

DOT7 Infrastructure Development

Note: For all record series containing electronic data/ records that represent the department's official record copy, including audio, moving images, photographic, and textual records: Retain all documentation of hardware and software for the life of the system. In the event software or system is updated or replaced, retain old data, documentation, and software for one (1) year after successful testing of system and verification of data migration to ensure continuing accuracy, integrity, retrievability, and usability/ readability of records to the end of their specified retention period. Commit funds for the overall preservation of data through all migration and technological changes.

Note: The Department of Transportation often generates several copies of certain types of documents. This records retention schedule establishes authorized retention periods for the copy of each document that the Department of Transportation designates as its official record copy.

DOT7.1 Design Engineering

DOT7.1.1 Project Agreements - Design

During the design phase of a road, bridge, traffic, landscaping or intermodal project, RIDOT may enter into a legal agreement with either a private corporation, city or town, RI state agency, federal agency, or a bordering state to declare which party to the agreement will be responsible for the design, construction and/or future maintenance of the road, bridge or landscape. In some situations, the Federal Highway Administration may become a party to such agreements. This record series includes, but is not limited to, the following types of agreements: Construction & Maintenance (C & M) Municipality Agreements, Cooperative - State Agency/Corporation Agreements, Memorandum of Agreement - Federal Agency and/or Municipality, Memorandum of Understanding with Federal Agency, Lease Agreements, Enhancement Agreements, Federal Grant Fund Agreements and companion Escrow agreements.

a) FAP project agreements

Retention: Permanent.

b) FAP supporting documentation

Retention: Retain ten (10) years after project's final federal reimbursement date.

c) Non-FAP project agreements

Retention: Permanent.

d) Non-FAP supporting documentation

Retention: Retain ten (10) years after RIDOT project acceptance date.

Note: FAP – Federal Assistance Project.

DOT7.1.2 General Project Record Files - Initiation and Design

This series includes those general records produced during the initiation and design phase of the following types of projects: road and/or bridge, traffic, landscape enhancement, pavement preservation, railroad or intermodal related project. Files include: (1) Fee Proposal for Engineering Services, which provides estimates of the scope of work, man-hours, and fees for preparing plans and specifications, (2) Stenographer's Report of Pre-bid Conference meeting, (3) Bid Results, Tabulations and Comparisons of contractors' bids submitted to RIDOA - Purchasing, Project Comments, (4) Responses to RIDOT Comments at the 10%, 30% and 90% Plans, Specifications & Estimates (PS&E) Design Stages, (5) correspondence between RIDOT staff and local, state and/or federal agencies, (6) project related interdepartmental memoranda, (7) design and plan reviews and evaluations. Filed by RI contract number, FAP number or by bridge number for bridge projects.

a) FAP project files

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP project files

Retention: Retain ten (10) years after RIDOT project acceptance date.
49 CFR PART 18.42

DOT7.1.3 Letters of Interest and Technical Proposals for Engineering Services

This series includes proposals submitted by outside design consultants at the initiation of a project for the department's review and selection. Records may contain a summary and, in the case of technical proposals, a detailed description of the consultant firm's capabilities and scope of services for the project.

Retention: Retain until the project selection process is completed, or as long as needed for internal reference purposes, whichever is later.

DOT7.1.4 Construction and Maintenance - Utility Agreements

RIDOT enters into legal agreements with utility companies prior to the start of transportation construction projects in order to determine which of the two parties will be responsible for the construction and/or maintenance of utility structures, such as gas, electric, and water lines that are to be installed during the project. Utility agreements identify the fiscal responsibilities of each party to the Agreement. This series includes, but is not limited to, the following documents: correspondence between contractor and utility company; Preliminary Engineering Estimates submitted by utility company; Request for Force Account Estimates issued by RIDOT; Force Account Estimates; Request for Change Order; original and signed Construction and Maintenance Agreement; Request for Purchase Order; Vendor Copy of Purchase Order. The records in this series are filed by the town in which the project is located.

a) FAP agreements

Retention: Permanent.

b) FAP supporting documentation

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

c) Non-FAP agreements

Retention: Permanent.

d) Non-FAP supporting documentation

Retention: Retain ten (10) years after RIDOT project acceptance date.
49 CFR PART 18.42

DOT7.1.5 Deeds and Easements Description Proposal Records

This series documents the proposed deed descriptions derived from land survey plat maps and field books for newly acquired state land, easements, or right of ways. Includes deed descriptions, site plans, and other related attachments. These legal descriptions are prepared by design consultants. Copies of deed information are forwarded to RIDOT Legal Counsel and then to RIDOT Real Estate and Property Sections in order to register the deeds with the city or town. (Official copy filed with municipality.)

Retention: Permanent.
49 CFR PART 18.42

DOT7.1.6 Plat Maps

Plat maps are created to delineate land which is acquired by RIDOT for the construction and reconstruction of the State Highway System in accordance with the Federal Highway Administration Guidelines and the General Laws of the State of Rhode Island. Plats provide graphic representations of land survey Field Book data. Plats are a scaled diagram, or series of diagrams, showing the boundaries of a tract of land or subdivision, easements, location of utilities, and streets. Plats may constitute a legal description of the land and be used in lieu of a written description. Plat maps are numbered in sequential order. The official record copy is on file at the city or town in which the plat is located. A second copy is also maintained in the RIDOT Plan Section.

