# **DEPARTMENT OF TRANSPORTATION**

Approved Records Retention and Disposition Schedules (Forms SA-1) Compiled by the DAGS, Archives Division, Records Management Branch\*

# **TABLE OF CONTENTS**

AGENCY	PAGE NO.
BUSINESS MANAGEMENT OFFICE (SA-1 DATED 11/24/1986)	
AIRPORTS DIVISION, ENGINEERING BRANCH	1
HARBORS DIVISION	2
HIGHWAYS DIVISION	
HIGHWAYS DIVISION, CONSTRUCTON AND MAINTENANCE BRANCH (SA-1 DATED 4/23/1986)	
HIGHWAYS DIVISION, PLANNING BRANCH	4
HIGHWAYS DIVISION, RIGHT-OF-WAY DIVISION (SA-1 DATED 3/07/1987	.)

State Arch	TRIPLICATE	onolulu, Hawaii 96813	<b>RECORDS DISPOSI</b>	OF HAWAII TION AUTHORIZATION	2	Attention : 3	L State Archivist
		tion 94-3 Hawaii Revised Statu the numbered record items li		request X Continuous author Authorization	ization to destroy		
ITEM NO.	FORM NO.		DESCRIPTION			OR PERIOD	RETENTION
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BUSINESS MANAGEMENT OFFIC.

#### Description of Records

- A. Central Files
  - 1. Departmental rules and regulations relating to its operations and management.
  - 16 a. Correspondence relating to departmental rules and regulations
  - 2 🕟 General correspondence arranged alphabetically by subject.

26 a. Reading or convenience files consisting of copies issued by DOT staff for informational purposes.

- 3. Incoming/outgoing index.
- 4. Highway (design) projects relating to federal programming documents (1.01.11), job authorizations (1.01.12), preliminary design data (1.01.13), computations (1.01.15), design change orders (1.01.16) and related correspondence (1.01.20).
- 5. Original contracts relating to airports, harbors and highways projects.
- 6. Studies relating to ferry systems, small boat harbors, mass transit etc, which have not developed into projects.
- 7. Federal guidelines relating to federal policies, rules and regulations.
- 8. Legislation: bills and resolutions relating to current and proposed legislation directly affecting the department.
- 9. Attorney General opinions relating to transportation matters.
- Audit Section Β.

1. Audit reports.

- 16 a. Support data and work sheets relating to issued audit reports.
- 2. Audit file relating to detail operation of each organizational unit

Retention

Permanent.

Permanent.

May destroy after 5 years but retain no more than 10 years. If records in file may be of historic value, contact State Archives for disposition action.

May destroy after 6 months but retain no longer than 1 year.

Retain until no longer used for reference purposes.

Permanent. May microfilm; destroy original documents after microfilming.

Permanent. May microfilm; destroy original documents after microfilming.

Retain as long as needed.

Permanent.

Retain as long as important; purge file 3-6 years old. Destroy 1 year after bill is passed into law.

Permanent.

Destroy after 10 years. Destroy after 10 years.

Retain until updated.

#### Description of Records

R ention

- C. Contracts Office
  - 1. Contract records relating to
    - a. Consultant procedures and standard quali- Destroy fications.
    - b. Intent to bid ledger.
    - c. Control log.
    - d. Contract processing file.
    - e. Duplicate copy of contract and amendments.
  - Legal opinions relating to contract administration.
- D. Methods and Procedures Office
  - Minority Business Enterprise (MBE)/Disadvantage Business Enterprise (DBE) records relating to:
    - a. Applications
    - b. Index cards of MBE/DBE firms.
    - c. Directory of MBE/DBE participants.
    - d. Quarterly reports.
    - e. Methodology and preparatory data on annual goals.
    - f. Goal determination good faith efforts.
    - 2. Reorganization records relating to
      - a. Reorganizational proposals.
      - Organizational charts and functional statements.
    - Management studies relating to internal departmental matters.
    - 4. Departmental Staff Manual (DSM)(record copy).
      - b A. Correspondence, working papers and drafts relating to DSM.

