



DEPARTMENT OF EDUCATION
 Division of Libraries, Archives & Museums
 Archives and Records Management
 Services
 141 Willoughby Avenue
 Juneau, AK 99801-1720
 465-2276 Voice; 465-2465 Fax

Schedule Number: 254000

Agency Id: 0539

STATE OF ALASKA

RECORDS RETENTION SCHEDULE

Page 1 of 5

DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES	A - After Audit	AR - Archivist's Review	Numerals - Years in addition to current year TO - Term of office
DESIGN AND CONSTRUCTION	CY - Current Year	M - After Microfilming	
REGIONAL OFFICES	P - Permanent		

See General Administrative Records Schedule located in the *Records Management Manual* for records not listed below. Unless otherwise noted, all records are retained on a **Fiscal** year basis.

All records have potential permanent legal and historical value and may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

This records schedule is for all Design and Construction Regional Offices and supercedes all other regional office schedules.

Original records that are microfilmed may be disposed after the film is certified "true and correct." Retention lengths must be followed, however, regardless of the the media utilized.

General Note: The Northern Region may use their own long-term records storage facilities in lieu of Records Center storage.

Pursuant to the provisions of AS 40.21, the records listed below are approved for retention and disposition as indicated.

Typed Name Division Director Mal Linthwaite, Director of Engineering & Operations/Deputy Chief Engineer	State Archivist <i>John Stewart</i>	Date 4/24/95	Attorney General <i>B. Stetson</i>	Date 4/11/95
Signature of Division Director <i>Mal Linthwaite</i>	Date 4/5/95	Records Analyst <i>Dean Dawson</i>	Date 4/4/95	Commissioner of Administration <i>Ronald Wainwright / Mark Boyer</i>

Item No.	Record Series Title and Description	Retention		Disposition		Vital Record	Remarks
		Office	Records Center	Archive	Destroy		
1.	Director's Correspondence and Subject Files: Correspondence and information relating to D&C policies and activities. Arranged alphabetically by subject.	3			3		Approximate annual accrual rate is 1 cubic foot.
2.	Director's Reading Files: Copies of outgoing letters and memoranda from the Director, arranged by date of correspondence.	2		P			
3.	Section/Office Correspondence and Subject Files: Correspondence and information relating to section and/or office activities, arranged alphabetically by subject.	3			3		
4.	Section/Office Reading Files: Copies of outgoing letters and memoranda from sections and offices, arranged by date of correspondence.	2			2		
5.	Contract Administration Files: Documentation of solicitation, selection, award, and administration of contracts and professional services agreements. Also includes agreements between local governments and DOTPF for design, construction, or maintenance of facilities (Transfer of Responsibility/Grant Files). Arranged by State project number or alphabetically by vendor.	C+3	3		C+6	X	
6.	Project Control (Funding) Files: Documents project funding/Project Development Authorizations (PDA). Arranged by state project number.	C+3			C+3	X	

C = Until administrative closure of project (submittal of final billing to federal agency on Fed.-Aid projects). Files of historical significance should be transferred to Archives rather than destroyed - see Item 8.

C = Until PDA cutoff date.

Item No.	Record Series Title and Description	Retention		Disposition		Vital Record	Remarks
		Office	Records Center	Archive	Destroy		
7.	Capital Project Files: Environmental, Design, Construction, and Review files for highway, aviation, harbor and building projects. Arranged numerically by state project number or alphabetically by project location.	C+3			C+3		C = Until administrative closure of project (submittal of final billing to federal agency on Fed.-Aid projects). See items 5 and 8-11 for additional retention of some file contents.
8.	Capital Project Files of Historical Significance: These may include the Reconnaissance/Locations/Design Study Report, Materials Report, Environmental Assessment/Impact Statement, Construction Contract, change orders and agreements, designer's notebook, engineers' diaries, photos and motion pictures, final construction report, or other materials.	C+3		P			Contained in project files (item 7) until C+3. The Design and Construction Divisions, with guidance from the State Archivist, will determine which files have permanent historical significance. See attached Archival Appraisal Guidelines. Approximate annual accrual rate is 5 cubic feet.
9.	Project Aerial Photos: Includes prints and negatives. Arranged numerically by route and thereunder alphabetically by location.	C		P			C = Until facility is rebuilt, replaced, or destroyed. Contained in project files (item 7) until C+3. Approximate annual accrual rate is 1 cubic foot.
10.	Project As-built plans: Mylars, bluelines, and aperture cards. Arranged numerically by route and thereunder alphabetically by location.	C		P		X	C = Until facility is rebuilt, replaced, or destroyed. Approximate annual accrual rate is 1 cubic foot.
11.	Control and Topographic Survey Field Books and Diaries: Original, on-site field notes and calculations made during control and topographic surveys. Arranged numerically by state project number.	P				X	Contained in project files (item 7) until C+3; thereafter in Right-of-Way core files (item 13).

Item No.	Record Series Title and Description	Retention		Disposition		Vital Record	Remarks
		Office	Records Center	Archive	Destroy		
12.	Right-of-Way Project Files: Documentation of land acquisition and disposition, including negotiated purchases, condemnations, and relocations. Arranged by project number.	C+3			C+3		C = Until administrative closure of project (submittal of final billing to federal agency on Fed-Aid projects). See item 13 for retention of core file elements.
13.	Right-of-Way Project Core Files: ROW plans, property deeds, survey field books, and other documents evidentiary to property boundaries and ownership.	P				X	
14.	Technical Services Review Case Files: Documentation of review of projects for compliance with barrier free, building, and other codes, including review of other agency projects.	C+3	3		C+6		C = Until administrative closure of project (submittal of final billing to federal agency on Fed-Aid projects).
15.	Road Photo Logs: Photographic and/or video logs documenting road routes and conditions, arranged numerically by route and thereunder numerically by milepost location.	C			C		C = Until superseded.
17.	Utility Permits and Change Orders: Permits to move or alter utilities (e.g. telephone poles) on DOTPF Rights-of-Way, and change orders modifying such permits. Arranged alphabetically by name of requestor, and thereunder by permit number.	C			C		C = Until permit is revoked or canceled.

**DOT&PF DESIGN AND CONSTRUCTION
ARCHIVAL APPRAISAL GUIDELINES
FOR DETERMINING HISTORICAL SIGNIFICANCE OF
CAPITAL PROJECT FILES**

Appraisal checklist. A *yes* answer indicates the file may have archival value. For each *yes* answer consider (a) in what way and; (b) to what extent the answer is *yes*.

Yes No

Evidential Values:

- | | | | |
|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Does the file describe significant policies, regulations or procedures followed by D&C or one of its major programs? |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Does the file reflect the degree of achievement of the goals of D&C or one of its major programs? |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Does the file document a significant agency project? |

Informational Values:

- | | | | |
|--------------------------|--------------------------|----|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Does the file give significant information about social, economic, political or other forces affecting a significant segment of the citizens? |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Does the file document the nature and extent of a problem area faced by citizens or show steps taken to solve these problems? |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Does the file document a significant trend or movement in the State? |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Does the file document a significant event? |

General Questions: Answer only if there is a yes answer above.

- | | | | |
|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 8. | Is this file the best available source for this information? |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. | Is the information contemporary and authoritative? |

Contemporary, authoritative sources of information with evidential or informational values as indicated above should be transferred to the State Archives after the period shown on the Records Retention Schedule. If in doubt, contact the Archives and Records Management Services.