPOSITION INSTRUCTIONS: Function and records transferred to the Division of Highways, Director-Planning and Programming.

ITEM 47458. PROJECTS DATABASE (ELECTRONIC) FILE

Electronic records concerning candidate Transportation Improvement Program (TIP) projects assigned to the unit. Electronic file includes names of assigned personnel, project dates, notes, and other related data tracked during feasibility study process. Data is entered into this database from Projects File (Item 47457) and Feasibility Studies Special Project File (Item 47454). (File maintenance and backup procedures conducted by Information Technology Center.)

DISPOSITION INSTRUCTIONS: Function and records transferred to the Division of Highways, Director-Planning and Programming.