Destroy after updating.

Destroy 6 years after last entry.

Destroy 1 year after last entry.

Destroy 1 year after final settlement.

Destroy 1 year after final settlement.

Permanent.

Destroy 3 years after decertification. Destroy 3 years after decertification.

Destroy after updating.

Destroy 3 years after created.

Destroy 5 years after created.

Destroy 5 years after created.

Destroy 3 years after approval.

Destroy after superseded.

Retain as long as needed.

Permanent.

Destroy 3 years after updating.

## DEPARTMENT: 1507020000 AIRPORTS DIVISION, ENGINEERING BRANCH

Records Series ID	Description	Schedule information	Retention	Disposition
150702-00001	CONSTRUCTION PROJECT RECORDS, 1982 – present.	SA-1 DATED 5/3/1995, ITEM 1A	10 years after date of final settlement.	Destroy records 10 years after final settlement; before destruction, offer records to State Archives.
150702-00002	CERTIFIED PAYROLL RECORDS, 1982 – present.	SA-1 DATED 5/3/1995, ITEM 1B	3 years after final settlement.	Keep in office for 3 years, then destroy.

# DEPARTMENT: 1508010000 HARBORS DIVISION, STAFF SERVICES OFFICE

Records Series ID	Description	Schedule information	Retention	Disposition
150801-00001	LABOR COST DISTRIBUTION REPORT, FORM DOT 3-033, 1989 – present.	SA-1 DATED 11/27/1995, ITEM 1	3 years if audited, otherwise 6 years.	Destroy after cited retention.

# DEPARTMENT: 1509000000 HIGHWAYS DIVISION

Records Series ID	Description	Schedule information	Retention	Disposition
150900-00001	MOTOR VEHICLE ACCIDENT REPORT.	SA-1 DATED 1/29/1973 ITEM TRN693-1	10 years.	Destroy after cited retention.
150900-00002	DAILY MAINTENANCE REPORT, 1994 – present.	SA-1 DATED 10/25/2001	5 years from completion of reporting period.	Destroy after cited retention.
150900-00003	MOTOR POOL REPAIR SHOP – EQUIPMENT CONDITION REPORT, FORM DOT 4-098, 1977 – present.	SA-1 DATED 9/3/1996, ITEM 1	3 years after close of file.	Destroy after cited retention.

In compli		onolulu, Hawaii 96813 tion 94-3 Hawaii Revised Statutes, as amended, I hereby request	Continuous authorization	to destroy	cenantitides of name are further in the part of the Drug Hard Market All	
		the numbered record items listed below.	Authorization			
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		HIGHWAYS DIVISION				
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#### Maintenance Section

- Permit Construction Unit
- $\mathcal{A}$  . Application for Right-of-Way Construction . Permits
  - Construction Plans Notes for Construction Within State Right-of-Way. (review copy)
  - 2. Approval of Application (review copy) EIS Checklist FHWA Correspondence Approval of Permit

- May destroy 2 yrs. old.
- May destroy 2 yrs. old.

- 3. Log of Permit Applications and Plans received for review.
- Vehicle Size and Weight Summaries. Monthly reports from District. Worksheets, Data Compilation.
- Equipment and Safety Unit

Safety and Equipment Program

- A Specifications Writing for Equipment Purchase
  - 1. Reference Materials and Standards
  - Work record for specifications writing. Worksheets Corr.
  - 3. Printed Contract (copy)

- 3. Destroy 2 yrs. after last entry.
- l year after submission to Motor Vehicle Safety Office.

- Destroy after superseded, obsolete, or of no further use.
- Retain until equipment warranty runs out (2 years).
- Retain until equipment warranty runs out (2 years).

- Equipment Use Monitoring
  - Equipment Use Report (fiche copy)
  - Motor Vehicle and Equipment Inspections, Follow-ups. Report to Chief-Highways

- Destroy when no longer used.
- 2. Destroy 2 yrs. old.

