

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY
DIRECTOR OF ADMINISTRATION
HIGHWAY RECORDS SECTION

Records Retention and Disposition Schedule

Organizational Name Changes

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects a section name change to Office of the Secretary, Director of Administration, Highway Records Section. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated January 31, 1990. 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

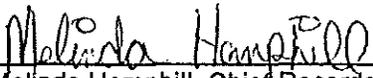
HIGHWAY RECORDS SECTION

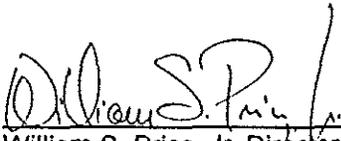
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. Public records including machine readable records not listed in the schedule are not authorized to be destroyed. The

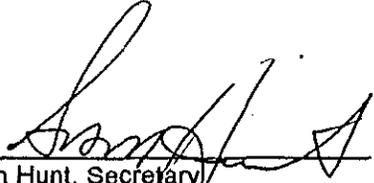
HIGHWAY RECORDS SECTION

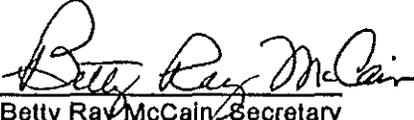
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Melinda Hemphill, Chief Records Officer
Department of Transportation


William S. Price, Jr. Director
Division of Archives and History


Sam Hunt, Secretary
Department of Transportation


Betty Ray McCain, Secretary
Department of Cultural Resources

May 18, 1994

This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.

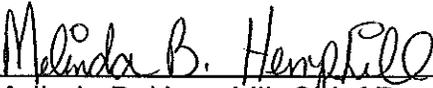
MCC

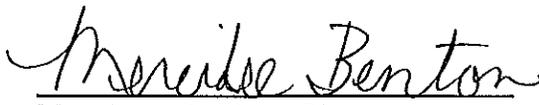
RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

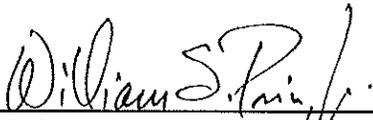
Department of Transportation
Office of the Secretary
Director of Administration
Highway Records Section

Amend the records retention and disposition schedule approved May 18, 1994 by changing the disposition instructions of Item 2953 and Item 2958 as shown on substitute pages dated September 9, 1994.

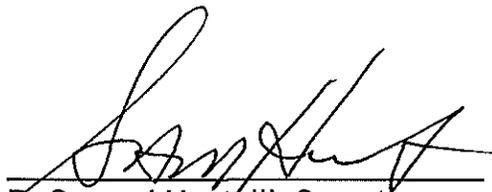
APPROVAL RECOMMENDED


Melinda B. Hemphill, Chief Records Officer
Department of Transportation


Mercidee Benton, Director
Administration


William S. Price, Jr., Director
Division of Archives and History

APPROVED


R. Samuel Hunt, III, Secretary
Department of Transportation


Betty Ray McCain, Secretary
Department of Cultural Resources

September 9, 1994

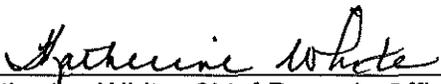
HFH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

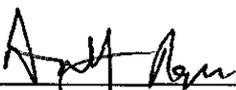
**DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY
DIRECTOR OF ADMINISTRATION
HIGHWAY RECORDS SECTION**

Amend the program records retention and disposition schedule approved June 3, 1994 by the changing the descriptions and disposition instructions for the following items 2952 and 2957, as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

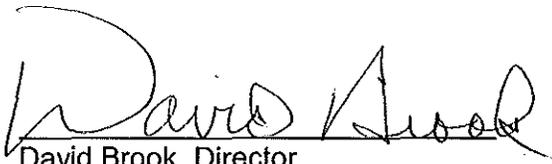
APPROVAL RECOMMENDED



Katherine White, Chief Records Officer
Department of Transportation



Anthony Roper, Director
Administration

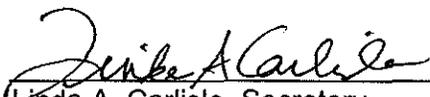


David Brook, Director
Division of Historical Resources

APPROVED



Gene Conti, Secretary
Department of Transportation



Linda A. Carlisle, Secretary
Department of Cultural Resources

October 24, 2011

AWH

**DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY
DIRECTOR OF ADMINISTRATION
HIGHWAY RECORDS SECTION**

ITEM 2952. INACTIVE FEDERAL-AID PROJECTS (REPORTS AND CORRESPONDENCE) FILE.

Records in paper and electronic formats, including e-mail, of project reports required by PPM-30-9, "Recordkeeping Requirements for Federal-Aid Highway Departments." File includes Daily Reports of Bituminous Roadway Inspectors, Reports of Materials Received, Daily Concrete Inspectors' Reports, and correspondence. Amended 10-24-2011

DISPOSITION INSTRUCTIONS: Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office electronic version of remaining records when reference value ends. Transfer paper records to the State Records Center after final voucher payment by the Federal Highway Administration (FHWA). Records will be held for agency in the State Records Center 3 additional years and then destroyed. Records currently held for agency in the State Records Center as of 10/24/2011 will be destroyed 3 years from date received.

ITEM 2953. INACTIVE FEDERAL-AID PROJECTS FILE.

