



## ALABAMA DEPARTMENT OF TRANSPORTATION

1409 Coliseum Boulevard, Montgomery, Alabama 36110

### Bureau of Materials and Tests

3700 Fairground Road, Montgomery, Alabama 36110

Phone (334)206-2200 FAX (334)264-6263



*Robert Bentley*  
Governor

*John R. Cooper*  
Transportation Director

February 9, 2012

Ms. Melissa Waters  
SEIMB 11<sup>th</sup> Floor  
U.S. Environmental Protection Agency  
61 Forsyth Street, S.W.  
Atlanta, GA 30303

**RE: November 14, 2011 Request for Information  
Capitol City Plume Superfund Site  
Montgomery, Alabama**

Dear Ms. Waters:

On behalf of the Alabama Department of Transportation I am responding to your letter of November 14, 2011 regarding the "Capitol City Plume" ("CCP"), and Environmental Protection Agency ("EPA") proposed Superfund Site located within the city limits of Montgomery, Alabama. You are inquiring of activities of the Alabama Highway Department ("AHD"), now known as the Alabama Department of Transportation ("ALDOT") which may have occurred at its former office located at 501 Washington Avenue, which is within the present delineation of the CCP. As a result of your inquiry ALDOT has researched and gathered information relevant to the questions attached to your letter. ALDOT employees Lyndi Blackburn and Gary Brunson have assisted me as well as the ALDOT Legal Bureau. During the course of our review, I interviewed twenty-three (23) former employees who worked for ALDOT during the period of time from 1948 through 2011. ALDOT's offices were located at 501 Washington Avenue from 1937-1964. A list of the former employees is shown on Attachment 1. The ALDOT Washington Avenue location housed primarily the administrative, engineering and support staff.

As you may be aware, in order to determine the quality, quantity and suitability of materials used on road construction projects and confirm the materials meet the terms of the contract specifications, standard test methodologies and Federal Highway Administration requirements, ALDOT tested certain materials including asphalt. During



10877000

the 1937-64 timeframe the overwhelming majority of testing was performed at a free-standing location on High Street in downtown Montgomery, which is several blocks from the Washington Avenue office and not within the boundaries of the CCP.

The Washington Avenue location contained a "laboratory" in the basement. Our investigation reveals that no asphalt extraction testing occurred in the laboratory and, during the 1937-64 timeframe, ALDOT performed minimal asphalt extraction testing. In addition, ALDOT learned that carbon tetrachloride was used to perform the asphalt testing – not any of the chemicals listed in your November 14, 2011 letter.

Our review discovered that carbon tetrachloride was purchased in 55 gallon drums and stored in the basement laboratory for some period of time between 1937 and 1964. No documentation exists for this timeframe illustrating the quantity or frequency of carbon tetrachloride purchased. We have learned that the material was dispensed to ALDOT inspectors to perform field asphalt tests at various asphalt plants. The material, dispensed in 5 gallon containers, was used and disposed of at the asphalt plant sites. There were no federal or state environmental or OSHA statutes or regulations either governing or permitting the disposal of carbon tetrachloride or other volatile organic compounds during the 1937-64 timeframe.

In 1964, the ALDOT relocated its laboratories. The testing of asphalt was performed at a new laboratory on Fairground Road, several miles from the Washington Avenue location. Later the Fairground Road complex became the location of the current ALDOT offices.

One interviewee thought that trichloroethene (TCE) may have been used at the Washington Avenue location, but ALDOT has been unable to corroborate this statement. In fact, some of the other interviewees clearly recalled that TCE was not used to test asphalt until the laboratory moved to its Fairground Road location.

As you are aware, ALDOT has been involved in managing and monitoring a TCE Plume in and around our current offices located on Coliseum Boulevard. This Plume is referred to as the Coliseum Boulevard Plume ("CBP"). The Plume contains TCE which was used by ALDOT from 1964 to the mid 1980's in asphalt extraction test. All disposal at this location was performed in accordance with the manufacturer's recommendations. The TCE escaped from leaking sewer pipes and from being poured on the ground to evaporate. Eventually the TCE migrated into the groundwater in and around the ALDOT Office Complex. ALDOT management, monitoring and remediation work has been authorized and monitored by the Alabama Department of Environmental Management with EPA oversight. All work plans, status reports and

corrective measures implementation plans have been sent to Mr. Ralph Howard of the EPA. You may access the information at the following website:

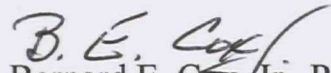
[www.coliseumboulevardplume.com](http://www.coliseumboulevardplume.com)

Our review leads ALDOT to conclude the occupancy of the Washington Avenue office and ALDOT's work therein did not contribute to or play any role in the formation of the CCP. Based on information supplied to us during the interview process, no leaks, spills, discharges or releases to the environment, storm or sanitary sewers, subservice disposal systems or drains occurred inside or adjacent to the Washington Avenue location during ALDOT's occupancy of the building. It was reported that carbon tetrachloride was stored in the laboratory at the Washington Avenue location but we found no evidence that either carbon tetrachloride or any of the chemicals listed in your letter were used for testing at the 501 Washington Avenue location.

Attached you will find an email and a copy of the both the current and former document retention policy. Additionally, our Legal Bureau attempted to locate a lease for the Washington Avenue facility by contacting several state agencies. No lease was found for the facility at 501 Washington Avenue.

I trust this information sufficiently answers your inquiry. If you have additional questions, please contact me.

Sincerely,



Bernard E. Cox, Jr., P.E.  
Materials and Tests Engineer

Attachments

BEC/JR Jr./lbw

## ALDOT Employees

---

1. Doug Eiland	334-269-4080
2. Robert Knighton	334-566-7261
3. Charles Scunion	334-277-6146
4. Ray Kirby	334-272-6990
5. James Best	334-537-9075
6. Harry Penn	334-263-1548
7. Wayne Hubbard	334-215-3982
8. Norman Estes	334-562-3696
9. Claude Cone	334-288-4378
10. Gary Brunson	334-206-2200
11. Roy Strickland	334-285-3465
12. Copus Ingram	334-857-3251
13. Bryant Hill	334-272-2454
14. Bill Couch	334-242-6439
15. Walter Kelly	334-242-6212
16. Charlie Pritchett	334-277-6053
17. Charlie Hilyer	334-272-6538
18. Dan Biggio	256 -442-4776
19. Cline Flowers	334-277-3796
20. Burean Huff	256-796-0655
21. Pat McCarthur	334-279-7959
22. Ed Prescott	334-584-7670
23. Larry Lockett	334-318-9623

## Cox, Buddy

---

**From:** Prescott, Robert, G. Jr.  
**Sent:** Thursday, January 12, 2012 9:30 AM  
**To:** Cox, Buddy  
**Cc:** McDade, Krystal  
**Subject:** EPA Letter  
**Attachments:** Record Retention Info from Archives & History.pdf

Mr. Cox:

Attached is the information sent to me by Mr. Richard Wang from Archives & History regarding the retention policy for ALDOT files before ALDOT instituted its own retention policy in 2003. The documents Mr. Wang sent are from 1998 thru 1994. I received the documents late yesterday afternoon via handmail.

I called Mr. Wang this morning to verify this was all the documents Archives & History related to record retention. He said yes. I asked what was the procedure a state agency should have followed starting in the 1940s until 1998 regarding record retention to clarify why this was all they had. Mr. Wang told me during that period, a state agency's representative was to contact the State Archives director & then the State Records Commission about retaining &/or destroying records. This was the law & in the Code of Alabama (still is today)but most state agencies rarely did this. The State Records Commission rarely met & did not become involved in retaining state records until the 1980s. Mr. Wang told me you don't find many documents from state agencies from the 1940s thru 1970s. He also said the State Records Commission did not put forth a document or guideline on what documents to retain or destroy because each state agency has different viewpoint on how long to keep documents. An example he gave me was ALDOT may want to keep a copy of project file forever while VA may only keep documents 2-3 years. Mr. Wang said it would be impossible to issue a "blanket" guideline for State agencies on what to keep &/or destroy.

I asked Mr. Wang if Archives & History would have records of any chemicals ALDOT may have purchased in 1930s thru 1960s. Mr. Wang said he is 99% sure they do not have & doubted Finance would have the info either.

On the leases, etc. for 501 Washington Ave, I called State Lands & spoke with one of their attys, Nyla Chaney. She was not sure if State Lands would they would have this info but she said they would look & call me back. Nyla said it may take a few days to find the documents. I have it calendared to call her on Friday for an update.

Hope this info helps.

Robert Prescott  
Assistant Counsel  
Alabama Department of Transportation  
1409 Coliseum Blvd.  
Montgomery, AL 36110  
Ph: 334-242-6350  
Fax: 334-264-4359

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## Cox, Buddy

---

**From:** Prescott, Robert, G. Jr.  
**Sent:** Monday, January 09, 2012 11:23 AM  
**To:** Cox, Buddy  
**Cc:** McDade, Krystal  
**Subject:** EPA Letter  
**Attachments:** 2005 ALDOT Record Retention Policy.pdf, 2003 Record Retention Policy.pdf

Mr. Cox:

Please find attached a copies of ALDOT's 2005 & 2003 Record Retention Policies. According to Christopher Davidson in ALDOT's Records Management Office, from "1945 to 1955 public records of the state, counties, municipalities, and other subdivisions of government could be destroyed upon the recommendation of the record custodian and the consent of the director of the Department of Archives and History." Beginning with its creation in 1955, the State Records Commission was responsible for approving records for destruction. We will check with Archives and History to see if they have a copy of the Record Retention policies. We will also check with Archives & History to see if they have records of ALDOT's lease for the Washington Ave. property.

If you have any questions, please contact me.

Robert Prescott  
Assistant Counsel  
Alabama Department of Transportation  
1409 Coliseum Blvd.  
Montgomery, AL 36110  
Ph: 334-242-6350  
Fax: 334-264-4359

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## **MANAGEMENT OF RECORDS**

The records of Alabama state government are a vital source of information for public officials, as well as the state's citizens. The following records management policies and procedures provide the framework for managing the life-cycle of the records of this agency. The authority and responsibility for overseeing the agency's compliance with its legal obligations regarding records management are vested in the agency head and are delegated to the agency records officer.

## **CREATION AND OWNERSHIP OF RECORDS**

The Department of Transportation is required by law to create and maintain records that document the conduct of the business of its respective offices. These records must be complete and accurate. Records may be created in formats other than paper. All records created or received in the course of work are records of the state and may not be disposed of or removed without proper authorization. DOT is required to protect and preserve these records. Any actual or threatened loss or removal of records should be reported to the agency records officer.

## **ACCESS TO RECORDS**

The operational records of the Department of Transportation are open to public inspection based on Section 36-12-40, Code of Alabama 1975, unless otherwise restricted by law. Individuals desiring to view agency operational records should address their requests to the designated individual(s) in the appropriate bureau/division, who then forwards the request to the Legal Bureau. Questions regarding restricted records should be addressed to the legal Bureau.

## **RETENTION OF RECORDS**

Each record created by the agency should be listed with a retention period in the DOT Records Disposition Authority (RDA), which was approved by the State Records Commission, July 2003. Records are to be retained by the agency until the retention period has expired, at which time the records become eligible for final disposition. Each bureau/division/office should be aware of the retention periods, as listed in the RDA, for records in its care. The agency records officer should be notified regarding any necessary changes to the records retention periods listed in the agency's RDA.

Electronic records consist of electronically recorded information created or received by the agency in the transaction of department business and are to be retained according to the agency's RDA. Electronic records are not specifically listed in the RDA, but are listed by the record classification (i.e. correspondence sent through email is still correspondence). Electronic records may include, but are not limited to, word processing files, data bases, spreadsheets, graphic files, or electronic mail messages. These records are subject to the policies and procedures stated within this manual. Like other records, electronic records should not be deleted or destroyed except according to the destruction procedures outlined below.

## **STORAGE OF RECORDS**

Some records may become too voluminous to retain in office spaces until the records' retention period has expired. These records should be stored in either a designated location in the agency, at the State Records Center, or at an outside storage facility approved by the agency records officer. Contact the agency records officer for assistance.



## **DESTRUCTION OF NON-PERMANENT RECORDS**

The agency will not maintain records longer than necessary, but the records are not to be destroyed until authorized by the records officer. Once the retention period for non-permanent records has expired, the bureau/division responsible for the records completes a DOT Destruction Notice, which is approved and signed by the bureau/division head (or designee). The signed notice is sent to the agency records officer. Once the destruction is approved, the bureau/division may destroy the records. The records are to be destroyed through recycling. Sensitive records may require shredding. Following destruction, the destruction notice is signed by an employee witnessing the destruction and then sent to the records officer and kept as documentation of the destruction.

Electronic records may not be destroyed without prior approval of the records officer unless the record is printed to paper (the printed version must capture all important information from the electronic version) and filed as other paper documents, or the record meets one of the requirements listed below.

Certain record-related materials need not be retained as records under the requirements of the RDA. Such materials include: 1) duplicate copies that do not require official action, so long as the creating office maintains the original record for the period required; 2) catalogs, trade journals, and other publications received that require no action and do not document government activities; 3) stocks of blank stationery, blank forms, and other surplus materials that are not subject to audit and have become obsolete; 4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to, telephone call-back messages, drafts of ordinary


documents not needed for their evidentiary value, copies of material sent for informational purposes but not needed by the receiving office for future business, and internal communications about social activities. These documents may be disposed of without documentation of destruction.

#### PERMANENT RECORDS

Records with a retention period of "Permanent Record" are not to be destroyed. When these records become inactive, contact the agency records officer for further instructions. Consult the agency Records Disposition Authority for a list of the permanent records of the agency.

#### REFORMATTING RECORDS

Reformatting generally involves replacing paper records with microfilm or electronic images, but may also include replacing electronic records with paper, microfilm, or other media. No reformatting project should take place without prior consultation with the agency records officer and completion of a thorough cost-benefit analysis of the project.

  
Joe McInnes, Director

7-18-05  
Date

## Cox, Buddy

---

**From:** Prescott, Robert, G. Jr.  
**Sent:** Monday, January 09, 2012 4:42 PM  
**To:** Cox, Buddy  
**Cc:** McDade, Krystal  
**Subject:** RE: EPA Letter

I will be glad too.

Robert Prescott  
Assistant Counsel  
Alabama Department of Transportation  
1409 Coliseum Blvd.  
Montgomery, AL 36110  
Ph: 334-242-6350  
Fax: 334-264-4359

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---

**From:** Cox, Buddy  
**Sent:** Monday, January 09, 2012 4:32 PM  
**To:** Prescott, Robert, G. Jr.  
**Subject:** RE: EPA Letter

Robert,

Thank you for re-iterating what you wrote to me in your first email. I just started at the bottom and saw I asked you a question that you had answered when you sent the original email. Would you see if a document exists which shows what was authorized for destruction?

Thanks,

Buddy

---

**From:** Prescott, Robert, G. Jr.  
**Sent:** Monday, January 09, 2012 1:37 PM  
**To:** Cox, Buddy  
**Subject:** RE: EPA Letter

From 1945-1955, the director of the State Archives director had to approve destruction of all city, county, & state records. Starting in 1955, the State Records Commission had to approve destruction of such records. Until 1988, the State did not have an official written records retention policy.

Robert Prescott  
Assistant Counsel  
Alabama Department of Transportation

1409 Coliseum Blvd.  
Montgomery, AL 36110  
Ph: 334-242-6350  
Fax: 334-264-4359

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---

**From:** Cox, Buddy  
**Sent:** Monday, January 09, 2012 1:30 PM  
**To:** Prescott, Robert, G. Jr.  
**Cc:** McDade, Krystal  
**Subject:** RE: EPA Letter

Robert,

So prior to 1988, there was no formal record retention policy and each agency could do what they wanted with the documents?

