

10. Infrastructure Management

The function of Infrastructure Management involves the construction of public buildings, roads, and other public works. In North Carolina, this work is largely overseen by the Departments of Administration and Transportation. The State Parks also handle the construction and maintenance of infrastructure on their properties.

General planning records and reports not related to specific construction projects are under AGENCY MANAGEMENT. Facilities management records that are not tied to federal funding programs are under ASSET MANAGEMENT. For grant funds that pass through a state agency, see FINANCIAL MANAGEMENT. For traffic ordinances, deeds, right-of-way claims, encroachments, and other agreements, see LEGAL. For asbestos management plans, see RISK MANAGEMENT.

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Some Infrastructure Management records assess environmental impacts of construction projects, such as National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records (RC No. 1026), and therefore, are archival. Many Infrastructure Management records, such as State Transportation Projects (RC No. 1015) are project-based and can be destroyed a set number of years after completion of the project. For this reason, these records should be assigned unique identifiers, so that all related records can be identified and arranged according to the closing date for the project.

10.1 Construction Management


DEFINED: Activities related to the construction of public buildings, roads, and other public works.

SEE ALSO: As-built drawings and blueprints for facilities that are used by state agencies but not state-owned are under ASSET MANAGEMENT, as are maintenance records.


10.1

RC No.	Record Types	Description	Disposition Instructions	Citation
1011.P 	As-Built Drawings	as-built drawings collected by the Department of Administration for state-owned facilities; includes electrical wiring diagrams	PERMANENT ©	<u>Confidentiality</u> G.S. § 132.1-7
1012.100	Construction Records	records concerning repairs, additions, and construction of buildings overseen by the Department of Administration; includes budget requirements, costs, architect's and engineer's inspection reports, energy-related data, change orders, specifications with construction contracts, and other related records	RETAIN UNTIL: Complete PLUS: 100 years Ω THEN: Destroy	
1012.S		records concerning repairs, additions, and construction of buildings and other public works that are <i>not</i> overseen by the State Construction Office	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
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RC No.	Record Types	Description	Disposition Instructions	Citation
1013.3 	Federal-Aid Transportation Projects	records concerning roadway, rail, and structure construction and maintenance projects managed by the Department of Transportation; includes contracts (as well as supplemental agreements and subcontract approval forms), design plans, contractor claims, construction site reviews, field books, diaries, permit audit reports, safety-related audits, value engineering studies, geoenvironmental investigation, geotechnical operations records, roadway/structure/waste/borrow/utilities submittals, certified payroll reports, FAP-1 Reports, wage rate interview forms, Form 1391, inspector daily reports, special provisions, construction revisions, construction contract payment data, correspondence, and other related records	RETAIN UNTIL: Final voucher pay date PLUS: 3 years Ω THEN: Destroy	Confidentiality G.S. § 136.28.5
1014.10	Mitigation Site Records (continued on following page)	records created by the Department of Transportation concerning on-site or off-site mitigation sites that require post-construction monitoring; includes permits, assessments, maps, field notes, photographs, and other related records	RETAIN UNTIL: Monitoring complete PLUS: 10 years Ω THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
1014.10	Mitigation Site Records (cont.)	records created by the Department of Transportation concerning project sites that do not require post-construction monitoring; includes permits, assessments, maps, field notes, photographs, and other related records	RETAIN UNTIL: Project complete PLUS: 10 years Ω THEN: Destroy	
1015.3 	State Transportation Projects	records concerning roadway, rail, and structure construction and maintenance projects managed by the Department of Transportation; includes contracts (as well as supplemental agreements and subcontract approval forms), design plans, contractor claims, construction site reviews, field books, diaries, permit audit reports, safety-related audits, value engineering studies, geoenvironmental investigation, geotechnical operations records, roadway/structure/waste/borrow/utilities submittals, certified payroll reports, FAP-1 Reports, wage rate interview forms, Form 1391, inspector daily reports, special provisions, construction revisions, construction contract payment data, correspondence, and other related records	RETAIN UNTIL: Payment of final estimate PLUS: 3 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 136.28.5
1015.<	(continued on following page)	load tickets submitted to the Department of Transportation as supporting documents for final estimates	RETAIN UNTIL: Payment of final estimate PLUS: 90 days THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
1015.1	State Transportation Projects (cont.)	project work books containing general project information for the Department of Transportation	RETAIN UNTIL: Payment of final estimate PLUS: 1 year THEN: Destroy	

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10.2 Design and Planning

DEFINED: Activities related to the design of public buildings and other public works.

SEE ALSO: For preconstruction project records for transportation projects, see Construction Management. Environmental impact statements and certifications for laboratories, plants, and technicians are covered under MONITORING AND COMPLIANCE. Due diligence investigations of potential contractors and engineering firms are also covered under MONITORING AND COMPLIANCE. Surplus property that belongs to a state agency is tracked under ASSET MANAGEMENT.