Retention: Permanent.
49 CFR PART 18.42

DOT7.1.7 Highway Project Plan Records

This series includes approved final plan sets, as-built plans, profiles, cross-sections, and drainage/utility plans, shop drawings, working drawings and supplemental drawings. These documents show the location, character, dimensions, and details of the transportation construction work to be performed. Filed by assigned RI contract number, and federal project number. Media include Blueprint, Velum, Linen, Mylar, digital (CD), on FALCON database, and some on microfilm.

a) Final plans and as-built plans

Retention: Permanent.

b) Profiles and cross-sections

Retention: Retain for the life of the highway or until major reconstruction has been completed.

c) FAP shop drawings, working and supplemental drawings

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

d) Non-FAP final plans and as-built plans

Retention: Permanent.

e) Non-FAP shop drawings, working and supplemental drawings

Retention: Retain ten (10) years after RIDOT project acceptance date.
49 CFR PART 18.42

DOT7.1.8 Bridge Plans

This series pertains to approved bridge plans and related documents. The documentation provides details of bridge(s) to be built or rehabilitated, and may include related roadway and traffic plans. Records include, but are not limited to, the following items: blueprints or general plans of the bridge that show overall size and location and layouts, foundation plans, structural steel precast sections, abutments and pier plans, profiles which show the elevation and vertical geometry of the road and bridge, cross sections showing the cross-sectional view of the bridge and roadway.

Note: RIDOT and the Rhode Island Historical Preservation & Heritage Commission will determine whether a bridge is to be designated as historical. If an historic bridge is to be demolished it will be documented using the standards of the Historic American Engineering Record.

a) Official record copy

Retention: Retain ten (10) years after the bridge is demolished, replaced or substantively rehabilitated.

b) Plan documentation for designated historical bridges

Retention: Permanent.
49 CFR PART 18.42

DOT7.1.9 Bridge Computations

This record series includes structural design calculations (also referred to as bridge calculations or design computations) for bridges. These files contain all the numerical data and computer data for the bridge type, size, and location. May include, but is not limited to the following types of documentation: geotechnical reports, subsurface geology, geological maps, hydraulic reports, drainage calculations, and seismic analysis.

Retention: Retain five (5) years after the bridge is demolished or replaced.

DOT7.1.10 Bridge Load Rating Reports

These records contain calculations for determining the weight capacity of a bridge. These computations are done to determine the maximum weight of different types of trucks that can safely pass over a bridge. This calculation is performed for all new and rehabilitated bridges. These reports are used for future reference in assessing overweight permits and capacities.

Retention: Retain five (5) years after the bridge is demolished or replaced.

DOT7.1.11 Bridge Radiographs, X-Rays and Tests

This series includes records of a variety of tests that are performed to inspect welded structural steel used in bridges. The files may contain radiographs, x-rays, magnetic particle and dye penetrant tests other test results used to determine the condition of welds and structural steel of a bridge for approving shop drawings and assessing conditions.

Retention: Retain five (5) years after the bridge is demolished or replaced.

DOT7.1.12 Bridge Construction Photos

This series consists of photographic documentation of bridge construction projects. Digital photos are taken periodically from various angles, including aerial views, in order to document the progress of the construction project. Photos are transferred to the RIDOT computer server and indexed by project number. Some photos are also stored on CD's at RIDOT Bridge Engineering Section.

Retention: Permanent.

DOT7.1.13 Bridge Shop Drawings

This series includes detailed fabrication and construction drawings of all structural components, procedures, equipment, and other materials related to the construction of bridges. The official approved record copy of shop drawings bears both the consulting professional engineer's stamp as well as the RIDOT approval stamp. Includes the following types of drawings: structural steel, welding procedures, reinforcement details, prestressed/precast concrete, erection plans, precast or modular walls, mechanically stabilized earth walls, temporary and permanent sheeting, temporary earth support, soldier piles and lagging, tiebacks, soil nailed walls, curbing details, railing details, temporary shoring details, construction sequencing and phasing, expansion joints, electrometric bearings, isolation bearings, steel sliding bearings, multi rotational bearings, deck placement, temporary traffic control plans, form liners, architectural details, ground anchors, cofferdams, demolition methods and sequence, temporary protective shielding, granite ID tablets, bridge clearance signs and pile details.

Retention: Retain ten (10) years after the bridge is demolished or replaced.

DOT7.1.14 Conceptual Design Reports (CDR) - Bridges

This record series includes Conceptual Design Reports on existing site conditions, alternative designs, and the preliminary design of a bridge. May also include bridge type studies, conceptual drainage plans and drainage studies.

Retention: Retain five (5) years after the bridge is demolished or replaced.

DOT7.1.15 RI State Traffic Commission Meeting Minutes

The Director of RIDOT serves on the RI State Traffic Commission (STC), which meets on a monthly basis to review requests for traffic management actions as submitted by RIDOT, and state and local police departments, RI municipalities and state elected officials. This record series includes, but is not limited to, STC annual meeting notices and minutes (also submitted to the Office of the Secretary of State per RIGL 42-46-6 (a)), meeting agendas, year-end reports, and correspondence. Files are organized by date and by town.

Retention: Permanent.
RIGL 42-46-6 and 42-46-7, GRS1.7 (f)

DOT7.1.16 Traffic Signal Records

This series includes a complete chronological history of each traffic signal in Rhode Island. The purpose is to document changes that are made to the signal and any traffic-related issues attributable to the signal. Filed by assigned signal number.

Retention: Retain until the traffic signal has been permanently removed, plus three (3) years.

DOT7.1.17 City and Town Traffic Files

This series includes letters of complaint submitted to RIDOT by cities or towns involving traffic signal problems that may result in the need for corrective action by RIDOT. Also includes non-State Traffic Commission correspondence. This record series is filed by city and town name, and also by date.

Retention: Retain ten (10) years.

DOT7.1.18 Traffic Design Project Files

This series consists of documentation produced during the design phase of a traffic project. It includes memos and correspondence with traffic design consultants, and copies of professional services contracts and related materials. It also includes the official record copy of conceptual design studies and technical reports. Filed by RI design contract number.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT project acceptance date.
49 CFR PART 18.42

DOT7.1.19 Traffic Construction Project Files

This series includes documentation related to traffic engineering design produced during the construction phase of a transportation road or bridge construction project. Included are inter-office memos, correspondence with the project contractor and project engineer, copies of approved traffic related shop drawings, copies of contract and specification materials, and copies of Final Inspection reports. Filed by RI contract number.

a) Shop drawings

Retention: Retain until the structure is removed or replaced.

b) All other records

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.
49 CFR PART 18.42

DOT7.1.20 Public Informational Workshop Documentation

This record series includes documentation pertaining to public informational workshops, which may be held during the design stage or when a transportation construction project is about to begin. Includes, but is not limited to, copies of notices placed in the newspapers announcing the time and place of public informational meetings, attendee sign-in sheets, meeting transcripts, direct mailings, brochures and handouts that describe the construction project, and may also include project descriptions as posted on the RIDOT website. The documents are filed by contract number.

a) Historically significant project records

Retention: Permanent.

b) All other projects records

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project or RIDOT's project acceptance date.