Buddy

---

**From:** Prescott, Robert, G. Jr.  
**Sent:** Monday, January 09, 2012 1:27 PM  
**To:** Cox, Buddy  
**Cc:** McDade, Krystal  
**Subject:** RE: EPA Letter

Mr. Cox:

Richard Wang from Archives & History called me back about the State's Record Retention Policy. I had asked Archives & History for copies of the State's policy from 1950 until 2003.. Mr. Wang did confirm what we already knew – ALDOT 1<sup>st</sup> Record Retention Policy was in 2003 . Before 2003, the State Records Commission handled records retention for ALDOT. Mr. Wang said the State Record Commission issued 8 statewide record retention policies, with the 1<sup>st</sup> one being issued in 1988. These policies would have covered ALDOT's records retention until we established our policy in 2003. He is sending me copies of the documents via handmail today so I should get them tomorrow or Wednesday @ the latest. I will e-mail the documents to you ASAP.

On the leases & purchasing records, Mr. Wang will look & see if they have any of the info. When I hear from him again I will let you know.

Robert Prescott  
Assistant Counsel  
Alabama Department of Transportation  
1409 Coliseum Blvd.  
Montgomery, AL 36110  
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---

**From:** Cox, Buddy  
**Sent:** Monday, January 09, 2012 11:32 AM  
**To:** Prescott, Robert, G. Jr.  
**Cc:** McDade, Krystal  
**Subject:** RE: EPA Letter

Robert,

Thank you for the update. When you talk with the folks at Archives, would you ask them if they keep any old financial or purchasing records which might show purchases of chemicals that were bought by the Department during the time we were on Washington Avenue (1937-1964).

Thanks,

Buddy

---

**From:** Prescott, Robert, G. Jr.  
**Sent:** Monday, January 09, 2012 11:23 AM  
**To:** Cox, Buddy  
**Cc:** McDade, Krystal  
**Subject:** EPA Letter

Mr. Cox:

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If you have any questions, please contact me.

Robert Prescott  
Assistant Counsel  
Alabama Department of Transportation  
1409 Coliseum Blvd.  
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Ph: 334-242-6350  
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7/88  
ARD-2

STATE OF ALABAMA

Highway Department  
Office Engineer

RECORDS DISPOSITION SCHEDULE

SCHEDULE NO: S-16-1

TITLE: UNSUCCESSFUL BIDS FOR HIGHWAY WORK

The State Highway Department lets bids for Highway work and issues contracts for this work. These contracts are not duplicated in the records of the Department of Finance. This series consists of unsuccessful bids submitted to the Highway Department by contractors for contract work. The bids are opened publicly and unit cost information from all bids is entered into a computer database. The bid packages consist of the specifications of the proposed project and a contractor completed set of price bids on the project materials. The bid proposal of the successful bidder is retained permanently.

DISPOSITION: Retain in office for 1 year after contract is let, transfer to Records Center for 6 years, then destroy unless needed for litigation.

05/91  
ARD-2

STATE OF ALABAMA  
STATE HIGHWAY DEPARTMENT (1939- )  
Office Engineer

RECORDS DISPOSITION SCHEDULE

SCHEDULE NO: S-16-2

TITLE: SUCCESSFUL BIDS FOR HIGHWAY WORK

VARIANT TITLE: HIGHWAY PROJECT PROPOSALS

The State Highway Department lets bids for highway work and issues contracts for this work. This series consists of the original, signed bid proposals submitted by the contractor who is awarded the bid. The bid package consists of the specifications of the project and the contractor completed price bids on project materials. Information in this series includes item number, approximate quantities of materials/crew, unit prices on services, name of contractor, address of contractor, project plans, project specifications, and information concerning the award and execution of the contract.

DISPOSITION: Permanent. Retain in office.

Records Management Recommendations: Destroy paper files after microfilm is verified. Store security copies of microfilm in an offsite storage facility.



05/91  
ARD-2

SCHEDULE NO: S-16-3

TITLE: HIGHWAY CONTRACTS AND AGREEMENTS FILES

VARIANT TITLE: HIGHWAY CONTRACTS FILES

This series documents the legal obligations with contractors for performance of highway work. These records include specifications, proposals, contracts, agreements, construction bonds, performance bonds, bonds for payment of labor, materials, fee-stuff, or supplies subcontract forms, change requests, requests for time extensions, and correspondence. Information available in the files includes (but is not limited to) type of project, contractors and subcontractors names, work to be performed, materials used in project, money spent on project, and safety measures used onsite. Beginning in the 1980s, agreements were placed in the same files as the contracts.

DISPOSITION: Permanent. Retain in office.

**Records Management Recommendation:** Destroy paper copy after microfilm is verified. Store security copies of microfilm in an offsite storage facility.

05/91  
ARD-2

SCHEDULE NO: S-16-4

TITLE: PROJECT FILES

VARIANT TITLE: PROJECT/CORRESPONDENCE

The project files document all activity concerning development and implementation of highway projects from conception to final completion. These files contain letters from railroad companies, letters authorizing contractors to remove or add work, inspection reports, fund transmittal letters, copies of checks, and a balance sheet listing monies received from state, federal, and local officials. Information available in the records includes contractor's name, type of project, location of project, materials used in project, and other information on progress and completion of the work.

DISPOSITION: Permanent. Retain in office.

**Records Management Recommendation:** Destroy paper files after microfilm is verified. Store security copies of microfilm in an offsite storage facility.

05/91  
ARD-2

STATE OF ALABAMA  
STATE HIGHWAY DEPARTMENT (1939- )  
Office Engineer

RECORDS DISPOSITION SCHEDULE

SCHEDULE NO: S-16-5

TITLE: PROJECT PAYMENT FILES

VARIANT TITLE: VOUCHERS

These files consist of several forms documenting the receipt and payment of federal and state monies for highway projects. The records explain the type of work to be completed, the character of construction, and the method of construction. Included in the files are: vouchers for work performed under provisions of the Federal Aid and Federal Highway Acts; employee timesheets documenting work on federal aid and state projects; statements of materials and employment; letters explaining variations in actual project costs versus proposed project costs; engineering and inspection reports submitted by auditors; project agreements stating that the federal agency has approved its share of federal aid and designating that the funds will be available to the State Highway Department (under act number and year); and project agreement estimate sheets.

DISPOSITION: Permanent. Retain in office.

Records Management Recommendation: Destroy paper files after microfilm is verified. Store security copies of microfilm in an offsite storage facility.

05/91  
ARD-2

SCHEDULE NO: S-16-6

TITLE: INSURANCE CERTIFICATE FILES

VARIANT TITLE: CERTIFICATES OF INSURANCE FILE

The certificates of insurance inform the State Highway Department that the successful bidder for a project has acquired the necessary liability coverage to perform the project. In addition, the certificates indicates that the department will be notified if insurance coverage is cancelled. This series consists of insurance certificates and correspondence regarding the certificates. Information in the files includes name of local authorized representative, address of representative, signature of representative, type of liability insurance coverage purchased, amount of coverage, and policy cancellation or change information.

DISPOSITION: Retain for 10 years after completion of project, then destroy.

Date: 10/92  
Form: RM-38

STATE OF ALABAMA  
HIGHWAY DEPARTMENT  
Field Divisions  
RECORDS DISPOSITION SCHEDULE

SCHEDULE NO: S-16-8

TITLE: CONSTRUCTION PROJECT FILES

VARIANT TITLE: PROJECT FILES

These records are created/maintained to document all activities concerning development and implementation of highway construction projects from conception to final completion. Information available in these records includes project name and assigned number, location, type of construction, amount for construction, contractor, construction dates, length of the construction, date of completion, final inspection report, and division engineer's name who supervised the project.

DISPOSITION: Retain for 3 years after the final contract payment, then destroy.

Date: 01/94  
Form: RM-38

STATE OF ALABAMA  
DEPARTMENT OF TRANSPORTATION  
RECORDS DISPOSITION SCHEDULE

SCHEDULE NO: S-16-9

TITLE: CONSTRUCTION PROJECT FINAL PLANS

VARIANT TITLE: AS BUILT PLANS

These records are created/maintained to document "As Built Plans", a composition of drawings, diagrams, charts, and box sheets indicating the local elevation, quantity of different materials, work items, and any adjustments required during construction of highways and bridges.

DISPOSITION: Permanent. Retain in office.

**Department of Transportation**

**Functional Analysis  
&  
Records Disposition Authority**

**Presented to the  
State Records Commission  
July 22, 2003**

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# **Functional and Organizational Analysis of the Department of Transportation**

## **Sources of Information**

Representatives of the Department of Transportation  
Code of Federal Regulations, Title 23 and Title 49  
Code of Alabama 1975, Section 23-1-1 through 23-6-12  
Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)  
Alabama Administrative Code, Sections 450-1-1 through 450-8-1  
Alabama Government Manual (2002)  
Department of Transportation Annual Report (2000-2001)  
Department of Transportation Audit Report (1999-2001)  
Holdings of the Department of Archives and History for the Department of Transportation  
Government Records Division, State Agency Files (1985-ongoing)  
Department of Transportation Records Retention Schedules  
Department of Transportation website  
United States Department of Transportation website

## **Historical Context**

Prior to 1911, road construction and maintenance in Alabama had been largely the responsibilities of counties and private individuals. The creation of the Good Roads Association in 1891 and federal highways aid legislation in 1916 increased public awareness of the need for state involvement in roads. The first state agency to oversee roads in Alabama, the State Highway Commission, was created by the legislature in 1911. In 1919, the act creating the State Highway Commission was repealed and replaced by a new act which established the State Highway Department. The department's enabling act was rewritten and consolidated several times between 1919 and 1939. In 1939, the legislature clarified the role and duties of the department and established the agency in its present form. In 1993, the Bureau of Air Transportation, a division within the Department of Finance, was transferred to the Department of Transportation by a legislative act. In May 2000, the Department of Aeronautics merged with the Department of Transportation.

## **Agency Organization**

The department is headed by a director appointed by, and serving at the pleasure of, the governor. As of 2003, the department is divided into the following twenty-four departmental bureaus: Bureau of Aeronautics; Bureau of Air Transportation; Bureau of Bridges; Bureau of Computer Services; Bureau of Construction; Bureau of County Transportation; Design Bureau; Bureau of Equipment, Procurement, and Services; Bureau of Finance; Hiring and Promotions Bureau; Bureau of Human

Resources; Bureau of Internal Audits; Legal Division; Bureau of Maintenance; Bureau of Materials and Tests; Bureau of Multimodal Transportation; Bureau of Office Engineer; Professional Engineering Education and Development Bureau; Office of Public Affairs; Bureau of Research and Development; Bureau of Right-of-Way; Bureau of Special Projects; Bureau of Training; and the Bureau of Transportation Planning. The department has also divided the state into nine geographical field divisions, with each division having several districts. Each field division coordinates with local counties/cities about the department's work. An organizational chart is attached.

## Agency Function and Subfunctions

The mandated function of the Department of Transportation is the construction, standardization, maintenance, and repair of state and federal roads and bridges throughout Alabama and the collection of information and preparation of statistics relative to the mileage, character, and condition of the roads and bridges in the state. (Code of Alabama 1975, Section 23-1-40). The department seeks to provide a safe, efficient, environmentally sound intermodal transportation system for all users and is involved in promoting adequate funding to promote and maintain Alabama's transportation infrastructure. It is one of the agencies responsible for performing the Property and Facility Management and Regulating functions of Alabama government. In performance of its mandated functions, the Department of Transportation may engage in the following subfunctions.

- **Planning.** The Department of Transportation is responsible for facilitating transportation planning. The agency develops a federally required long-range, statewide transportation plan and state transportation improvement plan. Metropolitan areas also work through the department to apply for federal planning funds and to develop comprehensive, cooperative, and continuing transportation plans as required by law.
- **Coordinating Pre-Construction Activities.** In the development of a highway/bridge project, the Department of Transportation first determines the most feasible location of the project through conducting a corridor study that balances the engineering solution of the project need with the cost and the environmental impact. The department must comply with federal and state regulations regarding evaluation of impacts in order to obtain environmental clearance. Upon approval of the project location, the project area is surveyed to obtain elevation of the terrain and topography of natural and manmade features.

Final design of the highway/bridge project involves engineering the most economical design that is structurally adequate and safe for the traveling public and requires little maintenance. This process is done by ensuring that designs are in compliance with state and national standards and sound engineering principles.

Designs for roadways, bridges, hydraulic structures, traffic signals, and highway lighting are developed into contract plans. Utility agreements are processed to coordinate the timely relocation of utilities within the state right-of-way.

Consultant contracts are obtained to outsource these functions when in-house staff is not able to complete the required work. The department provides technical oversight of consultants performing pre-construction activities.

Quality control reviews are conducted at various phases of the process in order to ensure standards are met.

- **Acquiring Rights-of-Way.** The agency must clear all improvements before construction, which includes acquiring all rights-of-way needed for the state highway system and providing relocation assistance to those individuals, families, farms, businesses, and nonprofit organizations whose displacement is caused by the highway project.

A division sends to the main office a request for authorization to acquire the rights-of way with an estimate of the costs of rights-of-way, relocation assistance, appraisal fees, and an inventory of all persons to be displaced by the project. Following project authorization, state certified real property appraisers are assigned to provide appraisal reports indicating an estimate of market value for the part acquired on each tract. That estimate is then examined by appraisal review personnel to determine the amount of the approved offer, and the division is notified of the amount to be offered to the owner. If a residential location is involved, the approval is made after the division submits to the main office a replacement housing computation. Staff members create legal descriptions for all property purchased by the Department of Transportation. The main office is in frequent contact with division administrators to determine the progress being made in the acquisition of rights-of-way, to offer assistance in expediting acquisition, and to provide reimbursement and assistance to those displaced.

- **Managing Equipment.** The Department of Transportation is responsible for the procurement, accountability, and proper disposal of all surplus equipment. Department staff members write specifications for automobiles, trucks, and special construction and maintenance equipment, as well as assist in the procurement of equipment. The staff establishes rental rates for automobiles, trucks, and special construction and maintenance equipment. The department also oversees and manages the building and grounds for the general office complex, the reception desk at the agency's front entrance, the use of the department's gym, and the general office motor pool. The department is also responsible for and maintains an ongoing sale to other state agencies, cities, counties, and other approved entities of surplus equipment and hold one to three public auctions per year.
- **Testing and Approving Highway/Bridge Construction Materials.** The Department of Transportation tests and/or approves materials in the construction of roads and bridges. The agency emphasizes the incorporation of new technologies, as well the implementation of research findings, into normal department operations. The agency maintains agreements with universities which conduct research on innovative materials to be used for highway/bridge construction. Any industry or vendor who desires to have its new product placed on the qualified products list for the department must first obtain approval at the monthly meeting of the product evaluation board, which consists of bureau chiefs. The board may request its own tests be conducted before making a final decision. Even after approval, the department ensures quality control of all materials used during construction by conducting tests on batches of material. The agency maintains the following types of laboratories: bituminous, liquid asphalt, concrete, aggregate, soil, physical, and chemical. Laboratory technicians conduct tests to ensure that materials meet the department's

specifications. The agency also has a program for testing and rating in-service pavements. Local divisions maintain laboratories, and the main office will conduct random on-site inspections to verify the division's ability to perform tests correctly. Before developing construction plans, the agency reviews material proposals, which are lists of materials that will be needed for a particular project. Personnel also conduct field investigations to inspect for hazardous materials, so that proper precautions may be taken before beginning construction. Fieldwork also includes investigating foundations before bridges are built to determine soil composition and, based on findings, to make recommendations for the bridge's design.

- **Administering Contracts for Highway/Bridge Construction Projects.** The Department of Transportation is responsible for directing the contract administration of highway/bridge construction projects. This function consists of establishing guidelines for the implementation, inspection, and documentation of the construction process, reviewing contract documents prior to construction, and participating in the resolution of field construction problems.
- **Coordinating Highway/Bridge Maintenance.** The Department of Transportation conducts maintenance on state highways, interstates, highway facilities owned by the state, certain roads around state property, and bridges. Routine maintenance activities include surface patching, shoulder maintenance, drainage work, right-of-way vegetation management, and litter pickup. The department systematically resurfaces and widens roads. Tests are performed on bridges to give them a load rating capacity. Specially trained personnel periodically inspect and maintain these bridges. The Department of Transportation reviews and must approve changes in speed limits for Alabama highways. The agency operates weigh stations to assure that vehicles with too much tonnage are not damaging Alabama's highways. A limited number of permits are issued to regulate vehicles which do not meet weight requirements set by law. Other permits are issued to provide access to state highways through entrances, to authorize the use of right-of-way by utilities, and to allow outdoor advertising on signs along the highway. The state sign shop helps users navigate the highway system by creating, installing, and maintaining signs and traffic signals. Rest areas and welcome centers operated by the Department of Transportation provide relief to Alabama's highway travelers. Engineers study Alabama's transportation system to identify improvements which need to be made.
- **Assisting Counties with Highway/Bridge Construction Projects.** The Department of Transportation assists counties in the design, construction, and maintenance of county roads/bridges and administers state and federal money for highway construction projects. The agency disseminates procedural guidelines for counties to use in preparing construction documents. Updated map(s) of each county are maintained to show all completed projects.