10.2

RC No.	Record Types	Description	Disposition Instructions	Citation
1021.A	Aviation Planning Records	records compiled by the Department of Transportation concerning aviation studies for NC airports; also includes planning and development records for private and public airports	PERMANENT ∞	
1022.S	Design Plans SEE ALSO: As-Built Drawings	includes let plans used for bidding, mix designs for construction materials, and planimetrics	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1023.3	Dropped Projects Records	records concerning projects that were canceled prior to completion or requested projects that were not undertaken; also includes projects that have either been deferred or deleted by the Department of Transportation	RETAIN UNTIL: Canceled/Rejected PLUS: 3 years THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
1024.P	House Moving Records	records of the Department of Transportation concerning state- and federal-aid projects involving the relocation of dwellings; includes proposals and contracts, powers of attorney, contract bonds, owners' releases, bid procedures and correspondence, pay orders, move procedures, contract insurance, and payments	PERMANENT	
1025.3	Materials Testing Records	records produced by the Department of Transportation; includes field inspection reports, sample information, and test results	RETAIN UNTIL: Closing of work order PLUS: 3 years THEN: Destroy	
1026.P	National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records	records concerning historical Department of Transportation projects or those with a wide-ranging impact; includes public hearing transcripts, environmental impact studies (including categorical exclusions), technical reports, environmental permits, environmental evaluations, and supporting maps and images	PERMANENT (appraisal required) ∞	
1026.3		records concerning routine Department of Transportation projects	RETAIN UNTIL: Final voucher pay date PLUS: 3 years THEN: Destroy	
1027.10	Photogrammetric Project Records (continued on following page)	records produced by the Department of Transportation in support of transportation projects; includes construction earthwork computations	RETAIN UNTIL: Project delivery PLUS: 10 years THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
1027.15	Photogrammetric Project Records (cont.)	preconstruction mapping by the Department of Transportation	RETAIN UNTIL: Project delivery PLUS: 15 years THEN: Destroy	
1027.<		raw data associated with sensor collection by the Department of Transportation; includes imagery data as well as positioning and orientation data	RETAIN UNTIL: Flight complete PLUS: 6 months THEN: Destroy	
1027.P		imagery and associated textual data collected by the Department of Transportation	PERMANENT	
1028.3	Preconstruction Project Records SEE ALSO: Transportation Projects	records concerning construction planning for projects other than roads or transportation infrastructure; includes technical records regarding drainage requirements, erosion and sedimentation control analyses, documents used to establish the location of corridors and limits of rights-of-way	RETAIN UNTIL: Closing of work order PLUS: 3 years THEN: Destroy	
1029.P	Surplus Property Records SEE ALSO: Inventory Management Records	records collected by the Department of Transportation concerning the appraisal and acquisition of surplus property acquired in the purchasing of right-of-way parcels; also includes correspondence and reports regarding relocation assistance offered property owners	PERMANENT	
10210.S	Surveys and Maps	surveys and other maps used for facility design and land acquisition; also includes maps of state-owned corridors, infrastructure, and properties	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
10211.P	Utilities Tip Projects Records	records collected by the Department of Transportation concerning the removal or relocation of utility facilities that conflict with highway construction or improvement; includes reports, requests for authorization, pole data sheets, estimated costs, utility relocation agreements and plans, and correspondence	PERMANENT	

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10.3 Transportation Management and Safety


DEFINED: Activities related to the management of the state’s transportation infrastructure, including efforts to improve safety.

SEE ALSO: License plate data captured automatically for law enforcement purposes and collision reports are under LAW ENFORCEMENT. Permits issued by the Department of Transportation (e.g., driver’s license) as well as inspections carried out for evaluating compliance are under MONITORING AND COMPLIANCE.