- C. Safety Program
  - Annual Accident Report to Chief and supporting data: copies of OSHA form 200 (Log), WC-1, Supervisor's Accident Report
- Materials Furnishing and Maintenance, and Landscaping Contracts.
  - 1. Reference Materials and Standards.
  - 2. Materials and Landscaping Contracts Ledger.

Project name, project number, contractor, amount, contract no., time span, bid opening date, award date, notice to proceed, completion date, acceptance date, memo to fiscal of closing.

3. Prequalification for prospective bidders, paint. biannual.

Chemical test reports from Material Testing Lab.

Correspondence with prospective bidders, re/results.

 Destroy 1 yr. after submission of annual report to Chief-Highways.

- Destroy after superseded, obsolete, or of no further use.
- Destroy 6 yrs. after last entry.

 Destroy 4 years after submission of test results to prospective bidders. Landscaping and Materials Contracts

4. Project Folders

Proposal

A

1 - 0

Estimate

Prequalification Test Results.

Ratings calculations.

Bid tabulations.

County-co-contracts for materials corr.

Recommendation.

Award.

Contract, specs, special provisions, bond, transmittal, amendments.

Notice to proceed.

Contractor's invoice to supplier.

Change Orders.

Delivery Receipts.

Sample Card and Field Test Reports (paint, pavement markers and epoxy only.) \*

 Destroy 3 years after project acceptance.

- 3. Equal Opportunities Section
  - A. Project records cross reference.
    - 2.10 Equal Employment Opportunities Submittals
    - 2.11 Required Contract Provisions for Federal-aid Construction Contracts (PR-1273)
    - 2.12 Federal-aid Highway Construction Summary of Employment Data (PR-1392)

See Contract. (1.03 above)

Destroy 3 yrs. after close of fiscal year.

- 2.13 Federal-aid Highway Construction Contractor's Annual EEO Report (PR-1391)
- 2.14 Compliance Review Report Form

2.15 Non-compliance; Correction of Deficiencies

- B. Group II. employee claims possible
  - Disadvantaged Business Enterprise Quarterly Report (FHWA 1405)
  - Supportive Services in Support of minority training programs.

Consultant Contract Records. (annual award)

- (a) Specs, bid, contract award.
- (b) Trainee tracking. Contractor's Monthly and Annual Reports (2.17).
- (c) Progress Payments.

Destroy 3 yrs. after close of fiscal year.

Destroy 3 yrs. after close of fiscal year.

Destroy 3 yrs. after close of fiscal year.

 Destroy 3 years after close of fiscal year.

2.
a. & b.: Destroy
 3 years after
 close of fiscal
 year.

c. Destroy 1 year after close of fiscal year. Construction Section

A \_ Contract Administration Unit

Project Records Cross Reference

1.01 Plans, designs, specifications.

Computations and quantity take off sheets.

Grade sheets.

[1.02]

4

- 1.03 Contract Records.
  - Contract Correspondence. (Right-of-Entry, Awards, Notice to Proceed, Approved Subcontractors, Notice to Bidders)
  - 2a. Detail Estimate and Bid Tabulation. Job Authorization. Construction Engineer Costs; Expense Summary; Expenditure Plan Worksheet.
    - Contract copy of Special Provisions, Plan Changes (addendums, field revisions, preliminary binded work plans)
    - 4. Federal correspondence, approvals.
    - Contract Progress Corr. Intra and to/from contractor.
- 1.04 Request for Approval of Subcontractor (DOT 1-055)
- 1.05 Pre-construction Conference (DOT 4-332) Pre-construction inspection.

After approval, forward to District Engineer.

1.03 Destroy 3 years after final payment.

1.04

Destroy 3 years after final payment.

Destroy 3 years after final payment.

1.10 Utilities Projects

1.11 Utility Agreements and Supplements

1.12 Pre-construction meeting with utilities representative and contractor.

Starting and estimated completion dates.