DOT7.1.21 Bridge Inspection Reports

These records include biennial reports on bridge conditions, as required by the Federal Highway Administration's National Bridge Inspection Standards Program. The primary purpose of the inspection is to locate and evaluate existing public highway bridge deficiencies to ensure the safety of the traveling public. May also include inspection field notations of any action(s) taken to address the findings of such inspections and digital photos of the bridge, which are taken biannually by third party consultants. This series also includes bridge management data in the Pontis inventory and inspection software system, which stores the complete bridge inventory and bridge condition history, as well as project development and tracking information.

Retention: Retain ten (10) years after the bridge is demolished or replaced.

DOT7.1.22 RI State Traffic Commission Plans, Publications, Studies and Reports

This series includes studies and technical reports that are prepared per request of the RI State Traffic Commission regarding traffic management issues. Filed by date and by town.

Retention: Permanent.
GRS1.6

DOT7.2 Construction Management

DOT7.2.1 Construction Sub-Contract Agreement Records

This record series includes documents that pertain to the RIDOT approval of subcontractors who work on construction projects. Includes, but is not limited to, computations for determining minority participation rates, computation to determine the maximum sublet amount for contracts, original and copies of correspondence, memos to contractors, pre-construction meeting notice letters, sign-in sheets and minutes as well as the approved subcontract agreements.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.2 Project Diaries

This series consists of Project Diaries, which are bound hardcover notebooks used to document the detailed daily chronological history of construction projects. Multiple project diaries are completed during a highway construction project. Certain types of information are required in the Diary such as daily listings of RIDOT personnel who are present on the job site, contractors and subcontractors on the job site; daily operations, equipment, and materials used, such as asphalt, and traffic and weather conditions. The diaries afford information and evidence that may be necessary in the event of disputes. No duplicate copies are maintained. The diaries are needed for internal administrative and fiscal purposes until the final acceptance of the highway construction project. Also includes Drainage Books and Asphalt Books.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.3 Daily Reports (Item Slips)

This series includes four types of Item Slips: Daily Activity, Daily Payment, Actual Measurement, and Final Payment. It also includes the Daily Report Sign-Out sheets. The Item Slip is used to record daily construction activity, materials used, and payment of work performed by the contractor or sub-contractor(s) on a highway construction project. The information contained on an Item Slip is then posted to Item Ledger Sheets (see DOT 7.2.4), which are in turn used to process the payments for labor, equipment or materials used on a RIDOT construction project. The following types of supporting documentation to the Item Slips are also included in this series: Daily Activity Sheets, Flag persons Weekly Time Sheets, Private Party Survey Weekly Time Sheets, Foundation Piles Records, Pile Load Test Field Data Sheets and Delivery Slips which contain information on Piles Records, Pile Load Test Field Data Sheets and Delivery Slips which contain information on the type, quantity and measurement of materials (concrete, pipes, barriers, precast concrete units, structural steel) actually delivered to the construction work site. Also included is documentation concerning the type, quantity and measurement of materials (concrete, pipes, barriers, precast concrete units, structural steel) actually delivered to the construction work site.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.4 Item Ledger Sheets Documents

The Item Ledger Sheet provides a detailed record of payments for work performed by the construction project contractor on all federal and state transportation construction projects. It contains all postings from the Item Slips, Reports of Change, Contract Addenda and progress payments. It shows the progressive amount of work completed to date by item as well as the history of all items on the project. The report is generated electronically, signed and filed with project records. There are four types of Ledger Sheets: (1) Item Ledger Sheet, (2) Master Ledger Sheet, (3) Sub-Item Ledger Sheets (for items that involve multiple Federal-Aid Project funding sources), (4) Lump Sum Item Sheets.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.5 Report of Change (ROC) Records

This series includes records that document change requests and changes in a construction project. Such requests may be made for a variety of reasons, such as differing site conditions, design errors or omissions, quantity adjustments or emergency situations requiring immediate action. This series of documents is organized using a sequential Report of Change report numbering system. Other related documents that are within this series include: (1) Contract Addendum, which officially amends a RIDOT construction contract in order to pay for variations in quantities of materials or the addition of new items to a contract, (2) Daily Force Account Worksheets (including Utility Company Work Sheets), (3) Weekly Report of Extra Work Worksheets which details information regarding the labor, materials and equipment used on a force account basis (i.e. work not provided for in the contract but that is essential to the completion of the project), (4) Price Analysis Worksheets, (5) Force Account Forms for Amtrak Labor and Equipment and Materials, (6) Force Account Forms for Providence and Worcester Labor and Equipment and Materials.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.6 Progress Payments

During the course of a design, construction or utility project, Progress Payments are made to the Contractor of Record on a weekly or bi-weekly basis and at the end of the project Final Payment is made for work completed per contract. The responsible Resident Engineer submits the original copy of a Progress Payment to the Administrator of Construction Management for review and processing. These records provide a financial history of such payments.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.7 General Project Related Correspondence

This record series consists of RIDOT intradepartmental memoranda, interagency memoranda, and general correspondence files between RIDOT, contractors, or other third parties.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.8 Materials Certification and Testing Reports

