Retention and Classification Report

Agency: Department of Transportation. Engineering & Operations. Project Development. Construction (1180)
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Records Officer: _____

10193	*Construction period project records
10275	Construction projects status reports
23136	*Consultant project files
06658	Highway as-constructed plans
05825	*Highway district building drawings and specifications
05512	*Highway project claims files
08660	Interstate and non-interstate contract management project re
19066	*Non-historical project field books
10192	*Pre-award project files
06764	Road construction project field books

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 10193 1

TITLE: Construction period project records

DATES: ca. 1950-2026.

ARRANGEMENT: Alphanumerical by project number

DESCRIPTION:

These records support the agency's mission to provide and maintain the state's infrastructure. Records contain the administrative documentation of events that occur throughout the construction of any project. Included are records only necessary for the duration of the project such as modification records, utility-related records, copies of contract and subcontract agreements, payment and payroll records, labor information, weigh tickets, test results and statistics, progress reports, and related correspondence.

RETENTION:

Retain until end of project or program

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: For records beginning in 1950 through 2011. Retain in Office for 3 years after end of project or program and then transfer to State Records Center. Retain in State Records Center for 20 years and then destroy.

Paper: For records beginning in 2012 and continuing to the present. Retain in Office for 3 years after end of project or program and then destroy.

Computer data files: For records beginning in 2012 and continuing to the present. Retain in Office for 23 years after end of project or program and then delete.

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 10193
TITLE: Construction period project records

(continued)

APPRAISAL:

These records have administrative value(s).

RETENTION JUSTIFICATION:

Retention is based on the general Federal Highway Administration audit requirements.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected.	Utah Code 63G-2-305(12)(2015)
Private.	Utah Code 63G-2-302(1)(g)(2016)

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 10275 3

TITLE: Construction projects status reports

DATES: 1970-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 0.20 cubic feet.

DESCRIPTION:

This report is published once a month by the Construction Division. It is distributed to different divisions, agencies, and to the federal government to keep them informed of the status of particular construction projects. Information includes how much money they have spent on a project to date.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1993

FORMAT MANAGEMENT:

Paper: For records beginning in 1950 through 2007. Retain in Office until final voucher is paid and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Paper: For records beginning in 2008 and continuing to the present. Retain in Office until scanned and quality checked and then destroy.

Digital image: For records beginning in 2008 and continuing to the present. Retain in Office for 5 years after final voucher is paid and then delete.

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 10275
TITLE: Construction projects status reports

(continued)

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This disposition is based on the administrative need expressed by the agency. This information is held permanently within other series. The records also have financial value as they track project costs.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 23136 3

TITLE: Consultant project files

DATES: 1990-2026.

ARRANGEMENT: Numerical by contract number

DESCRIPTION:

These files document the tracking and administration of contracts with consultants who perform professional services for the Utah Deartment of Transportation. Information includes approvals, proposals, evaluations, negociation summaries, engineering services, audit reports, invoices and warrant requests, progress reports, and correspondence.

RETENTION:

Retain for 7 year(s) after expiration of contractual agreement

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Contract and lease records, GRS-1731.

AUTHORIZED: 07-30-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after contract closes and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits.

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 23136
TITLE: Consultant project files

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-301 (2008)

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 6658 3

TITLE: Highway as-constructed plans

DATES: 1912-

ARRANGEMENT: Chronological, thereunder numerical by district number.

DESCRIPTION:

These are plans of actual highway construction, which may differ from the originally designed plans. The plans indicate terrain and highway construction and specifications respecting slope, grade, asphalt, and other features. Final plans and specifications for approved and constructed buildings, facilities, road and bridges. Documents construction of new buildings or facilities as well as renovation of owned buildings and rented buildings.

RETENTION:

Retain permanently

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Government construction as-built plans and specifications, GRS-1789.

AUTHORIZED: 11-08-2018

FORMAT MANAGEMENT:

Paper: For records beginning in 1912 through 2010. Retain in Office for 5 years after scanned and quality checked and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

Microfilm master: Retain in State Archives permanently.

Microfilm duplicate: Retain in State Archives permanently with authority to weed.

Computer data files: For records beginning in 2008 and continuing to the present. Retain in Office permanently.

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 6658
TITLE: Highway as-constructed plans

(continued)

APPRAISAL:

These records have administrative, historical, and/or legal value(s).

The plans have historical value as they indicate the construction of highways and will be of permanent value to the department and historical researchers.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 5825 3

TITLE: Highway district building drawings and specifications

DATES: ca. 1960.

ARRANGEMENT: by building

DESCRIPTION:

Final plans and specifications for approved and constructed state buildings.

RETENTION:

Permanent. Retain for 1 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Government construction as-built plans and specifications, GRS-1789.

AUTHORIZED: 11-08-2018

FORMAT MANAGEMENT:

Aperture cards: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have historical value(s).

These records have historical value based on their evidence of the significant effects of governmental programs and actions on individuals, communities, and the natural and man-made environment.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 5512 3

TITLE: Highway project claims files

DATES: 1965-2010.

ARRANGEMENT: Alphanumerical by project number.

DESCRIPTION:

These records are Construction period project files, series 10193, which have had a "claim" filed on the project by the construction contractor, or may have litigation pending. They document the history of highways planned and constructed by the Transportation project office, district offices, and central office. The claim files include technical drawings, photographs, and contractor payrolls.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1993

FORMAT MANAGEMENT:

Paper: Retain in Office until final payment and all claims are settled and then transfer to Agency Record Center. Retain in Agency Record Center for 3 years after final voucher is paid and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).