- **Administering Highway Safety Programs.** The Intermodal Surface Transportation Efficiency Act of 1991, updated by the 1998 Transportation Equity Act for the 21<sup>st</sup> Century, recommends that each state operate a safety management system to identify highway safety issues and to implement solutions. Two such programs under this system include the identification and reduction of high crash areas and the recognition and removal of roadside obstacles. Improving highway safety also involves the promotion of public awareness. Safe Communities/Corridor Projects is a program that encourages cooperation between jurisdictions to create safer roads. Examples of highway safety campaigns to educate the public are Work Zone Safety, Stop Red Light Running, Child Passenger Safety Week, and Alabama Safe Kids Week.

The Department of Transportation acts as a pass-through entity for Federal Highway Administration funding earmarked for intelligent transportation system, which is the advancement of ideas and new technology in traffic engineering which improve safety. One example includes variable message signs, especially in urban areas, that give motorists information as they are traveling, such as warning of an upcoming accident. Another example would be cameras on the interstate whose signals are transmitted to a traffic management center to monitor traffic, and in the case of accidents, to ensure that proper emergency personnel are dispatched quickly. The goal of these programs is to improve congestion management and to increase traffic safety.

- **Collecting, Compiling, Analyzing, and Reporting Data.** The Department of Transportation is mandated to “collect information and prepare statistics relative to the mileage, character, and condition of the roads and bridges in all counties of the state.” Two examples of such activities are conducting inventories on existing highways to determine signing, marking, and maintenance conditions and gathering annual average daily traffic volumes. Other tabulations relate to income, such as revenue collections from gasoline tax, and expenditures. This data can be analyzed to produce reports as needed or requested by the transportation director or the Federal Highway Administration. The department also creates programs to track project data. One example is the comprehensive project management system, a client server-based system which includes basic information on all transportation construction projects, allowing the agency to keep up with the financing of projects. The department is also required to “cause to be made and kept in its office a general highway map of the state which shall show all state roads . . . [and] prepare current maps of highways.” Updated state maps are produced about every two years, and county maps are produced every year.

- **Administering Multimodal Transportation Programs.** Multimodal is defined as many modes of transportation. The Department of Transportation manages elements of railroads, mass transit, and non-highway transportation enhancement. These nontraditional programs (non-highway related) improve the quality of and access to transportation for pedestrians, bicyclists, and public transportation consumers; and rail highway crossings. Such programs include:

**Administering Public Transportation Programs.** The Department of Transportation is responsible for meeting the multimodal transportation requirements outlined in federal law, specifically the Transportation Equity Act for the 21<sup>st</sup> Century. The agency is also responsible for administering rural, elderly/disabled, and urban public transportation programs pursuant to Legislative Act 82-456. Rural and urban transportation planning is administered through local providers and the metropolitan planning organizations [MPOs]. MPOs are composed of local officials from the urbanized areas of Anniston, Birmingham, Florence, Gadsden, Huntsville, Mobile, Montgomery, Phenix City, Tuscaloosa, Decatur, Dothan, and Auburn/Opelika. Local providers of public transportation are located in forty-seven counties within the state.

**Administering Rail Related Programs.** The Department of Transportation is responsible for updating and maintaining a railroad highway crossing inventory. The department updates the state rail plan and creates an Alabama rail directory. Other rail related programs administered by the Department of Transportation relate to rail/highway safety, for example, installing signs, markings, and signals at crossings. The Department of Transportation also enters into agreements with railway companies for any projects that have railroad involvement.

**Administering Bicycle and Pedestrian Program.** The Federal Highway Administration requires each state to develop and implement a plan for bicycle and pedestrian facilities, which includes bicycle/pedestrian facilities' standards and guidelines, a proposed bicycle routing plan, public education, and maintenance guidelines. This plan is part of the statewide transportation plan.

**Administering Transportation Enhancement Program.** The Department of Transportation serves as a pass-through entity for Federal Highway Administration funds specifically allocated for such projects as historic restoration, landscaping and beautification, and the construction of bicycle and pedestrian facilities. Specific examples of such enhancement include depot renovation, landscaping, and the construction of sidewalks and bicycle lanes.

- **Administering Air Transportation Services.** The Department of Transportation owns aircraft and provides aviation services to the governor of Alabama, the cabinet, and other state agency directors and commissioners as needed. The agency also performs routine maintenance activities for state aircrafts owned by other agencies, such as the Department of Conservation and Natural Resources and the Forestry Commission.
- **Regulating and Developing Aeronautical Facilities.** The Department of Transportation licenses all landing areas that are not for personal use only. An inspection is conducted annually to determine that these landing areas are safe and meet minimum requirements. If a landing area fails to meet standards, the owner/manager will be notified;



and, if the problem is not corrected, the license will be revoked. The agency also reviews "notices of proposed construction" for tall structures, such as cell phone towers or high-rise buildings, and evaluates whether a structure will obstruct air navigation. While the agency has no power to deny proposed projects, it may disseminate such information to the aviation community. Biannually, a state aeronautical chart is produced for distribution to airports and pilots.

The Department of Transportation administers grants to public airfields from two main sources of revenue - a tax on aviation fuel and a surplus military field fund. These surplus fields given by the federal government to the Alabama Department of Transportation have generated revenue by being sold, operated as an airport, or leased for agricultural purposes. Because grant money comes in part from former federal property, applicants must meet requirements set by the Federal Aviation Administration. Grants are used for planning and capital improvements, such as runway betterment or preliminary engineering. These grants promote the development of aeronautical facilities.

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

**Managing the Agency:** Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; monitoring operations; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; issuing bonds; and performing audits of consultant contracts and cost reimbursement contracts with other entities.

**Managing Human Resources:** Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

# **Analysis of Record Keeping System and Records Appraisal of the Department of Transportation**

## **Agency Record Keeping System**

The Department of Transportation [DOT] operates a mainframe and distributed systems. The record keeping system consists of paper, microfiche/microfilm, and various electronic files maintained on tape, disk, and optical storage media.

**Computer Systems:** The department uses an IBM mainframe computer as the central repository for information generated and stored by different functional areas of the department. These major software packages are IBM DB2 Universal Database, Customer Information Control System [CICS], Resource Access Control Facility [RACF], Comprehensive Project Management System [CPMS], AL-PASS Permits System, and PeopleSoft for the Human Resource System. The department also operates two optical scanning systems that scan, image, and archive numerous documents. The department is also connected to the Finance Department's ISD mainframe computer to utilize the Local Government Financial System [LGFS], Government Human Resource System [GHRM], and Federal Highway Administration's [FHWA] RASPS and FMIS4 highway funding applications. The department maintains an internal communications network attached to the ISD mainframe and networked to the state campus ring. All mainframe data is stored on an IBM disk array and IBM tape cartridges.

The agency maintains the following databases: (1) The Alabama Bridge Information Management System [ABIMS] is used by DOT, county, city, and Federal Highway Administration personnel to maintain bridge inspection, maintenance, and optimization data for all bridges within the state. (2) Site Manager is the department's new electronic record keeping system for construction project record keeping. It tracks the daily work done by the contractor and provides an electronic diary of events. (3) Protégé is a program used by the auditor's office for the property management of all state departments. This database is utilized by all DOT divisions and bureaus for the management of all equipment with a unit cost of \$100 and over. Protégé is used to maintain information pertaining to the acquisition, transfer, annual audit, and disposal of assets purchased by DOT. (4) The maintenance bureau's permits and operations section of DOT is responsible for the issuance of oversize/overweight permits. The system AL-PASS [Alabama Permit Administration Software System] was developed in conjunction with Intergraph Corporation and has recently been enhanced to allow carriers to order permits via the Internet. Carriers fill out forms similar to the AL-PASS data entry screens. The data is screened for completeness and accuracy, then added to the AL-PASS database. A DOT permit attendee reviews and routes the lead requirements then sends the permit (or rejection) via a preferred method: e-mail, fax, or mail. All Internet application processing uses the licensed SUPERLOAD-ePASS Application Internet Server. (5) (a) PES/LAS is used as DOT's means of record keeping of construction projects during the pre-construction (design through contract award) phase. (b) The Decision Support System [DSS] is the historical component of data

taken from PES/LAS. From this data, various statistical and analysis reports can be run to determine bidding tendencies, average bid prices, etc. (6) The PeopleSoft System is a human resource system designed to provide data on DOT employees. This data includes information from the point of contact when the perspective employee submits an application, and the employee is accepted and put on registers and in turn hired. After an employee is hired, all personnel actions, training, and health and wellness or employee injury are maintained. It tracks all actions on employees from the point of contact until they leave DOT service. Information from GHRS may be uploaded into the PeopleSoft System. (7) The Alabama Geospatial Information Systems [AGIS] is used by DOT, county, city, and other state and federal personnel to provide a way to graphically represent data concerning specific map points. This includes data concerning the population, rainfall, number of traffic accidents, type of pavement on the road, bridge information, soil composition, or any other information that DOT maintains. (8) The Comprehensive Project Management System [CPMS] handles all data regarding management/tracking of projects and processes all financial data for DOT. It is the single largest system currently running at DOT, which not only manages internal finances, but also handles exchanging data with and billing the federal government, and sending and receiving financial data relative to the comptroller, state finance, and payroll. In the near future, additional segments of CPMS are being implemented to handle right-of-way project management and the coordination of storm water drain management with the Department of Environmental Management.

Mainframe databases and associated files are backed up to IBM cartridges daily, weekly, monthly, quarterly, and annually as required. Copies of critical data are kept off-site at the Department of Finance and the Department of Transportation external storage area. Information stored on file and database servers are backed up to the network tape backup systems. Databanks utilized in the client/server operations are Microsoft SQL and Oracle. A Microsoft SQL database is used for the storage of information, and all servers utilize network tape backup systems.

Micrographics: The Department of Transportation had microfilmed some of its permanent records, such as contract documents and agreement files. The agency ceased its microfilming program around the year 2000, when its operator retired and no additional personnel were hired to microfilm records. Even though the agency still maintains original microfilm, all such records have been converted into a digital format in PDF format and are stored on a server at the Department of Transportation. The agency has hopes of obtaining permission to purchase a high speed scan station to replace the microfilming process.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Department of Transportation: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary Records should be held for what is considered to be their active life and disposed of once all their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Department of Transportation are discussed below:

- **Plans documenting assistance provided to local government entities in the transportation planning process.** The Department of Transportation is responsible for providing assistance to local government entities in developing comprehensive, cooperative, and continuing transportation plans. One example of a plan is the unified planning work program created by each of the twelve metropolitan planning organizations annually to outline all of the activities to be accomplished within the year. Another example is the transportation improvement program which is a five-year plan, showing all transportation improvement projects scheduled in the state. All of these plans are merely functional, constantly being revised, and only need to be maintained until superseded. Permanent documentation of this process is captured in the statewide transportation plan.
- **Agreements documenting assistance provided to local government entities in the transportation planning process.** The planning funding agreement is for administering United States Department of Transportation planning financial assistance. This agreement is between Alabama and local government entities designed as the recipient of the funds for metropolitan planning organizations such as regional planning commissions and municipalities. The state receives funds from the federal government on behalf of local government entities and distributes the funds to them based on mutually agreed criteria which also reflect federal regulations governing fund allocation. Like the funding agreement, the planning process agreements are between the state and all actors that operate within the metropolitan planning organizations, including but not limited to, counties, cities, regional planning commissions, and transit authorities. The agreement spells out the duties and responsibilities of all involved in the planning to maintain the cooperative, continuing, and comprehensive planning process required by federal regulation. All agreements used to provide assistance to local government entities in planning need to be maintained until no longer valid.
- **Functional Classification Maps documenting assistance provided to local government entities in the transportation planning process.** These maps are produced by the Department of Transportation with input from the metropolitan planning organizations and the Federal Highway Administration. They include all streets and roadways in metropolitan planning organization areas and are classified by their functional utility in providing mobility, accessibility, and general economic development. The classifications include interstate, principal arterials, minor arterials, and major and minor collectors. The

classifications are mandated by the Federal Highway Administration regulations before an area can receive federal funds for roadway improvements. These maps are usually updated when the census occurs and need only be maintained until superseded. A summary of functional classifications for the state with a total of roadway miles and miles of travel for each classification is found in the permanent series statewide transportation plan.

- **Records documenting routine project activities and compliance with project requirements in the survey, design, and contract preparation processes.** These processes involve the receipt and transmittal of much project information. General correspondence regarding project submittals, such as requests for information, traffic reports, interchange justification studies, BR eligibility, mapping funding agreements, minutes of party chief meetings, permit approvals, storm water permits, etc., that relate to necessary project activities, but do not document design decisions, will be retained for three years after completion of the construction project.
- **Records documenting routine project activities and compliance with project requirements in the environmental clearance process.** There are several reports, such as noise reports, air reports, cultural resource reports, that present detailed information that is summarized or alluded to in the environmental document. These records should be retained five years after the construction project is completed.
- **Navigational Permits.** These permits must be obtained to ensure safety where two modes of transportation intersect. If a bridge is over a navigable stream or river, the Department of Transportation must send a small set of drawings showing the general layout of the bridge and the location of the lighting to obtain a permit from the coast guard. These permits need to be maintained for as long as the structure remains intact; therefore, the retention is retain for the structure's life.
- **Permits with Other Federal Agencies.** The Department of Transportation must sometimes obtain Corps of Engineers 404 permits and other types of permits to comply with project requirements in the environmental clearance process. These permits only need to be retained three years after the completion of the construction project.
- **Consultant Agreements.** The Department of Transportation enters into contracts with consultants to perform services on behalf of the Department of Transportation. The contracts and supplemental agreements (if any) need to be retained six years after termination of the agreement.
- **Records documenting supporting material for consultant agreements.** The Department of Transportation enters into contracts with consultants to perform services on behalf of the Department of Transportation. The backup documentation supporting the agreement amounts as man-day estimates, estimate markups, negotiation documentation, and invoices need to be retained until three years after termination of the agreement.

- **Records documenting routine project activities and compliance with project requirements in the utility agreement process.** Utility companies are allowed to locate on state right-of-way but are required to relocate if a construction project will conflict with the utility's location. Utility agreements and relocation drawings, invoices for utility relocation work, and the project database should be retained until three years after final utility invoice is paid or after the construction project is completed, whichever is longer.
- **Records documenting federally designed route estimates.** The Department of Transportation receives Appalachian Development Corridor funding from the federal government. The federal government appropriates funding necessary to complete the remaining segments of the approved route. Each state keeps an estimate of the dollar amount to complete and reports annually to the commission. This APD cost estimate will be retained until the completion of the Appalachian Development Corridor program in the state.
- **Records documenting conduct of inventory of all persons and businesses to be displaced by a project and the resulting costs.** These records provide detailed information about what is being affected by the Department of Transportation's construction and the resulting costs. This series needs to be maintained in accordance with federal regulations; thus the retention is retain three years from the date the state receives federal reimbursement of the final payment made to each owner of a property and to each person displaced from a property; or retain three years from the date a credit toward the federal share of a project is approved based on early acquisition activities of the state (23 CFR 710.201[f][1]).
- **Rights-of-Way Plans Fee Proposals.** This series contains documents recording submitted fee proposals from consultant engineering firms for the preparation of rights-of-way plans. Also, revised and approved versions of these documents are included. These records will assist the Department of Transportation in the review process by providing a history of how fees were reviewed and why they were revised. These records need only be maintained for a period of three years from the date of the execution of the contract between the Department of Transportation and the consultant.
- **Records documenting appraisal to decide fair market value of each tract, review of appraisal, and status of approval.** This series documents the required appraisal and appraisal review processes as mandated by federal law (49 CFR 24.103-104). The Code of Federal Regulations states that the "appraisal shall reflect nationally recognized appraisal standards." *The Uniform Standards of Professional Appraisal Practice* requires that "certified appraisers must maintain their work file(s) for at least five years after preparation or two years after final disposition of any judicial proceeding in which testimony was given; whichever period expires last."