It is the RIDOT's responsibility to insure that all materials used on transportation construction projects meet RI Standard Specifications. This record series consists of documents that pertain to the testing and certification of materials used during construction projects. Documentation includes, but is not limited to, Test Logs, Rejection of Materials Sample Forms, Rejected Listing for Materials Left in Place, Conforms Substantially Reports and Listing, Small Quantity Acceptance forms, and Materials Certificate of Compliance. The RIDOT requires a certain amount of testing of each item of work and demonstration that such materials, at a minimum, conform substantially, i.e. that the material does not meet the requirements as stated in the approved plans, but has produced reasonably acceptable work. The corrective actions for rejected materials are also documented within these reports.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.9 Contractor/Subcontractor Payroll Records

RIDOT is responsible for monitoring compliance with federal labor standards for all contracted construction projects. This series consists of certified forms that contain information on weekly wages paid to contractors or subcontractors' employees who were engaged in work during a transportation construction project. These certified records list employees' names, social security numbers, job classifications, hours worked, basic and overtime hourly wages, fringe benefit contributions breakdowns, net wages. These records are used to verify that payrolls meet the requirements of the federal Labor Compliance Manual. This series also includes, but is not limited to, Labor Compliance Check forms, (used by the Resident Engineer to compare wages paid to the Federal Wage Rate tables) and signed Statements of Compliance to federal regulations, and Federal Aid Affidavits.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.10 Construction Trainee Records

It is the policy of RIDOT to afford equal opportunity for training and upgrading of minorities, women, and socially and economically disadvantaged persons toward journeyman-level status in the construction skilled crafts. Training opportunities are established within selected construction contracts. This record series includes, but is not limited to, the approved Training Program specifications, including type of program (OJT On-the-Job Training, Apprenticeship etc), trainee names, classifications, starting wage rates, hours required, monitoring procedures, submitted by the contractor to the project Resident Engineer. Records may also include the Training Start Form memorandum, and Trainee Weekly Time Sheets, which are used by the Resident Engineer to verify actual training hours.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.11 Disadvantaged Business Enterprise Compliance Records

RIDOT requires that transportation construction contractors, who are awarded contracts throughout the Department, seek out and consider Disadvantaged Business Enterprises (DBE) for participation in construction projects as subcontractors and/or suppliers of materials and services. DBEs are small businesses owned and managed by socially and economically disadvantaged individuals. This series of records encompasses various forms and records that ensure compliance with this requirement. These records include, but are not limited to, (1) the DBE Start Notification Letter, (2) the DBE Completion/Verification Sheet (Form 88-8), (3) DBE Work Crew Lists, (4) Contractor's DBE Program Description, and (5) DBE equipment and material documentation.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date. Based on requirements of the U.S. Department of Transportation's Regulations.
49 CFR PART 23.

DOT7.2.12 Field Inserts (Quantity Back-Up)

This series contains reports, illustrations, and diagrams that serve as a complete account of the transportation construction work performed, as well as the delivery and testing of materials such as asphalt and drainage installations. Also included are foundation pile records, which may include wave equation analysis test results, preconstruction surveys, field data cards, which record details of all pile driving activity, Daily Field Inspection Reports of Pile installation, Pile Load Test Field Data Sheets. These documents are considered back-up documentation and reflect the final measurement, final quantities and computation on each item of work. Inserts are numbered and recorded on a master list. Each Field Insert record consists of a First Page cover sheet, an index, and the Insert document (examples: sketches/field notes, earth excavation cross-sections, drainage inserts, and pipe linear foot measurements).

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.13 Construction Project Schedules

During transportation construction projects the contractor is responsible for creating project schedules, which describe the activities, responsible party, planned and actual start and end dates for each activity. These records are used to process contract time extension requests, serve as a reference for claims resolution, and provide historical data regarding production rates and sequencing. This record series includes Preliminary Project Schedules, which show all the work activities of items that the contractor is required or plans to perform, as well as the proposed sequence of work for the project. Also included in this record series are initial Preliminary Project Schedules, revised Project Schedules (also known as the Project Schedule Baseline), Bi-Weekly Status Schedules, and Recovery Schedules for whenever the contractor's actual progress is behind schedule.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.14 Construction Project Acceptance Files

As a transportation construction project progresses, a number of project inspection-related forms are created. The purpose of these forms is to document the findings of inspections and verify that items have been completed and found to be acceptable according to contract specifications. This series includes, but is not limited, to the following documents: FAF-1

(Final Acceptance Form) Start of Construction Project, FAF-2 Substantial Completion & Request for Final Inspection, and FAF-3 Punch-List Resolution Memorandum and Completion Date. It also includes memoranda, along with supporting materials, which pertain to the completion of contract specifications and requirements: FAF-4 Right of Way Encroachments, FAF-6 Disadvantage Business Enterprise Completion/Verification, FAF-7 Final Landscape Inspection Report, copy of Certificate of Materials Conformance, Final Pavement Core Inspections Reports, Electrical Inspectors Report, Landscape Reports, and the Highway Bound Certificate, prepared by the Chief of Survey, which documents the satisfactory completion of all highway bound setting work according to RI Standard Specification, Section 915, and Final Payment Worksheets and Reports.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.15 Construction Project Videos and Photographs

In order to provide a photographic history of a transportation construction project, videos (VHS or Digital) and still photographs (Polaroids, 35 millimeter film, or digital) are taken by designated staff. This record series includes photographic and moving image records that document the conditions existing at the site prior to the start of the transportation construction project and are used as a source of information should a claim be made against the RIDOT. A central repository of videos has been maintained since 1989 at RIDOT and filed by RI contract number. The Resident Engineer may also file copies of still photos and videos in the Project Field Record files.

Retention: Permanent. (Official record copy of photos and videos.)
49 CFR PART 18.42

Note: Systems containing photographic materials, whether in digital or other format, must include documentation of the system used to record and maintain the videos and photographs. During migration of moving and photographic images to upgraded systems or new media, neither the image data nor the system documentation may be discarded until appropriate testing and verification of new system and reproduced photographic data have been satisfactorily completed to ensure the continuing authenticity, accuracy, and integrity of the records.