This disposition is based on Federal Highway Administration requirements listed in the Federal-Aid Highway Program Manual Volume 1 Chapter 6 Section 2.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. Labor compliance records and contractor payrolls

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 5512
TITLE: Highway project claims files

(continued)

Protected.	Names of employees who complained and correspondence with attorneys. Also, if litigation is pending.

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 8660 3

TITLE: Interstate and non-interstate contract management project records

DATES: 1920-

ARRANGEMENT: Alphanumerical by project number.

DESCRIPTION:

These records support the agency's function to provide and maintain the state's infrastructure (Utah Code 72-1-204(6)(b)(1998)). Records document construction projects for interstate and non-interstate roads, including all records of enduring value used for bidding, awarding, and completing the construction of projects. Pre-award records are included such as recruitment and bidding documentation, subcontract agreements, bonds, and insurance certificates. Construction period records are also included such as plans, authorizations, change orders, progress reports, employee data, Equal Employment Opportunity compliance records, and any related correspondence.

RETENTION:

Permanent. Retain for 23 year(s) after end of project or program

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/1986

FORMAT MANAGEMENT:

Paper: Retain in Office until end of project or program and then transfer to State Records Center. Retain in State Records Center for 23 years and then transfer to State Archives.

Computer data files: Retain in Office for 23 years after end of project or program and then transfer to State Archives with authority to weed.

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in Office until administrative need

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 8660
TITLE: Interstate and non-interstate contract management project records

(continued)

ends and then destroy.

APPRAISAL:

These records have administrative, and/or historical value(s).

Disposition is based on the historical value of these records in documenting infrastructure in the state of Utah.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private.	Utah Code 63G-2-302(1)(g)(2016)
Protected.	Utah Code 63G-2-305(6)(10)(2015)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2016.

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 19066 1

TITLE: Non-historical project field books

DATES: 1996-2026.

ARRANGEMENT: Alphanumerical by project number

DESCRIPTION:

These books, culled from the valuable project field books, series 6764, contain the survey notes, drawings, and daily diary entries of the project engineer assigned to a particular project, but they do not have long-term value to the design and construction of future projects. Much of the information they contain is duplicate data found on the highway as-constructed plans, series 6658. Project engineers are assigned the responsibility of determining whether any field book in question is of long-term value. Each project has a set of color-coded books which note a project's stage of progress and any other information the project manager records. These books include drawings, survey notes, structure notes, elevation statistics, townships and other areas involved, weather conditions, project numbers, and the engineer's daily notes on the progress of the project. The brown and beige field books contain information on the construction of the project, the green books contain information on the structures involved, the red books are the engineers' diaries, and the blue books contain miscellaneous notes related to the project. In 1998, an electronic version of the field books was developed. These records are part of the Project Development Business System (PDBS) database managed by UDOT.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: For records beginning in 1950 through 2007. Retain in Office until final voucher is paid and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

Paper copy: For records beginning in 2008 and continuing to the

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 19066
TITLE: Non-historical project field books

(continued)

present. Retain in Office until scanned and quality checked and then destroy.

Digital image: For records beginning in 2008 and continuing to the present. Retain in Office for 3 years after final voucher is paid and then delete.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 10192 3

TITLE: Pre-award project files

DATES: ca. 1950-2015.

ARRANGEMENT: Alphanumerical by project number

DESCRIPTION:

The Division of Construction creates these records to document projects that will be built by the department or by a contractor with department supervision. They include the information contractors need to bid on a project and what the Utah Department of Transportation (UDOT) needs to award the project. The records contain a notice to contractors, assignment orders, planholders list, Pre-bid attendance rosters, special provisions, bonds, insurance certificates, contracts, Right of Way memos, unofficial bid results, abstract of bids, concurrence memos, award letters, Disadvantaged Business Enterprise commitment memos, notice to proceed letters, receipt of certified mailing, and general correspondence. These are maintained by the Construction Division. When each project is finished these records are then merged into the permanent series 8660, Interstate and non-interstate project files.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1993

FORMAT MANAGEMENT:

Paper: For records beginning in 1950 through 2007. Retain in Office for 3 years after final voucher is paid and then transfer to series 8660.

Paper: For records beginning in 2008 and continuing to the present. Retain in Office until scanned and quality checked and then destroy.

Digital image: Retain in Office for 3 years after final voucher is paid and then transfer to series 8660.

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 10192
TITLE: Pre-award project files

(continued)

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected. The unsuccessful bidder's Disadvantaged Business Enterprise commitment letters

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 6764 3

TITLE: Road construction project field books

DATES: 1912-

ARRANGEMENT: Numerical by assigned field book number

ANNUAL ACCUMULATION: 10.00 cubic feet.

DESCRIPTION:

These books contain the survey notes, drawings, and daily diary entries of the project engineer assigned to a particular project. The books serve as resource and back up documents for several phases of the project, including payroll, material acquisition, and changes in the design plans. These records include drawings, survey notes, structure notes, elevation statistics, townships and other areas, weather conditions, project numbers, and the engineer's daily notes on the progress of the project. This information is now part of the Project Development Business System (PDBS) Database managed by UDOT.

RETENTION:

Retain for 53 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 05/2011

FORMAT MANAGEMENT:

Paper: For records beginning in 1950 through 2012. Retain in Office for 3 years after final voucher is paid and then transfer to State Records Center. Retain in State Records Center for 50 years and then destroy.

Microfilm master: Retain in State Records Center for 53 years and then destroy.

Paper: For records beginning in 2009 and continuing to the present. Retain in Office until scanned and quality checked and then destroy.

AGENCY: Department of Transportation. Engineering & Operations. Project Development. Construction

SERIES: 6764
TITLE: Road construction project field books

(continued)

Digital image: For records beginning in 2009 and continuing to the present. Retain in Office for 53 years after final voucher has been paid and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public