- **Records documenting uneconomic remnant and non-rights-of-way property.** An uneconomic remnant is defined as a fragment of property left behind after the Alabama Department of Transportation determines its needs for highway/bridge construction. If the fragment is considered to have little or no utility to the property owner, the agency will make an offer to buy the property, even though it is not needed for construction purposes. Documentation of the ownership of all property by the Department of Transportation needs to be maintained for three years after the sale of that property.
- **Records documenting the operation of the retail map store.** The Department of Transportation operates a retail map store where highway maps are offered for sale to the general public, in addition to municipal and state customers. These records need to be retained for one audit.
- **Gym Application Files.** The Department of Transportation operates a small gym which can be used by all state employees for a one-time minimum initial fee. This gym includes free weights, limited fitness equipment, and an open space for aerobic exercise, although no classes are held. These application files need to be maintained until membership is no longer valid to ensure proper documentation of those with access to the gym.
- **Vehicle Maintenance and Title Files.** State agencies whose main office or branch offices are located in areas beyond the serviceable limits of the State Motor Pool in Montgomery are allowed to operate an agency motor pool (Code of Alabama, Section 41-17-6). This series consists of automotive vehicle maintenance and title files held by the agency. Files may include records describing the vehicle or equipment; the name of the employee to whom it is assigned, odometer disclosure statement, license plate receipts, warranty information, bills of sale, and certificates of title. Copies of repair and equipment purchase invoices (tires, batteries, etc.) may be added to the file as necessary. These records need only be maintained for one audit period after selling or disposing of the vehicle.
- **Records documenting routine project activities and compliance with project requirements for research projects.** Researchers who work on projects receiving transportation funds must submit quarterly reports. They also submit monthly invoices. Attached to the invoices are receipts for anything that is purchased for the project, including any copies of payroll for individuals, such as technical assistants, paid to work on the project. All of these routine records need to be maintained three years after the end of the fiscal year in which the project was completed, to ensure a sufficient paper trail for any litigation. Permanent documentation of this process is captured in final research reports.
- **Material and Tests Project Files.** This series includes, but is not limited to, project correspondence, approved materials reports and addenda, construction plan review comments, life-cycle cost estimates, certification letters, consultant files, test charges and reports, and material shipping records. These records need to be maintained in accordance with federal guidelines (49 CFR 18.42); therefore, they should be retained three years after



the project has been final vouchered.

- **Long Term Pavement Performance (LTPP) Project Records.** The federal government initiated a project to check and report on certain sections of pavement on a periodic basis. A consultant company oversees the coordination and compilation of this material for the federal government. The long term pavement performance monitoring period was set up for twenty years and should end in 2007. The retention for these records is retain one year after the close of the project, because the records have been reviewed by university professors, and it has been determined that the information will have no value to the Department of Transportation after that time.
- **Radioactive Materials Licenses.** The department must obtain a radioactive materials license before being allowed to own or operate nuclear gages under the auspices of the bureau of materials and tests. These gages are used to test layers of materials being placed on roadway construction projects. This license, obtained from the state Health Department, needs to be maintained for one year, because only a current, valid license is needed.
- **Records documenting routine use of nuclear gages for materials testing on projects.** Nuclear gages are used by the department to test layers of materials being placed on roadway construction projects to help ensure that density specifications are being met, which helps to ensure that the roadway will have a satisfactory performance life. Nuclear gage moisture/density correction and nuclear gage calibrations are required for proper density testing, and Federal Aid Policy Guide 49 CFR 18c, Section 18.42, requires that such records be maintained for three years after the project has been final vouchered.
- **Records documenting the ownership and handling of nuclear gages.** Pursuant to being granted a radioactive materials license to own and operate nuclear gages, the department must maintain records pertaining to the movement/location/use of the gages as well as to the leak testing of the gages to determine if radioactive material is leaking from a gage. Leak test results, nuclear gage monthly diaries, and receipts of radioactive materials (BMT-90s) should be retained for five years according to the Alabama Department of Public Health administrative procedures concerning radiation control, with the applicable rules being 420-3-26-.02(7)b(iv), 420-3-26-.03(43), and 420-3-26-.01(4).
- **Technician Certification Files.** Individuals who desire to conduct certain tests for the Department of Transportation must obtain certification. Training and testing are currently being outsourced; however, the Department of Transportation actually issues the certificates. These files only need to be maintained for five years after the certificate expires, because if someone is inactive that long, s/he will need to go through the original process to become re-certified.

- **Laboratory Proficiency Results.** The Department of Transportation maintains seven types of laboratories. The American Association of State Highway and Transportation Officials (AASHTO) accreditation program submits samples, on varying cycles from three to twelve months, of various materials to the materials laboratories that are accredited, to determine the relative proficiency of each laboratory enrolled in the program throughout the United States. Each laboratory must conduct the required materials testing for each proficiency sample and submit the results to the AASHTO accreditation program. A statistical analysis is conducted for all samples submitted, and performance ratings are assigned to each laboratory based on their results. A laboratory must consistently be rated within an acceptable statistical confidence level for proficiency to maintain accreditation as required by the Federal Highway Administration. The department should maintain these results for at least ten years to have a historical record of the performance of each laboratory within the department's central laboratory.
- **Laboratory Equipment Calibration Records.** The seven laboratories within the Department of Transportation's central testing laboratory have a variety of testing equipment. To ensure that the equipment is properly calibrated and verified for accuracy, the Department of Transportation must either calibrate the equipment itself or contract out for such a service. The American Association of State Highway and Transportation Officials (AASHTO) laboratory accreditation program requires that equipment be calibrated and verified periodically. These records need to be maintained for the life of the equipment to maintain certification as an accredited laboratory.
- **Records documenting proof of insurance for contractors.** The Department of Transportation must guarantee that contractors have insurance. Necessary proof may include general liability, automobile liability, and workman's compensation insurance. These records need to be maintained short term - three years - as proof in case of an accident.
- **Contractor Prequalification Applications.** To be able to bid as a prime contractor, the company must fill out forms saying what type of work it wants to do and that the company has the capability of doing that work through net worth. These records only need to be maintained for two years, because to continue work with the Department of Transportation, the contractor must update the information annually.
- **Construction Project Files.** These records, which are arranged numerically by project number, consist of correspondence in relation to projects. The project files need to be maintained in accordance with federal requirements - 3 years after the end of the fiscal year in which the Federal Highway Administration final voucher and all required documentation have been submitted to the Federal Highway Administration. For non-federal participating projects, retain 3 years from the date the contractor's final payment voucher has been processed.
- **Construction Project Card File.** These cards, divided into two categories, active and

inactive, are then arranged by division and contain information regarding construction contracts: contractor's name and address, surety agent's name and address, type of work for that contract, construction time, contract amount, and contract number. The cards date back to approximately 1974 and serve merely as reference; thus the card file should be retained for useful life.

- **Asphalt Index.** This index is based on monthly price quotes obtained from major suppliers of asphalt products to the Alabama highway construction industry. The index is composed of two entries, the asphalt cement index and the emulsified asphalt index, which are used to compute price adjustments for all grades of asphalt used in bituminous plant mix bases and pavements, surface treatments, tack coat, and mulch adhesive. These files need to be maintained five years for comparison.
- **Construction Fuel Index.** The fuel index is used to adjust the amount of compensation due for construction fuel. These files need to be maintained five years for reference.
- **Records documenting disadvantaged business enterprise program.** When federal money is involved in construction projects, the Department of Transportation will set a goal of how much of that work should go to minority contractors. Minority business may go through a certification process to be placed on a list to participate in this program. This certification is valid for three years with an update every year. The retention for this series is five years based on the practice of other state transportation departments and allows for sufficient reference material on this program (49 CFR 26).
- **Records documenting routine maintenance activities including surface patching, shoulder maintenance, drainage work, right-of-way vegetation management, and litter pickup.** This series may include, but is not limited to, such records as mowing agreements, wildflower seed purchases and correspondence, and special maintenance activity files. Because these records document routine work, the retention is short term - two years.
- **Records documenting systematic resurfacing and widening of roads.** Divisions submit resurfacing projects to the Department of Transportation, and an engineer reviews those plans to make sure they meet federal and state guidelines. These records only need to be maintained for reference until the completion of the project. Records maintained by the main office relate to the approval process, while the divisions maintain the records that actually document the resurfacing.
- **Records documenting interstate maintenance projects.** The main office is more involved in the process of maintaining interstates. Records documenting interstates should be maintained in accordance with the performance period for most interstates, which is eight years.

- **Records documenting certification of bridge inspectors.** Federal legislation requires all states to inspect bridges that are open to public traffic and lays out qualifications for those inspectors. As part of compliance, the Department of Transportation has a certification process for bridge inspectors. Applicants must have at least five years of experience as an inspector and must take a two-week course and successfully pass a standard national exit examination on fundamental safety issues concerning bridges. Alabama also requires participation in at least one round of continuing education before issuing certification. No fee is involved in the certification process; however, certified bridge inspectors must take continuing education courses (offered by the Department of Transportation) every other year to maintain active status. Even if a bridge inspector allows certification to lapse, the records need to be maintained in case that individual decides to take a continuing education course to gain active status. The records need to be retained fifty years after the year in which the initial certification was awarded to ensure that certified bridge inspectors are either retired or deceased before the original certification is destroyed.
- **Records documenting activities involved in determining load rating capacity for bridges.** Personnel within the Department of Transportation conduct tests to rate bridges and to determine the maximum weight that a bridge will sustain to protect users' safety. These files need to be maintained for a period of time after the bridge goes out of service to ensure that the bridge's active status will not be reinstated; thus, the retention is ten years after the bridge is no longer in service.
- **Records documenting periodic inspection and maintenance of bridges.** This series includes, but is not limited to, bridge scour files and underwater inspection files. The records need to be maintained for a period of time after the bridge goes out of service to ensure that the bridge's active status will not be reinstated; thus, the retention is ten years after the bridge is no longer in service.
- **Records documenting assistance provided during emergencies.** An emergency declaration may be made during and after such events as hurricanes or snow and ice storms. Many records will be created related to the dissemination of emergency funds. These records need to be retained for seven years to allow a sufficient period for the federal government to audit the records and to make sure the money was dispersed correctly.
- **Records documenting review and approval of changes in speed limits to Alabama highways.** The Code of Alabama, Section 32-5A-171, established speed limits in Alabama; however "whenever the Director of Public Safety and the Director of Transportation, with the approval of the Governor, shall determine upon the basis of an engineering and traffic investigation that any maximum speed hereinbefore set forth is greater or less than is reasonable or safe under the conditions found to exist at any intersection or other place or upon any part of the state highway system, said directors may determine and declare a reasonable and safe maximum limit thereat, which shall be effective when appropriate signs giving notice thereof are erected (Code of Alabama, Section 32-5A-172)." Engineers with

the Department of Transportation conduct speed studies and prepare reports concerning changes in speed limits. The Department of Transportation also approves any requests by local officials to change speed limits on state highways. These records are useful until superseded.

- **Records documenting issuance of permits to regulate oversized vehicles.** Alabama law authorizes the "Director of the Department of Transportation . . . [to] issue a permit . . . [for] a vehicle . . . whose weight, width, length or height, or combination thereof exceeds the maximum limit specified by law." These permits may be issued annually or for a single trip. Types of records include, but are not limited to, single trip permits, annual permits, routing authorizations, and applications. The retention, three years after the end of the fiscal year in which the records were created, allows these records to be audited.
- **Performance Bonds.** On all utility installations, the company is required to get a performance bond to ensure that it will properly adhere to guidelines and conduct clean up. Sometimes, the Department of Transportation may be required to cash the bond, when a company fails to fulfill its obligations. The bond is released after work is completed according to specifications.
- **Rest Area Inspection Reports.** Districts and divisions of the Department of Transportation are required to do maintenance work on rest areas and welcome centers. Every three months, personnel from the main office inspect the rest areas, grade them, and give an award to the best rest area and welcome center. Types of information in the reports may include if a sink is broken, if something needs to be painted, if pine straw was stuffed in the drain pipes, or if everything looked great. The retention for this series is ten years after creation of report to maintain a sufficient history of problems which may not have been corrected.
- **Records documenting building or improvements to Department of Transportation facilities.** Any building on state property must go through the Alabama Building Commission. Such records need to be kept to fulfill statute of limitations for suit, which is stated in Code of Alabama, Section 6-5-222 - thirteen years.
- **County Project Files.** The Department of Transportation maintains a file on all county projects which receive federal funding. These files need to be maintained in accordance with general grant requirements; thus, the retention is three years after the end of the fiscal year in which the project was completed.
- **County Maintenance Inspection Reports.** Each of the nine divisions is required to inspect all county federal aid projects and to create inspection reports, copies of which are sent to the main office. Lawyers with the Department of Transportation desire that the records be maintained for five years after creation of report.
- **County Bridge Scour Inspection Reports.** In order for counties to receive federal funding

for projects, inspections must be conducted on county bridges. Each division county transportation engineer is in charge of conducting those inspections. Copies of those reports are sent to the main office and to the counties. These records only need to be kept at the main office five years for reference. Counties will keep these reports for as long as a bridge remains in service.

- **Records documenting the identification and reduction of high crash areas.** These records consist mostly of crash analysis reports and data gathered and passed on to other federal, state, and municipal agencies. One example of a report is a daily printout the Department of Transportation receives on whether there were any fatalities on the road that day. Other daily, weekly, or monthly printouts include, but are not limited to, intersection accidents, accidents involving road defects, construction zone accidents, and accidents involving state property. This type of data is summarized in the traffic crash facts booklet, a permanent record produced annually by the Department of Transportation. The data only needs to be maintained until production of this annual report; thus, the retention is one year after creation of records.
- **Records documenting the hazard elimination program.** The Department of Transportation participates in this federal program which helps to identify and to remove obstacles, which may increase incidents of crashes. Hazardous locations are identified, reviewed, and corrective measures are proposed. Projects funded under this program are typically low cost improvements that produce a high benefit. All public roads are eligible for this category of funding. Personnel look at a site and rank it according to a cost benefit analysis, which summarizes the problem, number of accidents, and other pertinent data. A recommendation is made based on whether a reduction in crashes would result if the problem was corrected. These project files also include plans and financial documentation of funding. These records need to be kept in accordance with general guidelines in relation to federally funded projects - retain three years after the end of the fiscal year in which the project was completed.
- **Records documenting multi-jurisdictional traffic safety programs.** These programs encompass the 4-E's approach to highway and traffic safety: engineering, education, enforcement, and emergency medical services. Engineers, educators, law enforcement officials, and medical service representatives are encouraged to work cooperatively and to provide guidance and leadership in identifying problems and special needs within their respective communities. These records need to be kept in accordance with general guidelines in relation to federally funded projects - retain three years after the end of the fiscal year in which the project was completed.
- **Records documenting specially funded traffic safety programs.** These incentive funds are given by the Alabama legislature because of passage of legislation such as seat belt legislation or lowering the blood alcohol content to .08. These funds pay for various initiatives, which can range from safety coloring books to overtime enforcement or

billboards. These records need to be maintained for one audit cycle.

