

DEPARTMENT OF TRANSPORTATION
OFFICE OF CHIEF OF OPERATIONS
PROGRAM DEVELOPMENT BRANCH
PROJECT MANAGEMENT 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

PROJECT MANAGEMENT UNIT

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.

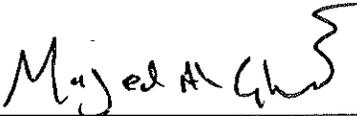
The Department of Transportation and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "administrative/reference 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 office is not authorized by the Department of Cultural Resources to destroy these records.

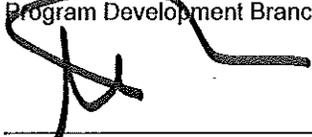
The Department of Transportation and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of Transportation agrees to comply with all policies, standards, and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

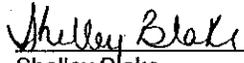
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated 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.

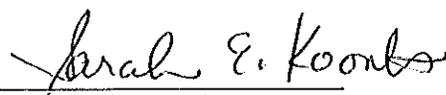
The Department of Transportation agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Majed Al-Ghandour, Assistant Branch Manager
Program Development Branch


Nick Tennyson
Chief Deputy Secretary


Shelley Blake
Chief Records Officer


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED


Anthony Tata, Secretary
Department of Transportation


Susan W. Klutz, Secretary
Department of Cultural Resources

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ITEM 50322. BOARD OF TRANSPORTATION (BOT) DATABASE (ELECTRONIC) FILE

Records in paper and electronic format concerning requests for project funding submitted to North Carolina BOT. File includes funding requests for state, federal, Spot Safety, and NC Mobility projects.

DISPOSITION INSTRUCTIONS: Destroy electronic file in office 10 years after funding decision. Destroy paper file in office after 1 year.

ITEM 50321. RIGHT OF WAY (ROW) AUTHORIZATION LETTER DATABASE (ELECTRONIC) FILE

Records in paper and electronic format concerning the approval of funds for purchasing ROW and relocating utilities. File includes individual project information and the type of ROW action authorized.

DISPOSITION INSTRUCTIONS: Destroy electronic records in office 25 years after project file is closed. Destroy in office paper records 1 year after project file is closed.

ITEM 50324. TENTATIVE LETTING SCHEDULE APPLICATION (TLSA) DATABASE (ELECTRONIC) FILE

Records in electronic format concerning the details of road and bridge projects. File includes project identifier, county of project, project description, cost estimates, environmental permits, utility authorizations, and a list of engineers and project managers involved in the preconstruction phase of the project.

DISPOSITION INSTRUCTIONS: Destroy electronic records in office 10 years after disbursement of project funds.

ITEM 50323. TWELVE MONTH LET LIST DATABASE (ELECTRONIC) FILE

Records in paper and electronic format concerning the status of major road and bridge projects that will centrally let over a twelve month period. File includes documents on the funding status for road and bridge projects entered in the Tentative Letting Schedule Application (TLSA) Database.

DISPOSITION INSTRUCTIONS: Destroy electronic records in office 10 years after disbursement of project funds. Destroy in office paper records after 1 year.

This space left intentionally blank. All items following are Discontinued or Transferred.

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ITEM 25218. ACCRUED UNBILLED COST FILE

Monthly reports submitted by the Project Administrative Officer to the Federal Highway Administration (FHWA) verifying the amount of reimbursable funds committed by the FHWA on all current federal-aid projects. File includes accounting statement-accrued unbilled cost forms with related correspondence or supporting documents.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25219. APPROVED PROGRAM SHEET FILE

Requests for approval of individual project program change with all related correspondence. File is used to verify Federal Highway Administration's approval of changes in allocated funds.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6826. BOARD AGENDA AND MINUTES REFERENCE FILE

Agenda and minutes of Board of Transportation detailing actions brought before the Board such as award of contracts, approval of area wide construction funds, additions and deletions, secondary road plan construction projects, right-of-way ordinances, traffic engineering matters, thoroughfare plans and system changes, equipment purchases, municipal agreements, primary bond funds, urban bond funds, and reimbursable work for other state agencies. File is used for monitoring project expenditures against funds approved by the Board.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6996. BOARD OF TRANSPORTATION FUND DATA FILE