DOT7.2.16 Vehicle Damage Claims

This record series includes, but is not limited to, vehicle damage reports, correspondence memos, paid or estimated auto repair bills, copies of checks and other supporting materials such as copies of police reports, that are submitted to RIDOT by citizens who claim their vehicle was damaged within a road or highway construction work zone.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.17 Pre-Construction Meeting Records

This record series includes documentation of meetings that occur at the pre-construction phase of a transportation project. The main purpose of these meetings is to coordinate the scheduling of the project. All parties involved with the actual construction of the project normally attend these meetings: contractor, utility companies, city and town authorities, project design consultants and RIDOT Resident Engineer. The records include, but are not limited to, correspondence, attendee sign-in sheets, meeting transcripts, Notice to Proceed, and supporting materials about the construction project. The documents are filed within the construction project folder and by contract number.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.18 Complaints and Comments

This series documents complaints or comments made by the public that are received by telephone during any phase of a transportation construction project. Includes data collection forms, notes from telephone calls and response memos. Documentation is filed within the construction project folder and by contract number.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR PART 18.42

DOT7.2.19 Construction and Maintenance Project Final Acceptance Packet

This series includes documentation related to fulfilling state and U.S.DOT/FHWA requirements to finalize and accept as complete a transportation construction or maintenance project. The documents are filed by assigned RI contract number and stored with the project's Field Record Boxes. Includes the following items: Certificate for Federal

Minimum Wage Rate, FHWA-47 (Statement of Materials and Labor), Acceptance of Work Letter, Final Payment signed by contractor, Final Report, Reviewer Reports and Responses, Semi-Final Review, Review of Completed Construction Items (FA-1 Form), Reviewer's Verification of Final Payment Quantities (FA-2 Form), Final Inspection Notice, Initial, Intermediate and Final Inspections, FMISW96A (FHWA electronic financial reports available for printout), Approved Final Acceptance Report with Attachments, and inter-agency correspondence.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT project acceptance date.
23 USC 106

DOT7.2.20 Project Acceptance Database System

Documents the history of each transportation construction project, beginning in the late 1970s to the present time, from the start date of construction to the final acceptance date by RIDOT's Chief Engineer or FHWA, and includes all critical dates. Used to track and manage the Department's final acceptance process. Includes hard copy Project Summary Sheets. Filed by RI contract number.

a) Electronic data

Retention: Retain project data for five (5) years from the date of acceptance of the final FHWA reimbursement voucher or RIDOT's project acceptance date.

b) Project summary sheets

Retention: Permanent.

DOT7.3 Landscape, Natural, and Cultural Resources

DOT7.3.1 Natural Resources - General Project Files

These records relate to the development and submission of permit applications to other state and federal agencies, particularly the Department of Environmental Management (RIDEM) and federal agencies. These submissions enable RIDOT to obtain those permits necessary to alter wetlands and dredge waterways for transportation construction projects. This series includes permit submission applications, modifications, responses to comments, daily correspondence and supporting materials necessary for RIDEM Wetlands Permits, RIDEM Water Quality Certifications, RIDEM Solid and Hazardous Waste Permits, RIDEM Pollutant Discharge Elimination System Permits, RI Coastal Resource Management Council Approvals, Army Corp of Engineers Permits, US Coast Guard Permits, US Fish and Wildlife Service approvals, NOAA National Marine Fisheries Service approvals, US Department of Agriculture/National Resource Conservation Service approvals and Federal Environmental Protection Agency approvals.

a) Project permits and approved permit plans

Retention: Permanent.

b) All other records

Retention: Retain ten (10) years from the date of acceptance of the final federal reimbursement voucher for the project or RIDOT's project acceptance date.

DOT7.3.2 Storm Drain Retrofit Program Records

Storm water runoff is generated when precipitation from rain and snowmelt events flows over land or impervious surfaces such as paved roadways, and does not percolate into the ground. Runoff flows accumulate debris, chemicals, sediment and other pollutants that can adversely affect water quality if the runoff discharge is untreated. The RIDOT Storm Water Management Program is designed to decrease the amount of pollutants that come from runoff along state highways. This series documents RIDOT's Storm Drain Retrofit Program. The records include engineering consultant management related documents such as design plans/specifications, billing invoices and supporting documentation and correspondence. The records are filed alphabetically by project title.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.

DOT7.3.3 Storm Water Management Program Plan (SWMPP)

This series documents how RIDOT intends to achieve compliance with federal Environmental Protection Agency's National Pollutant Discharge Elimination System (NPDES) and state (RIPDES) mandates for identifying, reducing and treating storm water discharges. The plan is submitted to the RI Department of Environmental Management. Also includes RIPDES Small MS4 Annual Reports (a federal program relating to Municipal Separate Storm Sewer Systems) issued to RIDEM and related supporting data and correspondence.

a) SWMPP and annual report

Retention: Permanent.

b) All other records

Retention: Retain five (5) years.
RIGL 46-12, RIPDES Rule 31(a) (5) (i) (A) - (J), GRS1.6

DOT7.3.4 Environmental Monitoring and Inspection Reports

This series documents weekly, monthly, and on-demand inspections of transportation construction sites for compliance with environmental permits and/or erosion and sedimentation control requirements. Also includes required post-construction monitoring of projects. Includes written reports, documentation of as-built conditions, field inspection

forms/operations logs, checklists and monitoring data collected during the inspection. Inspection reports may be signed by RIDOT Resident Engineer. Monthly inspection reports may be submitted to RIDEM.

Retention: Retain three (3) years from completion of construction project or date of post-construction inspection report, whichever is later.
RIGL 46-12, 40 CFR Part 136

DOT7.3.5 Archaeological Research Collections Center (ARCC) Catalog

The Archaeological Research Collections Center (ARCC) is a repository for archaeological artifacts retrieved during archaeological surveys conducted for RIDOT highway and bridge projects. This series includes the artifacts catalog documentation and copies of those reports and studies related to the archaeological surveys that uncovered the artifacts.