- **Records documenting routine program activities and compliance with program requirements relating to promotion of public awareness in traffic safety.** Safety management personnel are actively involved in all phases of safety statewide, which include such activities as public speaking engagements, safety displays, establishment and participation in safety campaigns, and distribution of safety literature and promotional items. Routine records related to these programs, which are sometimes paid for with federal funds, need to be maintained three years after the end of the fiscal year in which the program was completed. Permanent documentation of this process is captured in the record series safety literature.
- **Records documenting routine project activities and compliance with project requirements for programs which advance ideas and technology in traffic engineering to improve safety.** These files document intelligent transportation systems programs which receive federal funding. These programs advance ideas and new technology in traffic engineering which improve safety. One example under this program would be the variable message signs that give motorists information as they are traveling. Specific projects under this series may also relate to congestion mitigation and air quality. Types of documents in these records include, but are not limited to, partnership agreements between the Department of Transportation and the Federal Highway Administration, funding agreements with the Department of Transportation and the governmental entity receiving federal funds, memorandums of understanding with various agencies committing cooperation to a project or plan, correspondence, and financial files. These records need to be maintained three years after the end of the fiscal year in which the project was completed because these are federal aid reimbursable projects.
- **Video Logging Records.** Department of Transportation personnel conduct inventories on existing highways to determine signing, marking, and maintenance conditions. Staff members go out in a van and video roadway information for state and federal highways. This process is completed about every three years. Prior to video, the department used photographs to document the roads. This information is helpful for comparison and maintains legal value to the department because of the use of this information for court cases involving accidents; thus, the retention is twelve years to allow for material to be referenced.
- **Traffic Origin and Destination Studies.** These studies are conducted to provide information necessary for the design of roads. For example, if a bypass has been proposed to go around the town, the Department of Transportation will need to find out how many vehicles will be using it and which intersection the vehicles will be getting off and on. To do that, the agency needs to discover where the trips start and end. A summary will be provided of vehicle counts with percentages of traffic in different zones. These reports are necessary to provide for proper turning movements; however, the reports only retain a short term internal administrative purpose, which is for design, so the retention is three years after

creation of records.

- **Highway Performance Monitoring System Records.** The Federal Highway Administration requires the maintenance of the highway performance monitoring system, from which it requires data to be sent every year. Records in this database document all public interstate, state, and local mileages by route and mile point. The database includes sample and non-sample roadway sections. These records need to be maintained ten years to fulfill the requirements to the Federal Highway Administration and to allow a sufficient history for comparison by year.
- **Records documenting mileage calculations.** The Federal Highway Administration requires the state Department of Transportation to create reports, which may list road mileages by county or by its functional classification. Only the most current calculations need to be maintained; therefore, they should be retained until superseded.
- **Route Descriptions.** This series includes a brief description of all state routes and national routes in Alabama, including origin and ending point. This information goes into the annual report; thus, they should be retained until superseded.
- **Linear Reference System Records.** The linear reference system is a map locating all intersections of major highways in the state. The main purpose of this system is to integrate the maps for all fifty states to show main routes of travel. These records are useful for as long as this system is used, so the retention is for useful life.
- **Link/Node Reference System Records.** The Department of Transportation works with the Department of Public Safety on identifying accidents. Every intersection in the state has a road number assigned to it for accident reporting purposes. Nodes are at intersections, with the links being the connection between nodes. Using this system, police report every accident with a physical location. This tracking information is used by the safety program to determine problem areas and solutions for improvement. This system is for uniform reference on accident reporting, and this series only needs to be retained for as long as the system is used, so the retention is for useful life.
- **Annual Statistical Reports to the Federal Highway Administration.** The Federal Highway Administration requires the Department of Transportation to submit several statistical reports each year, from which it creates a manual of highway statistics. The Federal Highway Administration requires that these reports be retained six years from the time they were filed.
- **Motor Vehicle Registration Annual Reports.** The Department of Transportation receives tag reports from each of the sixty-seven counties in the state of Alabama. This information is then summarized into a yearly report, which is used by other agencies such as the Department of Revenue, the Legislature, and such companies as the American Automobile



Association. This detailed report shows the total amount of revenue received by the state and counties and then describes the distribution of those revenues. The retention for this series is five years to allow for reference.

- **Federal Transit Administration Funded Project Files.** The Federal Transit Administration provides funding to help administer public transportation programs in Alabama. These programs target urban and rural areas, the elderly and disabled, and local area planning. Types of records in these files, include but not are limited to, agreements, reports, financial data, and correspondence. These records need to be maintained in accordance with federal regulations - retain three years after the end of the fiscal year in which the project was completed.
- **Federal Transit Administration Funded Vehicle Records.** The Department of Transportation purchases buses and/or other vehicles for agencies with whom it contracts to perform services. On all vehicles purchased, the department maintains an 80 percent interest and must be notified before any vehicle is sold. Because these vehicles are purchased with federal funds, the records need to be maintained three years from the date of equipment disposition, replacement, or transfer.
- **Insurance Provider Information.** The Federal Transit Administration requires that all federally funded equipment be maintained in accordance with the manufacturer's adjusted maintenance schedules and that the vehicles be properly insured. Each recipient must have an insurance policy, with the Department of Transportation setting a minimum limit for coverage. The Department of Transportation also participates in 80 percent of the coverage of that cost, because it maintains an 80 percent interest in the vehicle. The Department of Transportation must maintain relations and records of the insurance companies to make sure that it receives all accident reports and to make sure that all necessary drug and alcohol testing is completed in the case of an accident. These records need to be maintained for as long as any federal transit recipient is doing business with a particular company.
- **Employee Drug and Alcohol Testing Data Collection Reports.** Transit authorities that receive federal funding must abide by rules and conduct alcohol and drug testing on employees. The Department of Transportation must create a summary of drug and alcohol testing each year. Because this information has been heavily used in court cases, the retention is retain seven years after the end of the fiscal year in which the records were created.
- **Records documenting local rail freight assistance program.** The federal government, at times, provides money to railroads which need assistance. One example of such aid would be when federal money is used to repair lines that were damaged in a flood. Because these projects involve federal money, the records need to be maintained three years after the end of the fiscal year in which the project was completed.

- **Project Files documenting the installation of signs, markings, and signals at railroad crossings.** Before the Department of Transportation works on a project for a railroad crossing, an engineering review will be conducted. Meetings will be held with local governments, railroads, and personnel of the agency to determine what kind of work will be done on that project. These files also include authorization letters which must be obtained from the Federal Highway Administration to obtain approval for a project. By Alabama's own law, the state is not allowed to spend any money on railroads, so all railroad projects are funded with federal money. The records need to be maintained three years after the end of the fiscal year in which the project was completed.
- **Municipal Maintenance Agreements and Resolutions documenting the maintenance of signs, markings, and signals at railroad crossings.** When the Department of Transportation puts up signs, markings, and signals at railroad crossings, the Department of Transportation will make an agreement with the local municipality to maintain those signs. These records need to be maintained for as long as the signs, markings, and signals are in place so that the agency has documentation for the enforcement of such agreement.
- **Master Railroad Agreements.** The Department of Transportation has master agreements with each railroad that operates in Alabama. These agreements are used as a template each time an agreement needs to be made with the railroad, such as when a highway intersects with a railroad. These master agreements, which are created so that the negotiating parties do not have to start from scratch, need to be maintained until the railroad ceases to operate in Alabama.
- **Project Railroad Agreements.** When federal money is spent on any railroad project, there has to be an agreement with the railroad. The Department of Transportation starts with the master railroad agreements and modifies it for a particular project. These records are often called supplemental railroad agreements. Because they involve federal money, these agreements need to be maintained three years after the end of the fiscal year in which the project was completed.
- **Records documenting routine project activities and compliance with project requirements for the administration of the transportation enhancement program.** These federal aid reimbursable projects relating to the transportation enhancement program may also include special legislative projects which fall under this category. Types of records in these files include applications, agreements, environmental clearances, and correspondence. Because these projects involve federal money, the retention is three years after the end of the fiscal year in which the project was completed.
- **Records documenting routine project activities and compliance with project requirements for the administration of the bicycle and pedestrian program.** Federal aid reimbursable projects relating to the bicycle and pedestrian program may also include special legislative projects which are under this category. These project files need to be maintained

in accordance with federal guidelines; thus, the retention is three years after the end of the fiscal year in which the project was completed. Permanent documentation of this function is found in the project narrative reports and the bicycle and pedestrian program plans, which are part of the statewide plans.

- **Flight Logs.** Information included in this log is the day of the trip, choice of aircraft, possibly the names of the crew, and the time it took to get there and back. These logs do not include the agency using the aircraft or the names of passengers. This series also does not list the location to which the aircraft was being flown. This series needs only be maintained three years for audit. The agency bureau of air transportation creates no records that identify passenger names and the location of trips.
- **Airport Inspection Files.** The Department of Transportation licenses and conducts an annual safety inspection of public use landing areas. If an owner/manager fails to meet standards and does not correct any problems, the airport's license may be revoked. A retention of five years after closure of the airport is sufficient in case an airport is bought and reopens.
- **Notices of Proposed Construction.** The Department of Transportation receives notices for proposed construction projects that involve such structures as cell phone towers or high rise buildings. These documents are reviewed to determine if these structures will pose a hazard to navigation. The agency does not regulate the towers, so a one year retention after the date of notice is sufficient to fulfill short term administration needs.
- **Records documenting requests for information or assistance.** Attorneys or the public may call requesting information from the Department of Transportation. These records may also refer to other types of requests made by the public or internally within the department. The retention for these records is two years because many of the requests relate to potential lawsuits which would be filed within two years of the incident that is the subject of the request.
- **Compliance Records.** These records document an agency's participation and compliance with federal and/or state regulations. The retention for these records is often not specified by the federal government, but three years is a sufficient period to prove compliance, unless otherwise specified by law.
- **Records documenting Title VI review.** All federal funds must be monitored to ensure that nondiscriminatory practices are used. One example of this program would be to make sure that metropolitan planning organizations are not breaking down one neighborhood to build up another. Another example is in possible displacement projects - studying the age of people and historical artifacts and having public involvement meetings - to ensure that when federal dollars are being used, the process is fair. The retention is three years for compliance with federal regulations and for administrative needs.

- **Notary Certification Files.** Notaries in the Department of Transportation are certified through the Probate Court. These certifications need to be maintained until no longer valid. The probate court determines the validity period for these certifications.
- **Board of Adjustment Claim Files.** These claims are filed against the department for damages that occurred during normal work projects. One example would be a rock hitting a window because of construction. These cases, which are heard by the Department of Finance's Board of Adjustment, need to be maintained two years because of possible litigation within that period.
- **Administrative Hearing Case Files.** These cases go through the state administrative process. Hearings are conducted by law judges at the Attorney General's office. Any lawsuits would need to be filed sixty days after decision; therefore, the retention is retain two years after the case is closed for short term reference.
- **Records documenting requests for outside legal counsel.** The Department of Transportation may request outside counsel when agency attorneys need more help. These requests happen most for deputy assistant attorney generals in right-of-way cases. These records are needed three years for administrative reference.
- **Suspension/Termination Hearing Files.** Attorneys within the Department of Transportation will hear cases that involve the suspension or termination of a departmental employee. A lawsuit resulting from that hearing would happen within two years; thus, the retention is retain two years after the case is closed.
- **Records documenting peer review.** About every three years, internal auditors from other state transportation agencies perform an independent review of the Alabama Department of Transportation internal auditors to determine the quality of audit work done by the audit group and the degree of the audit group's compliance with professional standards. This peer review is required by government audit standards. The American Association of State Highway Transportation Officials recommends that these records be maintained until completion of the next peer review and release of report; therefore, the retention period is retain until superseded.
- **Bid Tabulations.** Every month, after jobs are let, the Department of Transportation compiles a final list of the contractor's bid prices. These bid tabulations have a short one sentence contract description and all of the bidder's prices. These records provide a summary for all of the bids and has a ten year retention for reference.
- **Records documenting employees' completion of courses and programs.** Documentation of an employee's completion of training may not always be placed in an individual's personnel file. These records should be maintained until one year after separation of

employee from the agency as documentation of an employee's continuing education.

- **Subsidiary documentation of continuing education of agency employees.** These records may include correspondence and training records related to the completion of a particular program, in which case, the records need to be maintained three years, or until the completion of that program, whichever is longer.

**II. Permanent Records.** The Government Records Division recommends the following records as permanent.

### **Planning**

- **Statewide Transportation Plans.** This plan includes such information as goals and objectives; statewide transportation system overview of highways, mass transit, ports and waterways, railroads, aviation, bicycle and pedestrian systems, and intermodal systems and facilities; metropolitan area profiles; related planning considerations such as economic development, energy policy, the environment, demographics, environmental justice, and other mobility needs; needs assessment; funding and financing issues; and recommendation and policy strategies. This plan warrants permanent retention for its documentation of the transportation planning process in Alabama. (RDA pg. 3-2-1) (**Bibliographic Title: Statewide Transportation Plans**)

### **Coordinating Pre-Construction Activities**

- **Surveyor Files.** These records refer to the collection of information about the landscape on which roads will be built. This survey is a description of the property which represents the physical geometric conditions of the landscape, including elevations, right-of-way, and topography. These records include field maps, GPS coordinate control, and aerial photographs. This series is essential to the design of roads/bridges and needs to be maintained permanently in the Department of Transportation's office as documentation of the design process. (RDA pg. 3-3-1)
- **Design Documentation.** These files include design calculations that were used in designing projects, whether for bridges, highways, traffic signals, roadway lighting, or other similar projects. One example would be the calculations supporting the hydraulic analysis and design of a project. These are needed to provide justification of the design should a dispute arise after the project is built. Design documentation files also include design policy memorandums, location memorandums, the Utility Manual, Guidelines for Operations, and other policy and procedure documentation. Design documentation files also include project inspection reports, minutes of meetings, or other files documenting design decisions. These types of records are important to maintain permanently in the agency's office to allow the Department of Transportation to justify design decisions and the engineering judgment process. (RDA pg. 3-3-1)
- **Design Plans.** These files include preliminary and final design plans. One example of preliminary design would be for the Montgomery Outer Loop. The entire project might cost more than three hundred million dollars. Since that amount is too much to contract at once, several smaller projects will be broken out to accomplish that one goal. The Department of Transportation will go through a preliminary phase and design the entire route to decide the geometric design conditions, before being broken into smaller projects, which will then have

its own contract plan. Final plans provide the design to be constructed and the quantities to be bid. All of these plans need to be maintained permanently in the agency's office as evidence of the design of highway systems in Alabama. (RDA pg. 3-3-1) (**Bibliographic Title: Design Plans**)

- **Final Environmental Documents.** This series includes such records as categorical exclusion reports for environmental clearance for minor projects, environmental assessments and findings of no significant impact for environmental clearance for moderate projects, and environmental impact statements for environmental clearance for major projects. These records are important to provide permanent documentation of the impact of construction on the environment. (RDA pg. 3-3-2) (**Bibliographic Title: State Publications**)

#### **Acquiring Rights-of-Way**

- **Records documenting creation of legal descriptions for all property conveyed by or to the Department of Transportation.** This series consists of two major components. The plan assembly is a stack of drawings (11"x17") or roll map showing details of property ownership, area of properties to be acquired, and existing topography (structures and vegetation) that may be damaged or relocated. The second component is the deed assembly which includes a legal size drawing with additional details, such as the distance and angles around boundary lines, along with an attached property description. These records need to be maintained permanently at the agency to document ownership. (RDA pg. 3-4-1)

#### **Managing Equipment**

Permanent records providing summary documentation of this subfunction are found in the department's annual report, in policies and procedures, and on the department's website.