Monthly computer tabulation sheets detailing cost of projects approved by the Board of Transportation at the monthly letting. File is used for monitoring the status of all highway construction funds allocated by the Board to finance individual projects, such as area wide primary construction funds, statewide primary construction funds, area wide urban construction funds, statewide construction funds, secondary road funds, and other highway funds.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25220. CONSTRUCTION PROGRESS AND LOCATION REPORT FILE

Monthly report prepared by Construction Unit showing status of structure and roadway projects. Report lists each project by work order number and includes such data as name of engineer, county, length, type, percentage of completion, contractor, completion date, estimated date of completion, progress, and other related information. File is used for monitoring and verifying status of projects.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25221. CURRENT BILLING MASTER FILE

Computer tabulation sheets listing all federal-aid projects and showing appropriation code, project number, agreement number, state work order number, class fund, federal-aid system number, project designation, program date, program amount authorization date, authorization amount, agreement date, agreement amount, participating percentage, stage, and type project.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25222. CURRENT BILLING VOUCHER FILE

Vouchers for payment of funds submitted to the Federal Highway Administration from the Fiscal Section detailing federal funds expended on federal-aid projects. File is used for posting current status of funds to project status cards and includes voucher for work performed under provisions of the federal-aid and Federal Highway Act and voucher for payment under secondary road plan.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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ITEM 6979. CURRENT FEDERAL-AID WORK ORDERS REFERENCE FILE

Work orders and work order allotments for federal-aid projects only. File is used to verify matching request for authorizations and approval of federal-aid funds for project activities.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25223. FEDERAL-AID FUNCTION MASTER LISTING FILE

Monthly computer tabulation sheets listing of federal-aid billing by functional code for each federal-aid project. Reports show project finance code, project number, work order number, federal number (appropriation project agreement), functional code, identification code, non-participating amount, and participating amount.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6980. FEDERAL-AID PROGRAM FILE

Federal-Aid Program records used for controlling project numbers and for reference to federal-aid project data on current projects, and for projects for which the final voucher has been paid. File includes federal-aid program data and request for program approval and request for approval of individual project program change forms.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25224. FEDERAL AID PROJECTS FILE

Project-related correspondence and reports concerning federal-aid projects. File is used for reviewing departmental cost estimates, for developing program agreements, reporting on the status of federal-aid funds to the Federal Highway Administration, and monitoring the progress of all federal-aid projects.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6817. FEDERAL AND REGIONAL AGENCIES CORRESPONDENCE FILE

Policies and procedures manuals, policy memorandums, reports, studies, and correspondence with federal and regional agencies used for program coordination between the Department of Transportation and federal and regional agencies.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6818. FEDERAL HIGHWAY ADMINISTRATION FILE

Policies and procedures manuals, reports, and other program materials received from Federal Highway Administration (FHWA). File includes correspondence and reports of the manager of the Project Management Unit with FHWA concerning projects involving federal-aid funds. File also includes all instructions, policies and procedures, and circular memorandums issued by FHWA.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6985. INTERSTATE COST ESTIMATES FILE

Interstate cost estimates prepared for the Federal Highway Administration (FHWA) as required by Section 104(b)(5), Title 23, of the United States Code detailing cost of completing interstate and defense highways. Records are used to develop progress schedules and status reports and to coordinate interstate program activities with the FHWA.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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ITEM 25225. MONTHLY CURRENT BILLING FILE

Computer tabulation sheets detailing monthly expenditures for each federal-aid project with a detailed breakdown of reimbursable cost billed the Federal Highway Administration. Reports show appropriation code, project number, agreement number, state work order number, federal system number, class of fund, total cost to date, non-reimbursable cost, reimbursable cost to date, exceptions, net total reimbursable, state share, federal share, previous billing, and current billing.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25226. NON-PARTICIPATING FEDERAL-AID EXPENDITURES FILE

Monthly computer tabulation sheets detailing expenditures for federal-aid projects by functional codes within objective classifications. Reports show appropriation code, project number, agreement number, state work order number, department, functional code, objective code, class of fund, current billing code, amount, journal voucher number, pay period or batch number, source of entry (check or equipment number), units (hours or days of equipment use), parcel number, appraisal amount, and right-of-way code.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6819. OTHER STATE AGENCIES CORRESPONDENCE FILE