Retention: Permanent.

DOT7.3.6 Historic Preservation Reports

A number of federal laws concerning the protection of natural and cultural resources impose certain assessment and reporting requirements relating to RIDOT federally funded transportation construction projects. Section 4(f) of the 1966 U.S. Department of Transportation (DOT) Act requires identification of adverse affects of construction projects on the activities, features, and attributes of the public park, recreation area, or wildlife or waterfowl refuges (submitted to FHWA). Section 106 of the National Historic Preservation Act similarly requires RIDOT submit to the federal Advisory Council on Historic Preservation reports identifying historic properties that would be affected by transportation construction projects. This series includes consultative studies, reports, and surveys that identify potential adverse impacts of transportation projects on historic properties and environmentally protected areas. RIDOT is required to file reports with federal and state and/or local agencies in order to enable public review, obtain comments, and mitigate adverse effects. This series also includes State Historic Cemeteries Compliance studies, which are submitted to cities and towns, as well as reports, signed Memorandums of Agreement, and related mitigation progress reports.

Retention: Permanent.
GRS1.6

DOT7.3.7 Scenic Roadways Program Files

The Rhode Island Scenic Roadways Board (per Title 24, Chapter 15 of the General Laws of Rhode Island) has officially designated a number of roads within Rhode Island as scenic roadways. The Board establishes protective standards for scenic highway design, speed, maintenance, and identification to promote a continuous system of scenic highways and scenic easements for the public health and welfare, and for the creation of a state system of scenic highways. This record series includes documents relating to technical support activities provided by RIDOT to the Board. Documents include, but are not limited to, federal funding procurement applications, technical consultant selection related records, complaint files, progress reports, and general correspondence.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.

DOT7.3.9 Scenic Roadways Applications

This series relates to applications and amendments submitted by RI communities for designation of a roadway as scenic. Records include, but are not limited to, the city or town's application, Scenic Roadways Board consultant reviews, RI Scenic Roadways Board reviews as well as public hearing records, correspondence with Board members and designation approval or rejection letters. Records are filed alphabetically by the name of the designated roadway.

a) Approved applications

Retention: Permanent.

b) Rejected applications

Retention: Retain five (5) years.

DOT7.3.10 Landscape Maintenance Contract Files

This series documents the design of landscapes and the procurement of landscape maintenance contracts for completing landscape projects. Typically, the department concludes two landscape maintenance projects, one contract for maintenance in northern RI, and a second for the southern region of RI. Contracts have a two-year cycle and are 100% state funded. The records include, but are not limited to, copies of the signed contract book, specifications, items lists and correspondence.

Retention: Retain ten (10) years after RIDOT project acceptance date.

DOT7.3.11 Statewide Tree Trimming Contract Files

This series documents tree trimming design and the procurement of Statewide Tree Trimming contractors. Contractors are responsible for all tree-trimming work done on all RIDOT transportation construction projects. Records include a copy of contract documents, specifications, item lists, and correspondence. Contracts have a three-year cycle and are initially funded by the state, but subsequently federally reimbursed.

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

DOT7.3.12 Special Contracts for Landscape or Enhancement Projects

This series documents the landscape design portion of special projects such as the I-95 Gateway Project, the restoration of Woonsocket Depot, or separate landscape contracts. Includes, but is not limited to, pre-bid conference materials, consultant evaluations and

selection documents, design reviews, correspondence with consultants, cities and towns, and inter-office memoranda.

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

DOT7.3.13 Intermodal Agreements

The RIDOT is actively involved in intermodal transportation system projects. The purpose of these projects is to provide convenient economic connections between multiple modes of passenger and freight transportation including rail, air, bus, ship and truck. This record series includes those agreements that RIDOT initiates with other RI state agencies and federal agencies or corporations in order to identify each party's responsibilities (e.g. maintenance tasks), provide federal funding assistance and ensure compliance with federal regulations. The records include, but are not limited to, formal agreements as with RIPTA for the Park & Ride Program, Rideshare, and Ferry Discretionary programs, with the RI Department of Environmental Management for the Trails and Rails Program and with the Massachusetts Bay Transportation Authority for commuter rail service. Records also include, supporting documentation, correspondence, and program, budgetary and financial materials.

a) Signed agreements

Retention: Permanent.

b) Budgetary and financial records

Retention: Retain ten (10) years after agreement has been superseded or renewed.

DOT7.3.14 Intermodal Transportation Grants

Records relating to RIDOT's grant proposals for Section 16-B2 (Urban Mass Transportation Act of 1964) federal grant funding. Funds are awarded to private, nonprofit transportation providers for the purchase of transportation equipment such as mini-buses and vans designed to improve transportation for disabled and elderly populations, federal grants for planning, development, and noise compatibility projects at public-use airports, and Federal Railroad Administration grants to rehabilitate or relocate freight and AMTRAK railroad tracks. Includes, but is not limited to, grant applications and amendments, Enhancement Grants to cities, towns and various non-profit groups, final performance, disposition and expenditure reports.

a) Applications and amendments, final performance and expenditure reports

Retention: Permanent.
GRS1.18

b) Financial and programmatic records, periodic performance reports, supporting documents

Retention Retain ten (10) years from submission of closeout and final expenditure report.

c) Unsuccessful applications

Retention: Retain three (3) years.
GRS 1.18 (a), (b) and (e)

DOT7.3.15 National Environmental Policy Act - Environmental Impact Studies (EIS), Assessment (EA) Reports and Categorical Exclusion (CE) Approvals