1.13

Utility Meetings Records

Critical Utility Work

Construction work affecting or delaying progress of utility work or vice versa.

Clarification of Plans, Specs

- Estimated start up and completion dates of various phases of utility work.
- Estimated days of advance notice needed by utility to send in crews to perform work.
- 2.00 Labor Compliance Inspection Records
- 2.01 Labor Compliance Employee Interview (DOT 4-101)

Contractors Payrolls and Statement of Certified Payrolls (WH 348) Payroll Checklist. Overtime request.

- 2.02 Non-compliance warnings, penalties.
- 2.03 Labor Compliance Report/Audit (DOT 4-348)
- 3.00 Records Supporting Payments

3.01 Contract Change Order

Destroy 3 years after final payment.

Destroy 3 years after final payment.

Destroy 3 years after final payment.

Destroy 1 yr. old.

Destroy 1 yr. old.

Destroy 3 years after final payment.

Destroy 3 years after final payment. Post to project card.

- 3.04 Statement of Funds Shortage
- 3.06 Progress Payment
  - 1. Summary (Face Sheet)
  - 2. Recapitulation Sheet
  - 3. Payment Authorization
  - Materials on Hand if applicable

Monthly Estimate and Worksheet.

Final Payment: See 5.05.

- 3.11 Weekly Statement of Working Days (DOT 4-002) Weekly Statement of Plant Establishment Days. Days worked, days not worked explanation of why not worked (weather, holiday) if change order issued.
- 5.00 Project Acceptance upon Completion of Contract
- 5.01 Partial Acceptance Inspection reports; deficiencies noted, corrective action taken

Letter to Construction and Maintenance Engineer recommending relief of maintenance approval.

#### 5.02

Pre-final Inspection

Resident Engineer's Inspection Pre-final Inspection Team List Notice of date Pre-final Inspection Report Deficiencies to be corrected Corrective measures taken Recommendation concerning design of final project. Destroy 3 years after final payment.

Post to project card, then forward to fiscal office.

Destroy after posting to project card.

Destroy 3 years after final payment.

Destroy 3 years after final payment.

5.03 Final Inspection

Inspection Team List; notice of date of inspection.

#### Report

Memo of Confirmation of Final Inspection (to Construction and Maintenance Engineer)

Date of inspection

Date of completion

Statement of substantial completion

Statement of whether subject to liquidated damages

Statement of deficiencies and additional work remaining

Statement of requests for time extentions

### 5.04

Contract Acceptance

Destroy 3 years after final payment.

Memo from Resident Engineer to District Engineer that all work has been completed.

Memo from District Engineer to Construction and Maintenance Branch recommending acceptance of project as of certain date

Construction and Maintenance letter of final acceptance to Contractor

Tax Clearances

Destroy 3 years after final payment.

- 5.05 Required submittals to FHWA
- Statement of Materials and Labor used by Contractors on all Federal-aid Primary and Interstate Projects (PR -47)
- Certificate of Wages and Classifications, Federal-Aid Projects
- Certificate of Materials and Final Record Samples
- 4. Final progress payment
- 5. Copy of Contracts Acceptance
- Construction Project Final Report (transmittal)
- 7. Letter certifying payrolls have been submitted.
- 5.06 Claims for Extra Compensation: Investigation and Report
- 5.07 Court orders for payment of claims to contractor's creditors (Bonding Firm, Tax Office)

#### Project Tracking

 Project Summary Cards by Island/ type/project no., then chron. by completion date (reverse chron.)

Contents:

- Basic Information: Project no., title, contractor, amount, extras allowed, contract no., contract amendments, time span, project engineer, charge code, bid opening, award, notice to proceed, completion date, date work started, date work completed, final inspection date, revised completion date, unworkable days.
- 2. Progress Payments Log.
- 3. Change Order Log.
- 4. Comments.

Destroy 3 years after final payment.

Destroy 3 years after final payment.