Project-related correspondence required by PPM-30-9, "Recordkeeping Requirements for Federal-Aid Highway Departments." File includes Federal Highway Administration (FHWA) work orders, contracts, contract correspondence, contractors' claims, consultants' agreements, project correspondence, payment estimates (monthly and final), public hearings records, contractors' insurance information, and departmental correspondence. Amended 9-9-94

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after final voucher payment is received from the Federal Highway Administration (FHWA). Records will be held for agency in the State Records Center 5 additional years and then destroyed provided written permission has been received from FHWA. Destroy records currently stored in the State Records Center 5 years from date received.

ITEM 2956. CONTRACTORS' PAYROLL (FEDERAL-AID PROJECTS) FILE.

Contractors' payroll submitted as required weekly by the contractor to the Construction Unit with copies to the Resident Engineer. File includes payroll or contractors' own payroll forms with State of Compliance as required by the U.S. Department of Labor. (Records are used for verifying partial payment to the contractor.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when project is closed by the Construction Unit. Records will be held for agency in the State Records Center 3 additional years after affiliation of final voucher payment by the Federal Highway Administration and then destroyed.

ITEM 2957. INACTIVE STATE PROJECTS (REPORTS AND CORRESPONDENCE) FILE.

Project-related correspondence and reports documenting state projects involving no federal funds. File includes contracts; contract, project, and departmental correspondence; contractors' claims; work orders; consultants' agreements; agreements; and information concerning public hearings and contractors' insurance. Amended 10-24-2011

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after notification of final estimate payment. Records will be held for agency in the State Records Center 3 additional years and then destroyed. Records currently held for agency in the State Records Center as of 10/24/2011 will be destroyed 3 years from date received.

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ITEM 2958. INACTIVE STATE PROJECTS (FINAL ESTIMATE PAYMENTS) FILE.

Records concerning monthly and final estimate payments of inactive state projects involving no federal funds. Amended 9-9-94

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after final voucher payment is received from the Federal Highway Administration (FHWA). Records will be held for agency in the State Records Center 5 additional years and then destroyed provided written permission has been received from FHWA. Destroy records currently stored in the State Records Center 5 years from date received.

ITEM 2959. FIELD BOOKS (SECONDARY ROAD PROJECTS) FILE.

Resident engineer's diaries, pay record books, and engineering field data books detailing the construction of a secondary road project.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency in the State Records Center 10 additional years and then destroyed.

ITEM 28779. ACTIVE PROJECTS (FEDERAL AND STATE) FILE.

Official federal and state project records. File includes planning reports, Federal Highway Administration work orders, agreements (municipal, engineering, and railroad), information concerning public hearings, general and bridge correspondence, consultants' reports, contract administration, estimates (monthly and final), contractors' claims, and permits.

DISPOSITION INSTRUCTIONS: Transfer to Inactive Files Section upon receipt of closing of work order notice to be incorporated into Inactive Federal-Aid Projects File or Inactive State Projects File, whichever is appropriate.

ITEM 28780. AS-BUILT PLANS (SECONDARY ROAD PROJECTS) FILE.

Original as-built plans detailing and documenting as-constructed design, construction changes, and specifications.

DISPOSITION INSTRUCTIONS: Transfer to the Reproduction Section for microfilming after final estimate payment to the contractor.

ITEM 28781. CONSTRUCTION CORRESPONDENCE FILE.

Copies of correspondence written by highway officials which concern the overall management of construction work and is not assigned a specific project number. File includes records regarding all areas of administration, supervision, and coordination of project activities.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 28782. CONTRACTORS' FINANCIAL STATEMENTS (FEDERAL-AID PROJECTS) FILE.

Contractors' financial statements and experience questionnaires required annually by the Department of Transportation in order for a contractor to prequalify to bid on construction projects let to contract. File includes financial statements, experience questionnaires with list of contractors' equipment attached, and related correspondence concerning contractors' qualifications.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 28783. CONTRACTORS' NON-ACCEPTED PROPOSALS FILE.

Contractors' proposals submitted by the second lowest bidder on a project received from Roadway Design, Proposals and Contract Section. (Proposal is used if second lowest bidder is contracted at a later date. Proposals not accepted are not required to be kept by the Federal Highway Administration after the completion of a project.)

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after project is let to contract.

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ITEM 28784. COUNTY CORRESPONDENCE FILE.

Intra-agency correspondence and reports concerning construction and maintenance of county roads which have not been assigned a project number. (No federal funds are involved in the maintenance of the county road system and therefore no federal requirements govern the disposition of these records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 28785. LOAD TICKETS (SECONDARY ROAD PROJECTS) FILE.

Receipts for materials (stone, asphalt, and other materials) delivered to a project site. (Copies of load tickets are retained as supporting documents for the final estimate payment.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency in the State Records Center 1 additional year and then destroyed.

ITEM 28786. NON-PROJECT RELATED AGREEMENTS FILE.

Non-project related agreements between the Department of Transportation and industry, municipalities, railroad companies, utility companies, and other state agencies. File includes records concerning property owned by the Department of Transportation used for industrial crossings, railroad or utility purposes, or facilities of other state agencies.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 28787. PROJECT DOCUMENTATION SUMMARY FILE.

Copies of project documentation summary sheets. Information includes state project number, federal-aid project number, county, type of contract, letting date, final estimate date, work order closing date, final voucher date, description of project, name of contractor, claim data, date claim settled, type of document, date copies sent to division office, related work order numbers, State Records Center box number, and date transferred.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 28789. SECONDARY ROADS CONSTRUCTION PROJECT FILE.

Project-related correspondence and reports documenting secondary road construction projects. File includes contracts; contract, project, and departmental correspondence; work orders; payment estimates; agreements; information concerning public hearings; and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 3 years after final estimate payment to the contractor. Records will be held for agency in the State Records Center 10 additional years and then destroyed.