#### **Testing and Approving Highway/Bridge Construction Materials**

- **Product Evaluation Board Meeting Agenda and Minutes.** The product evaluation board, which consists of bureau chiefs, makes determinations at its monthly meetings as to whether new products from industries or vendors will be placed on the qualified products lists for the Department of Transportation. The agenda and minutes for these meetings document the decisions of the product evaluation board; therefore, this series needs to be maintained permanently. (RDA pg. 3-6-1) (**Bibliographic Title: Meeting Agenda and Minutes of the Product Evaluation Board**)
- **Product Files.** The Department of Transportation maintains files on each product brought before the product evaluation board. These files, which include records of testing completed by the Department of Transportation, document that the agency did not show company favoritism in approving/disapproving of a product but tested each one on its own merit. This series has a permanent retention because of its documentation on the evolution of materials

used in highway construction and on the calculations made by engineers in testing. (RDA pg. 3-6-1) **(Bibliographic Title: Product Files)**

- **Research Advisory Board Meeting Agenda and Minutes.** This board, which consists of bureau chiefs, decides what research projects will be conducted with transportation funds. The Department of Transportation may have a problem to which it needs a solution and will ask a professor to conduct research. Universities or industries may submit their own proposals. The committee will approve projects which it feels are beneficial to the department. Types of information in the meeting minutes include committee members present, committee members not present, visitors present, a brief summary of a particular program, approved proposals from last meeting, proposals not approved, and the financial status of the program. This series warrants permanent retention for its documentation of the activities of the board. (RDA pg. 3-6-1) **(Bibliographic Title: Meeting Agenda and Minutes of the Research Advisory Board)**
- **Final Research Reports.** The Federal Highway Administration, which pays for 80 percent of transportation research projects, requires the submission of a final research report that documents the research methods and findings of the study. Draft copies are sent to the project advisory committee, six to eight people from the Department of Transportation assigned to oversee a project, and to the Federal Highway Administration for review. The professor or industry will then either clarify or defend the results. This report must be maintained permanently to document the findings of research projects. The federal transportation research board maintains a comprehensive listing of projects conducted with transportation funds to keep from spending dollars on duplicated research. (RDA pg. 3-6-1) **(Bibliographic Title: Final Research Reports)**
- **Materials, Sources, and Devices with Special Acceptance Requirements Manuals.** This manual, created and maintained by the Department of Transportation, includes qualified sources, approved materials, qualified materials, approved traffic control devices and materials, and qualified traffic control materials. This series should be maintained permanently to document lists of qualified materials, sources, and devices and procedures for evaluation and maintenance of lists. (RDA pg. 3-6-1) **(Bibliographic Title: State Publications)**
- **Concrete Design Mixes and Hot Mix Asphalt Job Mix Formulas.** These concrete mix designs and job mix formulas define the materials composition of pavements, bridges, and drainage structures and need to be maintained permanently in the Department of Transportation's office. This historical data provides valuable information for developing plans for the recycling, rehabilitation, reconstruction, and replacements projects for highways and bridges. (RDA pg. 3-6-1)
- **Federal Highway Administration Approved Pavement Documentation for Interstate Highway System Projects.** To build and name an interstate, authorization must be obtained



from the Federal Highway Administration. The records, which include such information as approved pavement structural buildups, project limits, and rehabilitation treatments, should be retained permanently in the Department of Transportation's office to document what goes into building that interstate. (RDA pg. 3-6-1)

- **Approved Material Reports and Addenda for Limited Access Routes.** The Department of Transportation creates certain routes to the same specifications as interstates with only limited access points because there is a possibility that these corridors will be named as interstates in the future. Documentation of materials used needs to be maintained permanently in the agency's office as evidence that these highways meet the standards of interstates. (RDA pg. 3-6-1)
- **Records documenting testing and rating of in-service pavements.** These records consist of data and reports for use by the divisions in prioritizing maintenance projects or for fulfillment of a requirement by the Federal Highway Administration. Falling weight deflectometer tests measure the pavement structural capacity. The friction test will provide friction numbers giving an indication of the pavement's frictional resistance to a vehicle tire. The Federal Highway Administration requires the collection of longitudinal profile data which generates an international roughness index value for pavement. Pavement condition survey reports document the amount of distress on a road, and preliminary priority reports predict the condition of a road for three years to help provide the divisions with the ability to prioritize maintenance funds. All of this data is important for providing a history of pavement condition; thus, the recommended retention is to retain permanently in the agency's office. (RDA pg. 3-6-2)
- **Radiation Exposure Records.** The Department of Transportation keeps up with how much radiation exposure its personnel are exposed to in running density tests with nuclear gages. The Alabama Department of Public Health requires that these records be maintained permanently in the agency's office as a condition for obtaining a radioactive materials license. (RDA pg. 3-6-2)
- **Technician Rosters.** Individuals who test certain materials for the Department of Transportation must have certification. While training and testing is now being outsourced, the certificates, which are valid for a few years, are issued by the Department of Transportation. Re-certification depends on experience and may include taking a class, passing a test, or showing work experience. An annual roster needs to be maintained permanently as documentation of technicians in Alabama. (RDA pg. 3-6-2) **(Bibliographic Title: State Publications)**
- **Geotechnical Subsurface Investigation Records.** As part of the plan development process, the geotechnical section develops a foundation report for all structures to include bridges and some culverts. This report is based on borings that are drilled at each foundation support location. The report contains all drill logs which show the soil characteristics at the drill

location from the surface to the point of termination of drilling. Additionally, soil samples are collected from each borehole and are analyzed for various engineering properties. The information that is gained from analyzing the borings data is then used in determining the design of the foundation that forms the basis of support for the structure. In many instances, it is important to be able to review records containing information from previous soil investigations. This information assists in developing soil investigation studies and in confirming engineering judgements that were necessary in the investigative phase. For this reason, it is important that all foundation investigation reports be retained permanently in the agency's office. (RDA pg. 3-6-2)

- **Hazardous Materials Project Files.** The Department of Transportation is required to determine the impact that hazardous materials sites may have on road construction projects. This determination is made by conducting phase I and possibly, phase II pre-purchase environmental assessments of property. For property that is found to be impacted by a hazardous material, a cost estimate for mitigating the problem is forwarded and used in determining final property acquisition. If a site is purchased that contains hazardous material, the department becomes the responsible party for mitigating the problem. The department must meet all environmental regulatory requirements in writing and implement a corrective measures plan. Information collected to verify site conditions at time of closure and for the time specified for post closure monitoring is contained in the project files. The department is routinely questioned about closure performance well after the project has been completed. Because of the liability associated with closure actions for hazardous materials sites, any information developed as part of the investigation and implementation process should be retained permanently in the agency's office. (RDA pg. 3-6-2)

### **Administering Contracts for Highway/Bridge Construction Projects**

Permanent records providing summary documentation of this subfunction are found in policies and procedures manuals.

### **Coordinating Highway/Bridge Maintenance**

- **Bridge Inventory Records.** The Code of Federal Regulations states that "each state shall prepare and maintain an inventory of all bridge structures (23 CFR 650.311)." Each time a bridge is built, a form is completed indicating the location of the bridge, its size, location, and various other details about the structure. This series provides documentation of the structure of bridges in Alabama and should be maintained permanently. (RDA pg. 3-8-1) **(Bibliographic Title: Inventory of Bridge Structures)**
- **Alabama Certified Bridge Inspector Rosters.** These records contain contact and qualification information for all certified bridge inspectors. This roster should be maintained permanently because it provides key documentation of certified bridge inspectors in Alabama. (RDA pg. 3-8-1) **(Bibliographic Title: State Publications)**

- **Records documenting regulation of activities performed on rights-of-way.** The Department of Transportation permits activities performed on rights-of-way including, but not limited to, accommodation of utilities, construction of turnouts or medians, grading and/or landscaping, installation and maintenance of special directional and/or political boundary signs, erection of outdoor advertising signs, conduction of seismic surveys on highway shoulders, establishment of junkyards, arrangement for cooperative maintenance, and agreements for adopt-a-mile segments. Although many permits may specify that work be completed within the year, these permits need to be maintained permanently in the agency's office as evidence of the original agreement. One example of the importance of maintaining these records is if the Department of Transportation decided to widen a road, it needs documentation of where all the utilities are located. The agency also needs the original agreements as a record of who had permission to perform work and as a method of enforcement for those who did not adhere to specified guidelines. (RDA pg. 3-8-2)

#### **Assisting Counties with Highway/Bridge Construction Projects**

- **County Maps documenting completed projects.** The Department of Transportation maintains a map of each county on which it posts all federally funded completed projects. To give one example, these maps provide such information as if and when a road was resurfaced. An average size for these maps is 28" in width and 36" in length. The Department of Transportation started creating these maps back in the late 1940s, and they should be maintained permanently to document completed federally funded county highway/bridge projects in Alabama. (RDA pg. 3-9-1) **(Bibliographic Title: County Maps)**
- **County Correspondence Files.** The Department of Transportation maintains a correspondence file on each county in the state of Alabama. These records include all correspondence to and from counties that would not go into a particular project file. This series needs to be maintained permanently in the agency's office to document the department's contact with counties. (RDA pg. 3-9-1)

#### **Administering Highway Safety Programs**

- **Highway Safety Improvement Plans.** This plan summarizes the safety program for the state of Alabama. It includes a listing of all safety activities performed and a listing of costs. This series serves as evidence of the safety program in Alabama and should be retained permanently. One example of the plans that might be in this series is the hazard elimination program, which identifies hazardous locations, sections and elements, including roadside obstacles and unmarked or poorly marked roads, which may constitute a danger to motorists, bicyclists, and pedestrians. The state assigns priorities for the corrections of such locations, sections, and elements and establishes and implements a schedule of projects for their improvements. The actual project files are a temporary record. (RDA pg. 3-10-1) **(Bibliographic Title: Highway Safety Improvement Plans)**

- **Traffic Crash Facts Booklets.** This publication produced annually provides detailed information on accidents, including, but not limited to, accidents broken down by age group, use of seat belts, and summary of causes and types of crashes. This series warrants permanent retention for its documentation of accidents on Alabama's highways. (RDA pg. 3-10-1) (**Bibliographic Title: State Publications**)
- **Safety Literature.** This series consists of brochures and other types of informational materials created through the Department of Transportation's program to promote awareness of highway safety issues, such as work zone safety or stopping red light running. A copy of these materials should be retained permanently to document these safety programs in Alabama. (RDA pg. 3-10-1) (**Bibliographic Title: State Publications**)
- **Intelligent Transportation Systems Advisory Committee Agenda and Meeting Minutes.** Intelligent transportation systems is a federally funded program, which advances ideas and technology in traffic engineering to reduce congestion and improve safety. One example of the results of this program is the variable message signs, usually in urban areas, that give motorists information as they are traveling. The state advisory committee oversees this program in Alabama. The committee consists of representatives from divisions which are involved in intelligent transportation systems projects. The meeting minutes should be maintained permanently for documentation on the progress of these projects. (RDA pg. 3-10-1) (**Bibliographic Title: Meeting Agenda and Minutes of the Intelligent Transportation Systems Advisory Committee**)
- **Intelligent Transportation Systems Project Narrative Reports.** The city or governmental entity who participates in an intelligent transportation systems federal aid reimbursable project must submit a quarterly report and final report. These updates are usually brief and less than one page. Because the final report is more like a quarterly report, all narrative reports should be maintained permanently to document the accomplishments of these projects. (RDA pg. 3-10-1) (**Bibliographic Title: Narrative Reports of the Intelligent Transportation Systems**)

#### **Collecting, Compiling, Analyzing, and Reporting Data**

- **Official State Highway Maps.** The Department of Transportation produces an official state highway map about every year. This series should be retained permanently as evidence of changes in the highway system in Alabama. (RDA pg. 3-11-1) (**Bibliographic Title: Highway Maps**)
- **General County Highway Maps.** The Department of Transportation produces a map of each county every year. These maps provide more detailed information on Alabama's roads; thus, the retention is permanent. (RDA pg. 3-11-1) (**Bibliographic Title: County Highway Maps**)

- **Road Inventory Records.** This series contains all data pertaining to any particular route or road in Alabama. The inventory shows such information as actual beginning point, any other routes that the road crosses, and the ending point of routes. The records also provide more details, such as roadway width, type of material used on roads, and anything along the road, such as traffic generators, power lines, churches, schools, and other physical features. These records provide important documentation of the roads in Alabama and should be maintained permanently. (RDA pg. 3-11-1) (**Bibliographic Title: Inventory of Road Data**)
- **Aerial Photographs of Counties.** The Department of Transportation keeps files of every county, which are used to update the county maps. These files have been kept back to the 1950s and provide historic documentation of the changes in roads in Alabama - warranting a permanent retention. (RDA pg. 3-11-1) (**Bibliographic Title: Aerial Photographs of Counties**)
- **Annual Average Daily Traffic Volume Reports.** The Department of Transportation puts out road tubes to keep up with traffic volume. The annual report provides annual average daily traffic volumes and should be maintained permanently to help document traffic flow. (RDA pg. 3-11-1) (**Bibliographic Title: Annual Average Daily Traffic Volume Reports**)

#### **Administering Multimodal Transportation Programs**

- **Federal Transit Administration Annual Reports.** These reports must be submitted annually to the Federal Transit Administration on each of the various public transportation programs operated by the Department of Transportation. Currently, the agency operates three transit programs, each of which has its own target: urban; non-urban or rural; and elderly and disabled. The department also acts as a pass through entity for planning grants. This series warrants permanent retention for its documentation of the accomplishments of each program. (RDA pg. 3-12-1) (**Bibliographic Title: Annual Reports to the Federal Transit Administration**)
- **State Railroad Plans.** Alabama maintains a railroad plan, which is updated about every five years. This plan includes detailed information and a map of all railroads that operate in Alabama. These plans should be maintained permanently to document the changes in Alabama's railroad system over time. (RDA pg. 3-12-1) (**Bibliographic Title: State Railroad Plans**)
- **Alabama Railroad Directories.** The Department of Transportation maintains a directory of all railroads that conduct business in Alabama. This directory contains a listing of all railroads and a brief summary of operations. These directories, which are updated about every five years, have a permanent retention because of its documentation of railroads in Alabama. (RDA pg. 3-12-1) (**Bibliographic Title: Alabama Railroad Directories**)

- **Railroad Highway Crossing Inventory.** The Department of Transportation maintains an inventory of all public railroad grade crossings. Currently, the inventory consists of about three thousand entries, of two or three pages each, including such information as what kind of road, speed of trains - all of which must be reported to the federal government. This inventory provides documentation of safety issues concerning rail crossings in Alabama and should be maintained permanently. (RDA pg. 3-12-1) **(Bibliographic Title: Inventory of Railroad Highway Crossings)**
- **Records documenting closure of railroad crossings.** When the railroad and local governments agree to close a crossing, letters are sent to municipalities and railroads, and notice is given to the public for a hearing before such a decision may be made. The department needs to maintain these records in its office permanently as documentation and legal protection that proper procedure was followed to close the railroad crossing. (RDA pg. 3-12-2)
- **Bicycle and Pedestrian Project Narrative Reports.** Summary documentation of these federal aid reimbursable projects for bicycle and pedestrian facilities improvements should be maintained permanently to document activities of the program. (RDA pg. 3-12-2) **(Bibliographic Title: Narrative Reports for Bicycle and Pedestrian Projects)**
- **Transportation Enhancement Administrative Files.** These files include such items as policy decisions, documentation that gets approved, and general correspondence on the administration of the program. This series warrants permanent retention as evidence of this enhancement program for Alabama. (RDA pg. 3-12-3) **(Bibliographic Title: Administration Files for Transportation Enhancement Projects)**
- **Transportation Enhancement Project Narrative Reports.** Summary reports of specific projects within the transportation enhancement program should be maintained permanently to document specific accomplishments of this federal aid reimbursable program. (RDA pg. 3-12-3) **(Bibliographic Title: Narrative Reports for Transportation Enhancement Projects)**

#### **Administering Air Transportation Services**

Permanent records providing summary documentation of this subfunction are found in the department's annual report.