Destroy 3 years after final payment.

 Permanent. May microfilm inactives, or convert to magnetic media.

## DEPARTMENT: 1509020000 HIGHWAYS DIVISION, PLANNING BRANCH

Records Series ID	Description	Schedule information	Retention	Disposition
150902-00001	HIGHWAYS DESCRIPTIVE INVENTORY, 35MM FILMS, 1972- present.	SA-1 DATED 4/7/1992 ITEM 1	Permanent	May transfer both negatives and positive copies to the State Archives 10 years after surveys are completed. The DOT shall provide the Archives with extant designated travel routes/guides to the films. If the Archives decides to deacession any films, it shall offer them to DOT.

State Arc Iolani Pal	hives ace Grounds, No	nolulu. Hawaii 96813		Attention :	State Archivis
		on 94-3 Hawaii Revised Statutes, as amended, I hereby request X Continuous authoriza the numbered record items listed below.	tion to destroy		
ITEM NO.	FORM NO	DESCRIPTION	YEARS O FROM	R PERIOD THROUGH	RETENTIO
		DEPARTMENT OF TRANSPORTATION			
		HIGHWAYS DIVISION		*	
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		Head, Right-of-Way Branch			
		Child History Division			
		Chief, Highways Division			
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It is requested	that Record item	will be preserved on microfilm in ac	cordance with Sect	tion 92-31 Hawaii F	levised Statute
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- Abstracting Section
- Ab-1 Title Evidence and Descriptions by Right-of-Way project number Cross ref. to T.M.K.

#### Contents:

- Preliminary Title Search Title Search for land descriptions, requested by Cadastral for Surveying and mapping.
  - Descriptions of original land title. (Alternately, may be in Master File and included here by reference.)
  - (2) Current descriptions of all pertinent tax key parcels.
  - (3) All metes and bounds descriptions available.
  - (4) Land Court Certificate of Title Boundaries and Easements (Registered Lands) requested by Cadastral for preparation of Land Court Maps.

### 2. Final Title Examination

Title Search of complete history and present condition of title to land, requested by Land Acquisition, Cadastral and other government agencies.

- Worksheet (DOT-33) Complete history of title, liens and encumbrances.
- (2) Title Sheet (DOT 4-179) Conclusion as to present ownership and condition of title.

### 3. Continuation of Final Title Examination

Prior to; acquisition; petition to Land Court for Subdivision; notice of pendancy of and final order of condemnation; and recordation of State's title. Ab-1 Permanent. May microfilm.

#### Abstracting Section

- 4. <u>Title and/or geneology charts</u>, signed affidavits, court testimony (as requested by A.G.)
- 5. Title Evidence
  - (1) Abstract of Title. Condensed history of title to land: synopsis of material portion of all conveyances which affected the land and a statement of all liens, charges, and liabilities. Certified by licensed Abstract Maker.
  - (2) Certificate of Search

Shows land title, description of property, record ownership, status and condition of present title in owner, liens and/or encumbrances. Certified by licensed Abstract Maker.

(3) Memorandum of Title

Condensed history of title to land. Made when title search reveals a defective title. Explains defect and is incorporated into certificate. Signed by Abstract Maker.

(4) Continuation of Title.

Updating of a search to ensure current ownership and status.

(5) Delineation of Title

All sales transactions affecting the title within the past 5 years: parties, date of purchase, verified purchase price.

# B\_ Ab-2 Index to Title

Ab-2

Indexes to titles, charge code and right-of-way project number with cross-references to each other. Permanent.

#### Abstracting Section

C Ab-3 Land Title Recordation

Suspense file.

