

**DEPARTMENT OF TRANSPORTATION
HUMAN RESOURCES
SAFETY AND RISK 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

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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.

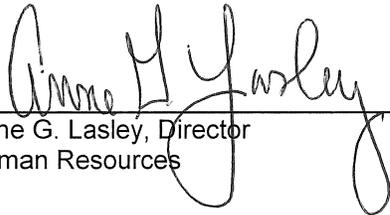
APPROVAL RECOMMENDED



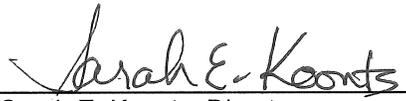
Shelley Blake
Chief Records Officer



Scott Mabry, Director
Safety and Risk Management

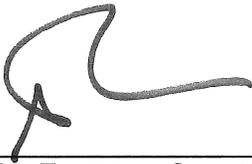


Anne G. Lasley, Director
Human Resources

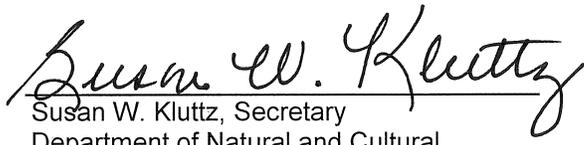


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Nicholas Tennyson, Secretary
Department of Transportation



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

**DEPARTMENT OF TRANSPORTATION
HUMAN RESOURCES
SAFETY AND RISK MANAGEMENT
SAFETY SECTION**

ITEM 2949. CORRESPONDENCE FILE

Correspondence of the Director of Safety and Risk Management. File includes correspondence with officials in the Department of Transportation, North Carolina Department of Labor, North Carolina Industrial Commission, and federal agencies.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 21197. CIVIL PREPAREDNESS FILE

Forms documenting custody and handling of radiological material, licensing requirements and authorized personnel, reports of leakage tests, and related materials. File includes correspondence with the Division of Highways concerning instructors or reference training courses, current emergency evacuation plans, and essential records for emergency operations.

DISPOSITION INSTRUCTIONS: Retain in office radiation and radiological equipment forms permanently. Destroy in office correspondence when reference value ends.

ITEM 21198. EMERGENCY PREPAREDNESS FILE

Correspondence and control plans for civil preparedness, disaster relief, civil preparedness exercises, hurricane on-site assistance, Emergency Highway Traffic Regulations, and other related materials.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 48630. INDUSTRIAL HYGIENE SAMPLING MONITORING DATA FILE

Records concerning industrial hygiene. File includes health hazard exposure assessments, single point sampling, and indoor air quality (IAQ) assessments. File also includes sampling data, raw data printouts, field survey forms, printouts of data files, final reports, and correspondence.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 21204. MINE SAFETY ACT FILE

Correspondence concerning OSHA mine safety inspections and citations in the Division of Highways.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 21212. SAFETY SURVEY FILE

Safety meeting reports, safety committee meetings records, incident investigation reports, and self-inspection and self-audit reports for Division of Highways, Division of Motor Vehicles, and other Department of Transportation units.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**DEPARTMENT OF TRANSPORTATION
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SAFETY AND RISK MANAGEMENT
SECURITY SECTION**

ITEM 48631. OFFICE ACCESS FILE

Records concerning identification documentation for employees. File includes badge request forms and badge history documents.

DISPOSITION INSTRUCTIONS: Destroy in office records not required to support known investigations or litigation when superseded or obsolete. Destroy in office remaining records after 1 year.

ITEM 48632. VISITOR DOCUMENTATION FILE

Records concerning non-employees who participate in meetings on-site. File includes request forms listing participant names and parking assignments.

DISPOSITION INSTRUCTIONS: Destroy in office records not required to support known investigations or litigation after 30 days. Destroy in office remaining records after 1 year.

The following items will be discontinued.

ITEM 21199. EQUIPMENT RENTAL FILE

Computer printouts for each pay period showing equipment rental and fuel issue figures for the Occupational Safety and Emergency Planning Section.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 21200. EXPENDITURES VERSUS BUDGET FILE

Monthly computer printout showing expenditures versus allocated budget of the Occupational Safety and Emergency Planning Section.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 21202. FIRST AID EXAMINATION FILE

Lists of employees who have taken a first aid course and examination.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 21205. NATIONAL SAFETY COUNCIL FILE

Correspondence with the National Safety Council, its Executive Committee and General Chairman, minutes of annual meetings, and correspondence with Southern Regional National field staff members.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 21213. "YOUR SAFETY" BULLETIN WORKING PAPERS FILE

Working papers used in compiling the YOUR SAFETY bulletin.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.