#### **Regulating and Developing Aeronautical Facilities**

- **State Aeronautical Charts.** The Department of Transportation biannually publishes a state aeronautical chart that is distributed at no cost to airports and pilots. These charts, designed for flight planning purposes to assist pilots using Alabama's system of airports, provide documentation of changes over time. (RDA pg. 3-14-1) **(Bibliographic Title: State**

## **Publications)**

- **Airport Files.** These records mostly include correspondence between the Department of Transportation and airports. The agency needs to maintain this correspondence permanently in its office as documentation of inspection visits, airport projects, and any other contacts with the airports. (RDA pg. 3-14-1)
- **Alabama Aeronautics Commission Meeting Agenda and Minutes.** This series contains the proceedings of decisions reached by the Alabama Aeronautics Commission in its formulation of policies and procedures for the Department of Aeronautics before it merged with the Department of Transportation in 2000. The meeting minutes include discussions of aviation gas tax, maintenance of airport facilities, and grant assistance provided to airports. The Aeronautics Commission remains intact but merely serves in an advisory capacity and meets at the discretion of the Transportation Director. This series should be maintained permanently to document the decisions of the Aeronautics Commission. (RDA pg. 3-14-1) **(Bibliographic Title: Meeting Agenda and Minutes of the Alabama Aeronautics Commission)**

## **Administering Internal Operations**

- **Agency History Files.** This series consists of material, not included in the administrative files of the director, which document the history of the agency. This series may specifically address such issues as changes in administration or modifications in the structure of the agency. These records need to be maintained permanently for their historical value. (RDA pg. 3-15-1) **(Bibliographic Title: Administrative Structure Files)**
- **Administrative Files of the Director.** This series which, although consisting of correspondence of the transportation director, also contains various other records documenting the activities of the agency. Typical records in these files include correspondence, memoranda, reports, agency publications, and other materials concerning agency policy, procedures, organization, programs, and fiscal or personnel matters. These files should be maintained permanently to document policy making within the department. (RDA pg. 3-15-1) **(Bibliographic Title: Administrative Files)**
- **Procedural Guidelines.** This series may include procedural manuals, rules and regulations, instructions, memoranda, and other issuances that establish a course of action for the agency or one of its divisions. Specific examples are standard specifications and construction manual, testing manual, bridge and culvert standards, bridge bureau structures design and detailing manual, utilities' manual, guidelines for operation manual, metric primer, and metric conversion guide. This series is permanent to document the official policies and procedures of the Department of Transportation. (RDA pg. 3-15-1) **(Bibliographic Title: Policies and Procedures)**

- **Annual Reports.** The Department of Transportation is required by law to submit an annual report to the governor. This report outlines the duties and accomplishments of each bureau within the agency. A statistical section also includes, but is not limited to, such information as personnel and payroll comparisons for the last two fiscal years, separations and appointments, pie charts of receipts and disbursements, outstanding bonds, principal and interest paid on highway bonds, federal highway aid expenditures, summary of construction and maintenance activities, maintenance costs, status of grants-in-aid to the county road program, purchase of equipment summary, number of projects and amount awarded for ten year period, county bridge replacement program summary, total gallons of fuel taxed, natural road building material map, and a description of Alabama's state highway system. This series should be maintained for its historical value. (RDA pg. 3-15-2) **(Bibliographic Title: State Publications)**
- **Publicity and Informational Materials.** The Department of Transportation produces publicity or information materials, which may be directed to its staff, constituents, or the general public. Types of materials within this series may include news releases, newsletters, brochures, periodicals, and public service announcements. These records provide a concentrated source of information on the department. At least one copy of such items needs to be maintained permanently. (RDA pg. 3-15-2) **(Bibliographic Title: State Publications)**
- **Reynolds vs. ALDOT Case Files.** The Reynolds case is a racial discrimination lawsuit against the Department of Transportation, which developed into a class action lawsuit. Originals are being maintained by outside attorneys who are handling the case, but upon resolution, all originals will revert back to the Department of Transportation. Because this case is important for the precedents set, these records warrant a permanent retention. (RDA pg. 3-15-3) **(Bibliographic Title: Reynolds vs. ALDOT Case Files)**
- **Website.** The department maintains an extensive website at [www.dot.state.al.us](http://www.dot.state.al.us). The website contains news on weather, emergency road closures, welcome centers, and work zones. The website also targets specific constituents, such as businesses or those interested in a career with the department. Links will provide information on each bureau and division and the surplus property program. Publications and maps may also be accessed through the website. This series documents primary functions of the agency and its interaction with clients. The agency should "preserve a complete copy of website annually or as often as significant changes are made." (RDA pg. 3-15-4) **(Bibliographic Title: State Publications)**
- **Grant Project Final Narrative Reports.** The Department of Transportation's primary operations are often sponsored, in part, by the federal government. The final narrative reports should be maintained permanently as documentation of the department's fulfillment of obligations to the federal government in receiving funding. (RDA pg. 3-16-1) **(Bibliographic Title: Grant Project Final Narrative Reports)**



- **Original bid records maintained in the purchasing office of the Department of Transportation for contracts over \$7500.** The Code of Alabama 1975, Section 41-16-24 requires that “all original bids together with all documents pertaining to the award of the contract shall be retained and made a part of the permanent file or records and shall be open to public inspection.” These files need to be maintained in the agency’s office. (RDA pg. 3-16-1)
  
- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that “the head of each department or agency of the state shall designate one of its employees as property manager for the department or agency. Except for books, the property manager shall make a full and complete inventory of all nonconsumable personal property and certain other items of personal property deemed important or sensitive enough by the Property Inventory Control Division to be included in the inventory of state property of the value of five hundred dollars or more owned by the state and used or acquired by the department or agency. The inventory shall show the complete description, manufacturer’s serial number, cost price, date of purchase, location, and custodial agency, responsible officer, or employee, and the state property control marking . . . All property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office. (RDA pg. 3-18-1)

# **Permanent Records List**

## **Department of Transportation**

### **Planning**

1. Statewide Transportation Plans

### **Coordinating Pre-Construction Activities**

1. Surveyor Files\*
2. Design Documentation\*
3. Design Plans\*
4. Final Environmental Documents

### **Acquiring Rights-of-Way**

1. Records documenting creation of legal descriptions for all property conveyed by or to the Department of Transportation\*

### **Testing and Approving Highway/Bridge Construction Materials**

1. Product Evaluation Board Meeting Agenda and Minutes
2. Product Files
3. Research Advisory Board Meeting Agenda and Minutes
4. Final Research Reports
5. Materials, Sources, and Devices with Special Acceptance Requirements Manuals
6. Concrete Design Mixes and Hot Mix Asphalt Job Mix Formulas\*
7. Federal Highway Administration Approved Pavement Documentation for Interstate Highway System Projects\*
8. Approved Material Reports and Addenda for Limited Access Routes\*
9. Records documenting testing and rating of in-service pavements\*
10. Radiation Exposure Records\*
11. Technician Rosters
12. Geotechnical Subsurface Investigation Records\*
13. Hazardous Materials Project Files\*

### **Coordinating Highway/Bridge Maintenance**

1. Bridge Inventory Records
2. Alabama Certified Bridge Inspector Rosters
3. Records documenting regulation of activities performed on rights-of-way\*

### **Assisting Counties with Highway/Bridge Construction Projects**

1. County Maps documenting completed projects
2. County Correspondence Files\*

### **Administering Highway Safety Programs**

1. Highway Safety Improvement Plans
2. Traffic Crash Facts Booklets
3. Safety Literature
4. Intelligent Transportation Systems Advisory Committee Agenda and Meeting Minutes
5. Intelligent Transportation Systems Project Narrative Reports

### **Collecting, Compiling, Analyzing, and Reporting Data**

1. Official State Highway Maps
2. General County Highway Maps
3. Road Inventory Records
4. Aerial Photographs of Counties
5. Annual Average Daily Traffic Volume Reports

### **Administering Multimodal Transportation Programs**

1. Federal Transit Administration Annual Reports
2. State Railroad Plans
3. Alabama Railroad Directories
4. Railroad Highway Crossing Inventory
5. Records documenting closure of railroad crossings\*
6. Bicycle and Pedestrian Project Narrative Reports
7. Transportation Enhancement Administrative Files
8. Transportation Enhancement Project Narrative Reports

### **Regulating and Developing Aeronautical Facilities**

1. State Aeronautical Charts
2. Airport Files\*
3. Aeronautics Commission Meeting Agenda and Minutes

### **Administering Internal Operations**

1. Agency History Files
2. Administrative Files of the Director
3. Procedural Guidelines
4. Annual Reports

5. Publicity and Informational Materials
6. Reynolds vs. ALDOT Case Files
7. Website
8. Grant Project Final Narrative Reports
9. Original Bid Records Maintained by the Department of Transportation for Contracts over \$7500\*
10. Inventory Lists\*

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

## **Department of Transportation Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Department of Transportation. The RDA lists records created and maintained by the Department of Transportation in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

### **Explanation of Records Requirements**

- This RDA supersedes any previous records disposition schedules governing the retention of the Department of Transportation. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- This RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and record-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that required no action and do not document government activities; (3) stocks of blank stationery,

blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Department of Transportation and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ **Planning**

STATEWIDE TRANSPORTATION PLANS  
Disposition: PERMANENT RECORD.

Records documenting assistance provided to local government entities in the transportation planning process

- a. Plans  
Disposition: Temporary Record. Retain until superseded.
- b. Agreements  
Disposition: Temporary Record. Retain until no longer valid.
- c. Functional Classification Maps  
Disposition: Temporary Record. Retain until superseded.
- d. Records documenting routine project activities and compliance with project requirements  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

■ **Coordinating Pre-Construction Activities**

Records documenting surveys

- a. SURVEYOR FILES  
Disposition: PERMANENT RECORD. Retain in Office.
- b. Subsidiary documentation of the survey process  
Disposition: Temporary Record. Retain 3 years after the completion of the construction project.

Records documenting routine project activities and compliance with project requirements in the survey, design, and contract preparation process

Disposition: Temporary Record. Retain 3 years after the completion of the construction project.

Records documenting design of highway and bridge plans

- a. DESIGN DOCUMENTATION  
Disposition: PERMANENT RECORD. Retain in Office.
- b. DESIGN PLANS  
Disposition: PERMANENT RECORD. Retain in Office. (Before destroying original paper copies after the imaging process, preserve a small sampling of historically significant design plans and transfer to the Alabama Department of Archives and History)
- c. Subsidiary documentation of the design process  
Disposition: Temporary Record. Retain 3 years after the completion of the construction project.

Preconstruction Project Files

Disposition: Temporary Record. Retain 3 years after the completion of the construction project.



Records documenting activities involved in obtaining environmental clearance

- a. FINAL ENVIRONMENTAL DOCUMENTS  
Disposition: PERMANENT RECORD.
- b. Records documenting routine project activities and compliance with project requirements in the environmental clearance process  
Disposition: Temporary Record. Retain 5 years after the completion of the construction project.
- c. Navigational Permits  
Disposition: Temporary Record. Retain for life of the structure.
- d. Permits with Other Federal Agencies  
Disposition: Temporary Record. Retain 3 years after the completion of the construction project.

Records documenting routine project activities and compliance with project requirements in the utility agreement process

Disposition: Temporary Record. Retain 3 years after the final utility invoice is paid or after the construction project is completed, whichever is longer.

Records documenting federally designated route estimates

Disposition: Retain until the completion of the Appalachian Development Corridor program in the state.

Records documenting consultant agreements

- a. Consultant Agreements  
Disposition: Temporary Record. Retain 6 years after termination of agreement.
- b. Records documenting supporting material for consultant agreements  
Disposition: Temporary Record. Retain 3 years after termination of agreement.

■ **Acquiring Rights-of-Way**

Records documenting conduct of inventory of all persons and businesses to be displaced by a project and the resulting costs

Disposition: Temporary Record. Retain 3 years from the date the state receives federal reimbursement of the final payment made to each owner of a property and to each person displaced from a property; or retain 3 years from the date a credit toward the federal share of a project is approved based on early acquisition activities of the state (23 CFR 710.201[f][1]).

Rights-of-Way Plans Fee Proposals

Disposition: Temporary Record. Retain 3 years from the date of the execution of the contract between the Department of Transportation and the consultant.

Records documenting appraisal to decide fair market value of each tract, review of appraisal, and status of approval

Disposition: Temporary Record. Retain 5 years after preparation or 2 years after final disposition of any judicial proceedings in which testimony was given, whichever is longer. (49 CFR 24.103-104).

Record documenting authorization provided to divisions to acquire rights-of-way

Disposition: Temporary Record. Retain 3 years from the date the state receives federal reimbursement of the final payment made to each owner of a property and to each person displaced from a property; or retain 3 years from the date a credit toward the federal share of a project is approved based on early acquisition activities of the state (23 CFR 710.201[f][1]).

Records documenting reimbursement to those displaced by a project

Disposition: Temporary Record. Retain 3 years after each owner of a property and each person displaced from the property receives the final payment to which s/he is entitled, or in accordance with the applicable regulations of the federal funding agency, whichever is later (49 CFR 24.9[a]).

RECORDS DOCUMENTING CREATION OF LEGAL DESCRIPTIONS FOR ALL PROPERTY CONVEYED BY OR TO THE DEPARTMENT OF TRANSPORTATION

Disposition: PERMANENT RECORD. Retain in Office.

Records documenting uneconomic remnant and non-rights-of-way property

Disposition: Temporary Record. Retain 3 years after the sale of surplus property (23 CFR 710.201[f][2]).

Records documenting sale of surplus properties

Disposition: Temporary Record. Retain 3 years after transaction has been completed.

■ **Managing Equipment**

Records documenting writing of specifications for automobiles, trucks, and special construction and maintenance equipment

Disposition: Temporary Record. Retain until superseded.

Records documenting the requisition, transfer, and disposal of equipment

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property was removed from the inventory.

Records documenting all activities relating to the distribution, repair, and usage of all types of equipment

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the establishment of rental rates for automobiles, trucks, and special construction and maintenance equipment

Disposition: Temporary Record. Retain until superseded.

Records documenting overseeing and managing building and grounds, including the general office complex and reception desk

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the operation of the retail map store

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Gym Application Files

Disposition: Temporary Record. Retain until membership is no longer valid.

Records documenting overseeing and managing the general office motor pool

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Vehicle Maintenance and Title Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle is sold or disposed of.

■ **Testing and Approving Highway/Bridge Construction Materials**

**PRODUCT EVALUATION BOARD MEETING AGENDA AND MINUTES**

Disposition: PERMANENT RECORD.

**PRODUCT FILES**

Disposition: PERMANENT RECORD.

Records documenting routine activities of the product evaluation board

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**RESEARCH ADVISORY BOARD MEETING AGENDA AND MINUTES**

Disposition: PERMANENT RECORD.

Records documenting research projects

a. **FINAL RESEARCH REPORTS**

Disposition: PERMANENT RECORD.

b. **Records documenting routine project activities and compliance with project requirements for research projects**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

**Material and Test Project Files**

Disposition: Temporary Record. Retain 3 years after the project has been final vouchered.

**MATERIALS, SOURCES, AND DEVICES WITH SPECIAL ACCEPTANCE REQUIREMENTS MANUALS**

Disposition: PERMANENT RECORD.

**CONCRETE DESIGN MIXES AND HOT MIX ASPHALT JOB MIX FORMULAS**

Disposition: PERMANENT RECORD. Retain in Office.

**FEDERAL HIGHWAY ADMINISTRATION APPROVED PAVEMENT DOCUMENTATION FOR INTERSTATE HIGHWAY SYSTEM PROJECTS**

Disposition: PERMANENT RECORD. Retain in Office.

**APPROVED MATERIAL REPORTS AND ADDENDA FOR LIMITED ACCESS ROUTES**

Disposition: PERMANENT RECORD. Retain in Office.

**RECORDS DOCUMENTING TESTING AND RATING OF IN-SERVICE PAVEMENTS**

Disposition: PERMANENT RECORD. Retain in Office.

**Long Term Pavement Performance (LTPP) Project Records**

Disposition: Temporary Record. Retain 1 year after completion of LTPP program.

**Records documenting use of nuclear gages**

- a. **Radioactive Materials Licenses**  
Disposition: Temporary Record. Retain 1 year.
- b. **RADIATION EXPOSURE RECORDS**  
Disposition: PERMANENT RECORD. Retain in Office.
- c. **Records documenting routine use of nuclear gages for materials testing on projects**  
Disposition: Temporary Record. Retain 3 years after project has been final vouchered.
- d. **Records documenting the ownership and handling of nuclear gages**  
Disposition: Temporary Record. Retain 5 years.

**TECHNICIAN ROSTERS**

Disposition: PERMANENT RECORD.

**Technician Certification Files**

Disposition: Temporary Record. Retain 5 years after expiration of certificate.

**Laboratory Proficiency Results**

Disposition: Temporary Record. Retain 10 years.

**Laboratory Equipment Calibration Records**

Disposition: Temporary Record. Retain for life of the equipment.

**GEOTECHNICAL SUBSURFACE INVESTIGATION RECORDS**

Disposition: PERMANENT RECORD. Retain in Office.