10.3

RC No.	Record Types	Description	Disposition Instructions	Citation
1031.P	Designations Records	records maintained by the Department of Transportation concerning scenic byways and honorary designations for state roads/bridges/ferries; includes approved application forms, maps, photographs, and other related records	PERMANENT	
1031.3		rejected applications and other related records	RETAIN UNTIL: Rejected PLUS: 3 years THEN: Destroy	
1032.5	Dredge Reports	data fields maintained by the Department of Transportation consisting of names of projects, dates of projects, number of hours worked, lost time, number of tonnage, and other related data	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
1033.<	Incident Management Assistance Records SEE ALSO: Collision Reports	includes dispatch information, activity logs, wrecker authorizations, and other related records within the Department of Transportation	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy	
1034.4	Infrastructure Maintenance Records	includes roadside maintenance as well as road and rail repairs overseen by the Department of Transportation	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
1035.3	Inspection Records	records concerning post-construction inspections conducted to assess the integrity of infrastructure	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	
1035.A		records concerning special structures owned by other state agencies and inspected by the Department of Transportation	PERMANENT ∞	
1036.P	Inventories	records required by the U.S. Department of Transportation; includes infrastructure assets such as railroad crossings, tunnels, and bridges; file also includes digital images	PERMANENT	<u>Authority</u> 23 USC 144 (b) 23 CFR 650.315
1037.<	Litter Reports	include reports of littering and formal notifications by the Department of Transportation to motorists who litter	RETAIN UNTIL: Notification THEN: Destroy	
1038.3	Safety Investigation Records	records maintained by the Department of Transportation; includes crash reports and other records evaluating cost-benefit of warning devices and other proposed improvements to roads and railroads; also includes requests for speed limits, signs, signals, and route changes	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	
1039.< 	Traffic Cameras and Radio Frequency (RF) Readers SEE ALSO: Automatic License Plate Reader System	records collected by the Department of Transportation; includes pictures of license plates, RF data, and footage of major thoroughfares	RETAIN UNTIL: Created PLUS: 30 days THEN: Destroy	<u>Confidentiality</u> G.S. § 136.89-213(a1)
10310.S	Traffic Information	records distributed by the Department of Transportation via 511 Information Line	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
10311.3	Traffic Recorder Counts	forms collected by the Department of Transportation showing time, county, station number, location, month, readings, count/estimate, and remarks	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
10312.6 	Traffic Safety Project Records	records maintained by the Department of Transportation concerning traffic safety studies such as hazard elimination projects, safety evaluations, crash analyses, and traffic engineering accident analyses; includes project concepts, justification reports, funding requests and authorizations, correspondence, and other related records	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	<u>Confidentiality</u> 18 USC § 2721 G.S. § 20-43.1
10313.3	Transportation Mobility and Safety Project Records	records of the Department of Transportation concerning projects for signs, sign materials, pavement markings, signals, and geometric designs; includes specifications and drawings, correspondence, cost estimates, certificates of conformance, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
10314.2 	United States Coast Guard (USCG) Deck and Engineer's Logs	records maintained by the Department of Transportation concerning the operation of state-owned ferries; includes captain's records of daily activity, traffic transported, number of trips, incidents, and other related records; also includes engineer's information about start ups, shut downs, and gauge readings	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy*	<u>Confidentiality/Retention</u> 33 CFR 104.235

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Records That Will Transfer to the State Records Center

Appendix

1011.P As-Built Drawings: Transfer paper records to the State Records Center 2 years after completion of project to be microfilmed for permanent security storage. Paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in security storage at the State Records Center. A duplicate copy of the microfilm will be purchased and retained permanently by the agency.

Agency	Series Title	Item Number
Department of Administration	As-Built Drawings File	34

1012.100 Construction Records: Transfer to the State Records Center 2 years after completion (or closing) of project. Records will be held for agency 98 additional years and then destroyed.


Agency	Series Title	Item Number
Department of Administration	Correspondence File	35

1013.3 Federal-Aid Transportation Projects: Transfer to the State Records Center after final voucher payment is received from the Federal Highway Administration. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Transportation	Field Books (Federal-Aid Projects) File	3121
	Inactive Federal-Aid Projects (Reports and Correspondence) File	2952
	Load Tickets (Federal-Aid Projects) File	3119



The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

 Indicates records are electronic and will transfer immediately to the custody of the State Archives

1014.10 Mitigation Site Records: Transfer to the State Records Center records concerning projects requiring monitoring 5 years after completion of monitoring. Transfer to the State Records Center records concerning projects that do not require monitoring 5 years after project is constructed and accepted. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Transportation	Active Mitigation Projects File	50729
	Active Projects File	50730


1015.3 State Transportation Projects: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Transportation	Field Books (State Projects) File	3120
	Inactive State Projects (Reports and Correspondence) File	2957
	Load Tickets (State Projects) File	3118











1021.A Aviation Planning Records: Transfer to the State Records Center when superseded or when airport closes. Records will be held for agency 5 additional years and then transferred to the custody of the Archives.

Agency	Series Title	Item Number
Department of Transportation	Airports Planning and Development History File	16410
	Division of Aviation Master Plan File	16405
	North Carolina State Aviation System Planning File	16404


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 Indicates records are electronic and will transfer immediately to the custody of the State Archives

1026.P National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records: Transfer environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Transportation	Bridge Replacement (B) Program File	46151 
	Enhancement (E) Program File	46152 
	Ferry (F) Program File	46154 
	Highway Hazard and Safety (W) Program File	46155 
	Interstate (I) Program File	46156 
	Landscape (K and L) Program File	46157 
	Passenger Rail (P) Program File	46158 
	Railway/Highway Crossing (Y and Z) Program File	46159 
	Rural and Special (R, A, and X) Program File	46160 
	Urban (U) Program File	46162 

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 Indicates records are electronic and will transfer immediately to the custody of the State Archives

1035.A Inspection Records: Transfer to the State Records Center 2 years after bridge is taken out of service. Records will be held for agency 5 additional years and then transferred to the custody of the Archives.


Agency	Series Title	Item Number
Department of Transportation	Special Structures File	25064

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