- Ab-4 Master Land Title File by LCA#, R.P.#, or L.P. Grant #, Public Works Grant #, School Grant #, Minister of Interior Deeds, Kamehameha Deeds, Government Lands.
- E. Ab-5 Index to Title Holders names or Certificate of Title.
- Ab-6 Reference Materials
  - (a) Index to Vital Statisticsbirths, marriages, deaths.
  - (b) Survey Maps,

Right-of-Way Maps

- (c) Court Cases: Probates, Civils, Equities, Laws, Divorces, Guardianships
- (d) File copies of Deeds, Land Court Documents, Articles of Association

(J. Ab-7 Old Public Works Dept. Abstracts

H\_ Ab-8 Work Assignments Log Noted here:

> Requests for description from Cadastral/dates. Assignment made/date. Confirmation/date. Work sent to Cadastral/date.

Ab-9 Papers posted to Work Log. Requests for description. Confirmation. Assignment. Transmittals of work sent to requestor. Ab-3 Return records to Land Acquisition after recordation.

Ab-4 Permanent. May microfilm where volume warranted.

Ab-5 Permanent.

### Ab-6

Retain as long as used actively. Destroy after no longer of use.

Ab-7 Incorporate into Title Evidence. Destroy remainder.

Ab-8 Destroy when purpose has been served.

Ab-9 Destroy after purpose has been served.

- Land Acquisition Section
- A. L-1 Acquisition Record

by Right-of-Way project numbers

Broken into 2 Units:

- (a) General Correspondence Correspondence. DLNR Review of appraisal Financing FHWA Correspondence
- (b) Land Owners Correspondence Location Maps Deeds and other records concerning sale.

Condemnations, Court Orders

Besides records of acquisition of Right-of-Way, the above records will, as necessary, contain:

Utility Agreements Records of 60-day rental of Highways property to former owner-occupant.

Records of demolition or sale of improvements.

Inspections Affidavits of Publication of Notice of Sale Bill of Sale Records of requests to BLNR for sale of remnants.

⚠ L-2 Index to Acquisition Records

Cross reference to name.

( \_\_ L-3 Attorney General's Record of Condemnation Cases.

and Index

L-4 Desk files of agents

L-1 Permanent. May microfilm.

L-2

Permanent.

L-3 Permanent. May microfilm.

L-4 Destroy after no longer of use.

- 3 Appraisal Section
- A-1 Appraisal Reports numbered

B A-2 Qualified Federal Aid Project Appraiser's Selection List of qualified appraisers Evaluations Questionnaires Sample Report Letters of Recommendation to DOT Director; FHWA Letter to qualified applicant.

G A-3 Contracts for Federal Aid Appraisal Request for selection of appraiser Fee negotiation Contract Authorization to Proceed Materials Furnished.

D A-4 Special Studies Construction to Mitigate Damages

> Study to determine if construction features should be included to mitigate damage caused by construction to remainder property.

Impact of Construction to Community

Economic effects of construction, such as by-passed communities, access to business areas.

Case Studies Collection on an area or parcel.

Benefit and damages.

Used as an aid to valuation of similar sites.

Valuation of Remnants.

Collection of values on actual sale of remnants and land locked tracts.

Used to support claims of severance damages on similar sites.

A-1 Permanent. May microfilm.

A-2 Retain list and all supporting records until list is obsolete.

A-3 Destroy 3 years after close of project.

Permanent. When no longer actively used, may offer to State Archives.

### Appraisal Section

Land Values in Transition.

Used to support up-zoning.

Economic Rent

Comparison of present rent with rent on relocation of a tenant. Used for computation of supplemental rent payments under Federal Aid program for persons relocated due to construction.

- L. Property Management Section
  - P-1 Revocable Permits Files Permit New Tenant Data Copies of Insurance Policies Cancellations Inspection

2 4 4 A

- P-2 Relocation Records Program Plans Relocations of Displacees Reports to FHWA
- C- P-3 Airspace Leases Lease Agreement

P-4 Remnant Inventory

D

P-1 Destroy 3 years after cose of fiscal year.

### P-2 Destroy 3 years after close of project, unless appeal pending.

### P-3 Retain until 3 years after expiration of lease. Maximum

term is 55 years.

# P-4

Retain until properties disposed.