**HAZARDOUS MATERIALS PROJECT FILES**

Disposition: PERMANENT RECORD. Retain in Office.

■ **Administering Contracts for Highway/Bridge Construction Projects**

Records documenting proof of insurance for contractors

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Contractor Prequalification Applications

Disposition: Temporary Record. Retain 2 years.

Construction Project Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the Federal Highway Administration final voucher and all required documentation have been submitted to the Federal Highway Administration. For non-federal participating projects, retain 3 years from the date the contractor's final payment voucher has been processed.

Construction Project Card File

Disposition: Temporary Record. Retain for useful life.

Asphalt Index

Disposition: Temporary Record. Retain 5 years after creation of record.

Construction Fuel Index

Disposition: Temporary Record. Retain 5 years after creation of record.

Records documenting disadvantaged business enterprise program

Disposition: Temporary Record. Retain 5 years after creation of record.

■ **Coordinating Highway/Bridge Maintenance**

Records documenting routine maintenance activities including surface patching, shoulder maintenance, drainage work, right-of-way vegetation management, and litter pickup  
Disposition: Temporary Record. Retain 2 years after the end of the fiscal year in which the records were created.

Records documenting systematic resurfacing and widening of roads  
Disposition: Temporary Record. Retain until completion of project.

Records documenting interstate maintenance projects  
Disposition: Temporary Record. Retain 8 years after completion of project.

**BRIDGE INVENTORY RECORDS**

Disposition: PERMANENT RECORD. (23 CFR 650.311).

**ALABAMA CERTIFIED BRIDGE INSPECTOR ROSTERS**

Disposition: PERMANENT RECORD.

Records documenting certification of bridge inspectors  
Disposition: Temporary Record. Retain 50 years after the year in which the initial certification was awarded.

Records documenting activities involved in determining load rating capacity for bridges  
Disposition: Temporary Record. Retain 10 years after the year the bridge is no longer in service.

Records documenting periodic inspection and maintenance of bridges  
Disposition: Temporary Record. Retain 10 years after the year the bridge is no longer in service.

Records documenting assistance provided during emergencies  
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the records were created.

Records documenting review and approval of changes in speed limits to Alabama highways  
Disposition: Temporary Record. Retain until superseded.

Records documenting operation of weigh stations  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting issuance of permits to regulate oversized vehicles

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

RECORDS DOCUMENTING REGULATION OF ACTIVITIES PERFORMED ON RIGHTS-OF-WAY

Disposition: PERMANENT RECORD. Retain in Office.

Performance Bonds

Disposition: Temporary Record. Retain until work completed to specifications.

Rest Area Inspection Reports

Disposition: Temporary Record. Retain 10 years after creation of report.

Records documenting building or improvements to Department of Transportation facilities

Disposition: Temporary Record. Retain 13 years.



■ **Assisting Counties with Highway/Bridge Construction Projects**

COUNTY MAPS DOCUMENTING COMPLETED PROJECTS

Disposition: PERMANENT RECORD.

COUNTY CORRESPONDENCE FILES

Disposition: PERMANENT RECORD.

County Project Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

County Maintenance Inspection Reports

Disposition: Temporary Record. Retain 5 years after creation of report.

County Bridge Scour Inspection Reports

Disposition: Temporary Record. Retain 5 years after creation of report.

■ **Administering Highway Safety Programs**

HIGHWAY SAFETY IMPROVEMENT PLANS

Disposition: PERMANENT RECORD.

TRAFFIC CRASH FACT BOOKLETS

Disposition: PERMANENT RECORD.

Records documenting the identification and reduction of high crash areas

Disposition: Temporary Record. Retain 1 year after creation of records.

Records documenting the hazard elimination program

Disposition: Retain 3 years after the end of the fiscal year in which the project was completed.

Records documenting multi-jurisdictional traffic safety programs

Disposition: Retain 3 years after the end of the fiscal year in which the project was completed.

Records documenting specially funded traffic safety programs

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the promotion of public awareness in traffic safety

a. SAFETY LITERATURE

Disposition: PERMANENT RECORD.

b. Records documenting routine program activities and compliance with program requirements relating to promotion of public awareness in traffic safety

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the program was completed.

INTELLIGENT TRANSPORTATION SYSTEMS ADVISORY COMMITTEE AGENDA AND MEETING MINUTES

Disposition: PERMANENT RECORD.

Records documenting programs which advance ideas and technology in traffic engineering to improve safety

a. INTELLIGENT TRANSPORTATION SYSTEMS PROJECT NARRATIVE REPORTS

Disposition: PERMANENT RECORD.

- b. Records documenting routine project activities and compliance with project requirements  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

■ **Collecting, Compiling, Analyzing, and Reporting Data**

OFFICIAL STATE HIGHWAY MAPS  
Disposition: PERMANENT RECORD.

GENERAL COUNTY HIGHWAY MAPS  
Disposition: PERMANENT RECORD.

ROAD INVENTORY RECORDS  
Disposition: PERMANENT RECORD.

AERIAL PHOTOGRAPHS OF COUNTIES  
Disposition: PERMANENT RECORD.

Video Logging Records  
Disposition: Temporary Record. Retain 12 years.

Records documenting the gathering of annual average daily traffic volumes

- a. ANNUAL AVERAGE DAILY TRAFFIC VOLUME REPORTS  
Disposition: PERMANENT RECORD.
- b. Subsidiary Documentation  
Disposition: Temporary Record. Retain 3 years after the end of the calendar year in which the records were created.

Traffic Origin and Destination Studies  
Disposition: Temporary Record. Retain 3 years after creation of records.

Highway Performance Monitoring System Records  
Disposition: Temporary Record. Retain 10 years.

Records documenting mileage calculations  
Disposition: Temporary Record. Retain until superseded.

Route Descriptions  
Disposition: Temporary Record. Retain until superseded.

Linear Reference System Records  
Disposition: Retain until superseded.

**Link/Node Reference System Records**  
Disposition: Retain until superseded.

**Annual Statistical Reports to the Federal Highway Administration**  
Disposition: Temporary Record. Retain 6 years from the time they were filed.

**Motor Vehicle Registration Annual Reports**  
Disposition: Temporary Record. Retain 5 years.

■ **Administering Multimodal Transportation Programs**

**Administering Public Transportation Programs:**

FEDERAL TRANSIT ADMINISTRATION ANNUAL REPORTS

Disposition: PERMANENT RECORD.

Federal Transit Administration Funded Project Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

Federal Transit Administration Funded Vehicle Records

Disposition: Temporary Record. Retain 3 years from date of equipment disposition, replacement, or transfer.

Insurance Provider Information

Disposition: Temporary Record. Retain until business relations are severed with a particular company.

Employee Drug and Alcohol Testing Data Collection Reports

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the records were created.

**Administering Rail Related Programs:**

STATE RAILROAD PLANS

Disposition: PERMANENT RECORD.

ALABAMA RAILROAD DIRECTORIES

Disposition: PERMANENT RECORD.

RAILROAD HIGHWAY CROSSING INVENTORY

Disposition: PERMANENT RECORD.

Records documenting local rail freight assistance program

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

Records documenting installation and maintenance of signs, markings, and signals at railroad crossings

- a. Project Files  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.
- b. Municipal Maintenance Agreements and Resolutions  
Disposition: Temporary Record. Retain until removal of signs and markings.

**RECORDS DOCUMENTING CLOSURE OF RAILROAD CROSSINGS**

Disposition: PERMANENT RECORD. Retain in Office.

Records documenting agreements reached with railways companies for any projects that have railroad involvement

- a. Master Railroad Agreements  
Disposition: Temporary Record. Retain until railroad ceases to operate in Alabama.
- b. Project Railroad Agreements  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

**Administering Bicycle Pedestrian Program:**

Records documenting administration of bicycle and pedestrian program

- a. BICYCLE AND PEDESTRIAN PROJECT NARRATIVE REPORTS  
Disposition: PERMANENT RECORD.
- b. Records documenting routine project activities and compliance with project requirements  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

**Administering Transportation Enhancement Program:**

Records documenting administration of transportation enhancement program

- a. TRANSPORTATION ENHANCEMENT ADMINISTRATIVE FILES  
Disposition: PERMANENT RECORD.
- b. TRANSPORTATION ENHANCEMENT PROJECT NARRATIVE REPORTS  
Disposition: PERMANENT RECORD.
- c. Records documenting routine project activities and compliance with project requirements  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.



■ **Administering Air Transportation Services**

Flight Logs

Disposition: Temporary Record. Retain 3 years after creation of log.

■ **Regulating and Developing Aeronautical Facilities**

STATE AERONAUTICAL CHARTS  
Disposition: PERMANENT RECORD.

AIRPORT FILES  
Disposition: PERMANENT RECORD. Retain in Office.

ALABAMA AERONAUTICS COMMISSION MEETING AGENDA AND MINUTES  
Disposition: PERMANENT RECORD.

Airport Inspection Files  
Disposition: Temporary Record. Retain 5 years after airport's closure.

Public Airfield Grant Files  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

Notices of Proposed Construction  
Disposition: Temporary Record. Retain 1 year after date of notice.

■ **Administering Internal Operations**

**Managing the Agency:**

AGENCY HISTORY FILES

Disposition: PERMANENT RECORD.

ADMINISTRATIVE FILES OF THE DIRECTOR

Disposition: PERMANENT RECORD.

Administrative Reference Files (materials not created by the agency, collected and used only as reference sources of information)

Disposition: Temporary Record. Retain for useful life.

PROCEDURAL GUIDELINES

Disposition: PERMANENT RECORD.

Board Appointment Letters

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Calendars

Disposition: Temporary Record. Retain for useful life.

Schedules

Disposition: Temporary Record. Retain for useful life.

Logs

Disposition: Temporary Record. Retain for useful life.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

### Agenda and Minutes

- a. Records documenting meetings of subsidiary committees within the agency  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- b. Recordings of Meetings  
Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

### Planning Files

Disposition: Temporary Record. Retain until superseded.

### Reports

- a. ANNUAL REPORTS  
Disposition: PERMANENT RECORD.
- b. Records documenting reporting of activities by division or locale on a periodic basis  
Disposition: Temporary Record. Retain a record copy 5 years after the end of the fiscal year in which the records were created.
- c. Other summarized statistical and/or narrative reports  
Disposition: Temporary Record. Retain a record copy 2 years after creation of the report.

### PUBLICITY AND INFORMATIONAL MATERIALS

Disposition: PERMANENT RECORD.

Records documenting request and use of consultant

Disposition: Temporary Record. Retain 1 year after close of project.

Records documenting requests for information or assistance

Disposition: Temporary Record. Retain 2 years after date of reply.

### Compliance Records

Disposition: Temporary Record. Retain 3 years or until fulfillment of applicable regulations, whichever is longer.

Records documenting Title VI review

Disposition: Retain 3 years.

Notary Certification Files

Disposition: Temporary Record. Retain through validity period.

Board of Adjustment Claim Files

Disposition: Temporary Record. Retain 2 years after the end of the fiscal year in which the records were created.

Administrative Hearing Case Files

Disposition: Temporary Record. Retain 2 years after the case is closed.

Complaint/Legal Case Files

Disposition: Temporary Record. Retain 6 years after the resolution of the complaint or case.

REYNOLDS VS. ALDOT CASE FILES

Disposition: PERMANENT RECORD.

Records documenting requests for outside legal counsel

Disposition: Temporary Record. Retain 3 years after request.

Attorney General Informal Legal Opinions

Disposition: Temporary Record. Retain for useful life.

Legislative Files (drafts of proposed department-sponsored legislation, tracking files)

Disposition: Temporary Record. Retain for useful life.

Records documenting peer review

Disposition: Temporary Record. Retain until superseded.

Records documenting internal audit

Disposition: Temporary Record. Retain until superseded.

Records documenting the implementation of the agency's RDA (copies of transmittal forms to Archives or State Records Center, destruction notices or other evidence of obsolete records destroyed, annual reports to SRC)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA was superseded.

System Documentation (hardware/software manuals and diskettes, warranties, Y2K records)  
Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

**WEBSITE**

Disposition: PERMANENT RECORD. PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.

**Managing Finances:**

Records documenting grants

- a. GRANT PROJECT FINAL NARRATIVE REPORTS  
Disposition: PERMANENT RECORD.
- b. Records documenting routine grant activities and compliance with grant program requirements  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was closed.

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. ORIGINAL BID RECORDS MAINTAINED IN THE PURCHASING OFFICE OF THE DEPARTMENT OF TRANSPORTATION FOR CONTRACTS OVER \$7500  
Disposition: PERMANENT RECORD. Retain in Office. (Code of Alabama 1975, Section 41-16-24).
- b. Duplicate copies of bid (originals are maintained by the Finance Department - Division of Purchasing)  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- c. Other bid records  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- d. Bid Tabulations  
Disposition: Temporary Record. Retain 10 years.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization for supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts and agreements for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of contract. (Code of Alabama, Section 6-2-34).

Contract Audit Reports

Disposition: Temporary Record. Retain 3 years after the final payment of the contract.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.



**Managing Human Resources:**

Records documenting job recruitment

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Records documenting job description

Disposition: Temporary Record. Retain until superseded.

Certification/Personnel Transaction Files

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year after date of receipt.

Records documenting an employee's work history - generally maintained as a case file

- a. Records documenting work history of employees  
Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.
- b. Records, located within divisions or bureaus, which document an employee's work history  
Disposition: Temporary Record. Retain 1 year after separation of employee from the agency.
- c. Subsidiary Employment Documentation  
Disposition: Temporary Record. Retain until inclusion of necessary documentation in employee's personnel file.

Records documenting payroll (e.g. pre-payroll report, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting final leave status

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting verification of accuracy of State Personnel Department records

Disposition: Temporary Record. Retain for useful life.

Records documenting continuing education of agency employees

- a. Records documenting employees' completion of courses and programs  
Disposition: Temporary Record. Retain 1 year after separation of employee from the agency.
- b. Subsidiary Training Documentation  
Disposition: Temporary Record. Retain 3 years, or until completion of course or program, whichever is longer.

Certification Records

Disposition: Temporary Record. Retain until certification is no longer valid.

Records documenting drug testing

Disposition: Temporary Record. Retain 2 years. (49 CFR 40.29)

Suspension/Termination Hearing Files

Disposition: Temporary Record. Retain 2 years after case is closed.

Records documenting Equal Employment Opportunity. (Code of Federal Regulations, Title 29 and Code of Federal Regulations, Title 23, Part 230.121)

- a. Compliance Records  
Disposition: Temporary Record. Retain 3 years after the close of the program year; or, if application, retain 3 years following completion of contract work.
- b. Complaint Records  
Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaints.

State Employees Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Worker Compensation Injury and Settlement Reports

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred. (Code of Alabama 1975, Section 25-5-4).

**Managing Properties, Facilities, and Resources:**

Real Property Ownership Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property was sold.

Real Property Leasing/Rental Records

Disposition: Temporary Record. Retain 6 years after termination of lease or rental agreement.

Records documenting reporting on real property

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in Office. (Code of Alabama 1975, Section 36-16-8[1]).

Transfer of State Property Forms (SD-1) (Agency Copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 3 years from termination cancellation of insurance.

Records documenting security of facilities

- a. Records documenting routine administrative functions of security  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- b. Records documenting incidents occurring on facilities  
Disposition: Temporary Record. Retain 3 years after resolution of incident.

Records documenting maintenance of vehicle and equipment

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is removed from the inventory.

Records documenting routine maintenance on buildings (work orders)

Disposition: Temporary Record. Retain until problem resolved or work completed.

Records documenting use of the Motor Pool

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting use of parking (applications, parking permits, cards)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

## **Requirement and Recommendations for Implementing the Records Disposition Authority**

Under the Code of Alabama 1975, Section 41-13-21, "no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission." This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Department of Transportation (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in July of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the agency's custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency--wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the

condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on July 22, 2003.

\_\_\_\_\_  
Edwin C. Bridges, Chairman  
State Records Commission

\_\_\_\_\_  
Date

Receipt acknowledged:

\_\_\_\_\_  
Joseph McInnes, Director  
Department of Transportation

\_\_\_\_\_  
Date