



Department of Education and Early Development
 Division of Libraries, Archives & Museums
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 539 Schedule No: 25-539.2

DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES
 25 - DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES
 539 - STATEWIDE DESIGN & ENGINEERING SERVICES DIVISION

The agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention and Disposition Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise noted, all record series are nonconfidential. This schedule supersedes #25-539.1.

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

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.			
Division Director Roger Healy, PE, Chief Engineer	Signature of Division Director 		Date 5/8/14
Attorney General/Designee Alan Birnbaum	Date 6/6/14	Commissioner of Administration/Designee FOR 	Date 5/14/14
State Archivist D. Dawson	Date 5/27/14	Records Analyst Stacy Thomson	Date 5-28-14

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>001 - Contract Administration Files This series includes documentation of solicitation, selection, award, and administration of contracts and professional services agreements. Also includes agreements between local governments and DOTPF for design, construction.</p> <p>Arranged by state project number or alphabetically by vendor.</p>	E & H	C+6*	Y	C = Until administrative closure of project (submittal of final billing to federal agency on Fed-Aid projects). * = Files of historical significance should be transferred to the State Archives rather than destroyed - see item #004.
<p>002 - Project Control (Funding) Files This series includes documentation of project funding/project development authorizations (PDA).</p> <p>Arranged by state project number.</p>	E & H	C+3	Y	C = Until PDA cut-off date.
<p>003.1 - Capital Project Files This series includes environmental, design, construction, and review files for highway, aviation, harbor and building projects.</p> <p>Arranged numerically by state project number or alphabetically by project location.</p>	E & H	C+10	Y	C = Until administrative closure of project (submittal of final billing to federal agency on Fed-Aid projects). See items #002 and #004 - #007 for additional retention of some file contents.
<p>003.2 - Capital Project Files of Historical Significance This series includes reconnaissance/locations/design study report, materials report, environmental assessment/impact statement, construction contract, change orders and agreements, research project documentation, designer's notebook, engineers' diaries, photos and motion pictures, final construction report, or other materials.</p>	E & H	PA	Y	Contained in Capital Project Files (item #003.1) until C+10. The Design and Construction Divisions with guidance from the State Archivist, will determine which files have permanent historical significance. Files transferred to the State Archives may be sampled. Annual accrual rate is approximately five cubic feet.

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

Retention Key	Format Key	Bus. Ess = Business Essential
A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives)	H = Hardcopy E = Electronic D = Database M = Microform	PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office
		1. Are necessary for emergency response 2. Are necessary to resume or continue operations

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
004 - Project As-built Plans This series includes, Mylars, bluelines, and aperture cards. Arranged numerically by either bridge number or by route and thereunder alphabetically by location.	E & H	PA	Y	Annual accrual rate is approximately one cubic foot. As-built Plans transferred to the State Archives may be sampled.
005 - Technical Services Review Case Files This series includes documentation of review of projects for compliance.	E & H	C+6	Y	C = Until administrative closure of project (submittal of final billing to federal agency on Fed-Aid projects).
006 - Specifications This series includes Statewide Standards including Standard Specifications, Standard Modifications, and Statewide Special Provisions	E	PA	Y	See 003.1 - Capitol Project Files and 003.2 - Capital Project Files of Historical Significance, for retention of project specific specifications.
007 - Environmental Actions This series includes Categorical Exclusion Documentation form and any other NEPA decision documents.	E & H	PA	Y	Transfer electronic files to State Archives.
008 - Geotechnical Reports & Investigation This series includes reports, specifically, research, engineering, and geotechnical significance open to the general public.	E & H	PA	Y	Transfer electronic files to State Archives.
009 - TAM Data and Annual Reports This series includes Transportation Asset Management Plan (TAMP) and TAM Implementation Plan	E & H	PA	Y	TAM also known as "Transportation Asset Management"; non inclusive of TAM sub groups, the TAMP and TAM Implementation Plan are Business Essential.

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