This series includes final EIS and EA reports. Consultant engineers prepare these reports on behalf of the RIDOT. The reports provide assessments of the potential environmental impacts of proposed transportation projects. The records may also include Categorical Exclusion Approvals, Record of Decision (ROD), Findings of No Significant Impact (FONSI), technical studies, as well as data, map drawings, appendices, and supporting materials. Other reports included in this series: Programmatic Agreement Authorizations, Endangered Species Act coordination, Habitat Assessments, Site Assessment Reports, Site Investigation Reports, Subsurface Investigation Reports, Drainage Reports, Hydraulic Study Reports, Wetland Restoration Reports, Material Disposal Reports and Feasibility Studies. Records are filed alphabetically by name of project/location.

a) Final EIS, EA reports, CE approvals and ROD/FONSI's reports

Retention: Permanent.

b) All other records

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.
GRS1.6

DOT7.4 Materials and Research Section

DOT7.4.1 Materials Test Results Records

This series includes records that document the RIDOT's process for accepting or rejecting construction materials intended for use on specific transportation construction projects. Material testing requirements are specified within each project's contract and in the RIDOT Materials Test Book. The records include, but are not limited to, test worksheets, checklists, test results reports, Rejection of Materials Sample forms, certificates of compliance (in lieu of tests), testing schedules and related correspondence, photos (e.g. pavement cores) and supporting data. These records are filed by project number. For non-project testing, filing is by type of test and sample.

a) Test result reports and final core photos

Retention: Retain for the life of the highway/bridge.

b) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

c) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.

d) Non-Project testing

Retention: Retain ten (10) years after sample login date.
23 CFR 637

DOT7.4.2 Materials Testing Accreditation and Quality Assurance Records

These records document the yearly accreditation and subsequent ongoing testing and review of the RIDOT Materials Laboratory's materials testing equipment, methods, and processes. The records include, but are not limited to, instrument calibration tests, test findings, and corrective action memos, quality system manual, Cement and Concrete Reference Laboratory (CCRL) and American Association of State Highway and Transportation Officials (AASHTO) Reference Laboratory (AMRL) Reports, accreditation certifications, and related support materials and correspondence. These records are filed in chronological order.

Retention: Retain ten (10) years.
23 CFR 637

DOT7.4.3 AASHTO Relations Records

AASHTO (American Association of State Highway and Transportation Officials) is a nonprofit, nonpartisan association representing state highway and transportation departments within the U.S. Its primary goal is to foster the development, operation, and maintenance of an integrated national transportation system. This series documents RIDOT's relationship with AASHTO, a federal accrediting body that sets standards for competency for testing of laboratory equipment, instruments, and processes related to testing construction materials. This series includes AASHTO meeting minutes, reports, guidelines, procedures, updates and notices, voting ballots, proposed changes, and related correspondence. These records are used primarily for internal reference purposes.

a) RIDOT's copies of minutes, where they were on committee, guidelines and procedures, and any substantive or policy-setting correspondence

Retention: Retain ten (10) years.

b) All other records

Retention: Retain five (5) years.
23 CFR 637

DOT7.4.4 Certificate of Materials Conformance

All transportation construction projects require that contractors submit certification that the results of required sampling and/or testing of materials intended for the use in construction projects, as well as any processes for the production of such materials, meet federal regulatory standards. This series documents the RIDOT Materials Section's role in the final acceptance of materials used in a transportation construction contract. The Certificate of Materials Conformance copy retained in the Construction Management section's file is the

original. Other, original, documents sent to Materials and Research by Construction Management include, but may not be limited to, the Conforms Substantially Report, Rejected Materials Report, Sample Rejection Report, and Material Not within Specification Limits Report. These original reports are filed in the respective project folders by RI Contract Number and are RIDOT's record copy.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.

DOT7.4.5 General Project Files - Materials

This series relates to particular RIDOT construction projects and consists of the Materials and Research Section's general project related correspondence, contractor memos (Mix Designs and Plant Approvals) as well as comments on design specifications (e.g. 30% review). This documentation is filed by project contract number.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) Non-FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.
49 CFR 18.42, 49 CFR 19.53

DOT7.4.6 Materials & Quality Assurance Database Records

The Materials and Assurance Databases are network-based databases containing testing data for the M&QA materials testing laboratory and independent assurance program. The databases are used to log-in samples, monitor sample testing status, record raw test data, calculate test results, analyze trends, and generate reports for review and approval. Network connectivity allows real-time input of test data from state inspectors stationed remotely at ready-mix concrete, precast concrete and asphalt concrete producer sites. In addition, analyses of the electronic data are sometimes used to document trends; the database also serves to document and track daily operations. Paper records (DOT7.4.1) continue to serve as the legal documentation of test results.

a) Electronic data

Retention: Retain ten (10) years.

Note: Request RIDOT MIS/DoIT maintenance to enable access to records throughout their authorized lifecycle. In the event of software and/or hardware changes, request RIDOT MIS/DoIT migration of all data to new system or retain and freeze old system until data within it exceeds retention period. If migrating data to a new system, retain old data and software one (1) year after testing of system and verification of data

migration.

b) System documentation

Retention: Retain all system documentation one (1) year after data is transferred to new or upgraded system and data verification and validity tests have been successfully completed.

DOT7.4.7 RIDOT Materials & Research Website Document Records

This series documents the reports, manuals and other documentation published in the Materials & Quality Assurance (M&QA) pages of the RIDOT Website. Annually, the Materials and Research Section downloads and copies to optical disk any documents made available for public download on the Materials and Quality Assurance section of its website.

Retention: Retain ten (10) years.

DOT7.4.8 New Product, Material, Equipment or Process Approval Records

This series documents RIDOT's process of approving new products as well as processes for their use on RIDOT highway construction projects. Vendors submit applications and supporting documentation, which RIDOT reviews and verifies. Determinations are made based on compatibility with department standards and specifications, tested properties, performance history and suitability. Approved items are listed on the RIDOT Approved Materials List for Construction Projects. Includes, but is not limited to, application form, supporting data, and letter of approval or disapproval and related inter-office correspondence. Filed by manufacturer's name.

a) Hard copy of RIDOT approved materials list for construction projects

Retention: Retain twenty (20) years.

b) Electronic data

Retention: Permanent.
23 CFR SPR Part II

Note: Ensure maintenance to enable access to complete records. In the event of software and/or hardware changes, ensure migration of all data to new system.