Correspondence and reports of the manager of the Project Management Unit with other state agencies concerning proposed highway plans or reporting required by law or interagency agreements.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6981. PRE-1960 FEDERAL-AID PRIMARY AND SECONDARY PROJECT FILE

Correspondence, summary sheets, sketch maps, progress reports, inspection reports, and other project-related data collected on federal-aid projects. File is used for reference to preceding projects when establishing and assigning new project numbers to federal-aid projects.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6982. PROJECT LEDGER FILE

Project ledger listing primary and secondary federal-aid projects authorized, under construction, and completed by state project number and shows county, miles, type, route, description, contractor, date of contract, and date completed. File is used for current and completed federal-aid projects.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6822. PROJECT MANAGEMENT UNIT MANAGER'S CORRESPONDENCE FILE

Correspondence and reports of the manager of the Project Management Unit. File includes correspondence with officials in the Department of Transportation concerning planning, management, and funding of highway projects.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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ITEM 6986. PROJECT REPORTS REFERENCE FILE

Published reports prepared by the Operations Section for the Federal Highway Administration (FHWA) and copies of reports published by the FHWA. Reports are used for compiling information regarding the progress and budgeting of overall federal programs. File includes status of development of the national system of interstate and defense highway forms, monthly computer summaries, project schedules, cost estimates, and other reports on the progress of federal-aid programs.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25227. PROJECT STATUS CARD FILE

Card file of project data and activities used to monitor progress of federal-aid projects, federal-aid vouchers paid, and balance of funds allocated by the Federal Highway Administration. Each card shows county, project number, date agreement executed, estimated cost, date work began, date work completed, date federal-aid voucher paid, amount of payment, total amount paid, and balance of federal payment. Card also shows preliminary engineering cost date, date programmed, total cost, funds required, date appropriated, and date of PS&E (engineer's estimate) submitted.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6983. REQUESTS FOR AUTHORIZATION CORRESPONDENCE FILE

Project administrator's correspondence with the Federal Highway Administration concerning authorization to bid on various project-related activities. Activities include right-of-way acquisitions, surveys, preliminary engineering, utility adjustments, and construction engineering.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25228. RIGHT-OF-WAY CASES PENDING FILE

Monthly reports prepared by the Office of the Attorney General-Highway Section showing pending right-of-way cases. File used for litigation which prevents the payment of the final voucher by the Federal Highway Administration.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 7045. SCRATCH WORK ORDERS FILE

Work orders submitted by division engineers to the Project Management Unit Manager for approval and allocation of federal and state funds and assignment of work order numbers by the Fiscal Section. File is used to prepare record copies of work orders, change work orders, and notice of closing of work orders.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25229. STATUS OF FUNDS FILE

Monthly tabulations prepared by the Administrative Section after each letting, showing balance of all federal-aid funds. Tabulations list projects by state and federal-aid project number and by county. Details include estimated cost, funds requested, and current status of allocated funds for interstate, primary, secondary, and other federally-funded programs.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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ITEM 25230. SUMMARY OF FEDERAL-AID EXCEPTION FILE

Quarterly computer tabulation sheets detailing expenses paid but not billed to the Federal Highway Administration. Tabulation sheets list projects by state work order number and current billing code, and summarizes federal-aid exceptions by categories such as highway planning survey cost, highway planning research cost, right-of-way cost, construction cost, construction engineering cost, totals for each category, and total cost.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 25231. SUPPLEMENTAL FEDERAL-AID INFORMATION FILE

Monthly computer tabulation sheets detailing reimbursable cost billed by type of project activity and amount received from the Federal Highway Administration. Reports show work order number, reimbursable cost and exceptions, non-reimbursable cost, total cost billed, right-of-way cost billed, construction engineering cost billed, construction cost billed, participation by others, state funds, and amount received.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 6993. THOROUGHFARE PLANS REFERENCE FILE

Thoroughfare plans, municipal agreements, and resolutions mutually adopted by the Department of Transportation and cities or towns as directed by G.S. 132.66. Plans establish federal, state, and city streets within urban boundaries approved for construction. File is used for reference in planning funds for proposed projects.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.