DOT7.4.9 Research & Technology Project Solicitation and Selection Records

This series documents the annual solicitation and selection process for new research projects conducted by RIDOT staff, University of Rhode Island faculty and staff, or other approved organizations. Projects are reviewed and ranked by the Rhode Island Research Advisory Committee and approved by the RIDOT chief Engineer, RIDOT Director and FHWA. The records include initial proposal submittals, committee meeting minutes, rankings and recommendations, and preliminary work plans. Filed by federal aid project number.

Retention: Retain ten (10) years.
23 CFR SPR Part II, MOU (Memorandum of Understanding) with the
University of Rhode Island.

DOT7.4.10 Research & Technology Project Progress Files

This series documents the status and performance of in-house and URI research and technology projects that were approved for funding by RIDOT. Includes approved memos, cooperative agreements, notices to proceed, listing of project tasks, project expenditures, quarterly progress reports, copies of invoices from URI, correspondence, the project's final report and finalization memo to URI. Filed by federal aid project number.

a) Final report

Retention: Permanent.

b) All other records

Retention: Retain ten (10) years from the date of issuance of the Final Report.

c) Discontinued or cancelled projects

Retention: Retain ten (10) years from the date of cancellation or termination.
23 CFR SPR Part II, MOU (Memorandum of Understanding) with
University of Rhode Island.

DOT7.4.11 New England Transportation Consortium (NETC) Records

This series documents RIDOT participation in the NETC, a cooperative effort of the Departments of Transportation and the state universities of the six New England states, which provides a regional approach to developing solutions, through research, to high priority transportation issues common to the New England states. The Consortium annually solicits Research Problem Statements from practitioners and researchers to identify critical transportation problems that could benefit from research and then provides funding to approved RFP's. This record series includes correspondence with the NETC's Advisory Committee and its various technical committees, reviews/evaluations of research problems and research proposals submitted to NETC.

Retention: Retain until of no further administrative value.
23 CFR SPR Part II

DOT7.4.12 Forensic Analysis Reports

This series documents forensic testing and analysis, initiated upon request of the Chief Engineer of the RIDOT, other RIDOT Divisions, or the RI Turnpike and Bridge Authority. The records include sampling documentation, testing results, reports and findings and inter-agency correspondence.

a) Reports

Retention: Permanent.

b) All other records

Retention: Retain five (5) years.

DOT7.4.13 Pavement Preservation Program Photographic Records

This series provides a visual record of all stages of construction of those roadways to which a pavement preservation treatment has been applied. In addition, photos are taken every two years to analyze the treatment's performance and to record the status of the road's condition. Digital files are stored on a local PC and a backup copy is on the Department's networked server. Filed by type of treatment, year of application, road identification number and series number.

Retention: Retain until photos are no longer needed for engineering purposes.

DOT 7.5 Survey Section

DOT7.5.1 State Boundary Line Survey Records

This series documents the ongoing program of survey of state borders as part of efforts to establish and maintain exact borders of the domain of Rhode Island and Providence Plantations. Includes Polaroid pictures of monuments and brief abstract of the description of the location of the monument, summary maps, and related correspondence.

Retention: Permanent.

DOT7.5.2 State Survey Monument Records

This series documents the program to place and maintain bronze station point marker monuments throughout the state. These monuments are used as accurate horizontal, vertical, and elevation reference points by survey teams, property owners, and other interested parties. This record series includes planning documentation, reports, summary maps, and related correspondence. The information is transmitted to the National Geodetic Survey. Records are filed alpha-numerically by station name.

Retention: Permanent.

DOT7.5.3 Survey Project Diaries

Documents the daily administration of survey projects undertaken as part of contracted design proposals for construction projects. Includes Survey Chief's diaries, project

correspondence, and related back-up data, computations, and supporting documentation.

Retention: Permanent.

DOT7.5.4 Land Survey Field Books

This series contains records of field survey data gathered for transportation construction projects, lands purchased by the state, as well as documentation of surveys made in response to special requests from other sections within RIDOT or from other state agencies. Field Books form the basis for plat maps and deed descriptions. Notes are complete graphic,

tabular, and written survey records, which depict each step of the survey on a suitable form and in a format to enable knowledgeable persons to interpret and use the survey to retrace surveyors' footsteps. These Field Books are bound books and contain irreplaceable vital and historical data. The RIDOT has a complete set of books dating from 1901.

Retention: Permanent.

DOT7.5.5 Survey Job Completion Records

This series includes, but is not limited to, Job Completion Forms (#1006), inter-office correspondence, work papers and findings reports. These documents are generated whenever the RIDOT Survey Office receives a request from another RIDOT section to perform survey related work. Records are organized by year and are sequentially numbered. An index card system is used to track each job. These records may be used as reference material for future survey projects and disputes.

Retention: Permanent.

DOT7.5.6 USGS Topographical Maps

These records serve as a reference collection of topographical maps. They are copies provided by the U.S. Geological Service. The maps depict elevations, contours, lakes, and roads as well as spatial control points for fixing horizontal and vertical accuracy for surveyors, contractors or other interested parties.

Retention: Retain until of no further administrative value.

DOT7.5.7 Flood Insurance Rate Maps

This series consists of RIDOT's copies of maps created, maintained, and distributed by RI Department of Administration's Statewide Planning Division. They provide a set of legally accurate maps that federal and state agencies use to ascertain the location of properties and buildings in order to determine whether flood insurance is required when making loans or providing grants for the purchase or construction of buildings. The maps provide boundaries of areas designated as representing special hazards for floods, mudslides, and related erosion.

Retention: Retain until updated or superseded.

DOT7.6.1 Certificates of Records Destruction

Certification of Records Destruction forms (PRA003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules.

Retention: Permanent.
RIGL 38-1-10, 38-3-6, and 42-8.1-10