# DEPARTMENT OF TRANSPORTATION

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

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*RECORDS SERIES ID is for Records Management Branch use only.*
1. In compliance with Section 94-3 Hawaii Revised Statutes, as amended, I hereby request Continuous authorization to destroy or otherwise dispose of the numbered record items listed below.

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<tr>
<td></td>
<td></td>
<td>DOT Business Management Office Records Schedule is attached.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Business Management Officer

2. Record items Nos. A.1.4 and A.1.5 will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes. It is requested that Record items Nos. are transferred to Master negatives.

Master negatives will be transferred to the State Archives.

3. DEPARTMENT OF TRANSPORTATION

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions:

5. Destruction or other disposal, with exceptions indicated, approved.

Date: Nov 24, 1986
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.


B. Audit Section

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

C. Contracts Office

1. Contract records relating to
   a. Consultant procedures and standard qualifications.
   b. Intent to bid ledger.
   c. Control log.
   d. Contract processing file.
   e. Duplicate copy of contract and amendments.

2. Legal opinions relating to contract administration.

D. Methods and Procedures Office

1. 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.
   b. Organizational charts and functional statements.

3. Management studies relating to internal departmental matters.

   a. Correspondence, working papers and drafts relating to DSM.

R etention

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

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

*RECORDS SERIES ID is for Records Management Branch use only.*
# DEPARTMENT OF TRANSPORTATION
## RECORDS SERIES REPORT

**DEPARTMENT: 1508010000**  
**HARBORS DIVISION, STAFF SERVICES OFFICE**

<table>
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*RECORDS SERIES ID is for Records Management Branch use only.*
### DEPARTMENT OF TRANSPORTATION
#### RECORDS SERIES REPORT

**DEPARTMENT: 1509000000**
**HIGHWAYS DIVISION**

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<td>CONSTRUCTION AND MAINTENANCE BRANCH</td>
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<td></td>
<td>[Signature] Asst. Chief, Construction &amp; Maintenance</td>
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<tr>
<td></td>
<td></td>
<td>Chief, Highways Division</td>
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</tbody>
</table>

2. Record items Nos. __________ will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes. It is requested that Record items Nos. __________ be transferred to the State Archives.

3. [Signature] Department of Transportation

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions:

Record items Nos. __________ to be transferred to [ ] State Archives [ ] AGENCY

[Signature] State Archivist

5. Destruction or other disposal, with exceptions indicated, approved.

[ ] Continuous authorization [ ] Authorization

[Signature] Date: APR 23 1986
Maintenance Section

1. Permit Construction Unit

A. Application for Right-of-Way Construction Permits

1. 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

3. Log of Permit Applications and Plans received for review.

4. Vehicle Size and Weight Summaries.
   Monthly reports from District.
   Worksheets, Data Compilation.

2. Equipment and Safety Unit

Safety and Equipment Program

A. Specifications Writing for Equipment Purchase

1. Reference Materials and Standards

2. Work record for specifications writing.
   Worksheets Corr.

3. Printed Contract (copy)

1. May destroy 2 yrs. old.

2. May destroy 2 yrs. old.

3. Destroy 2 yrs. after last entry.

4. 1 year after submission to Motor Vehicle Safety Office.

1. Destroy after superseded, obsolete, or of no further use.

2. Retain until equipment warranty runs out (2 years).

3. Retain until equipment warranty runs out (2 years).
Equipment Use Monitoring

1. Equipment Use Report
   (fiche copy)

2. Motor Vehicle and Equipment
   Inspections, Follow-ups.
   Report to Chief-Highways

Safety Program

1. Annual Accident Report to Chief
   and supporting data: copies of
   OSHA form 200 (Log), WC-1,
   Supervisor's Accident Report

2. Destroy when
   no longer used.

3. Destroy 2 yrs.
   old.

Materials Furnishing and Maintenance,
and Landscaping Contracts.

1. Reference Materials and Standards.

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

3. Destroy after
   superseded,
   obsolete, or of no
   further use.

4. Destroy 6 yrs.
   after last
   entry.

5. Destroy 4 years after
   submission of
   test results to
   prospective
   bidders.

2. Materials and Landscaping Contracts
   Ledger.

   Project name, project number, con-
   tractor, 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.
Landscaping and Materials Contracts

4. Project Folders
   Proposal
   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.)
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)

See Contract. (1.03 above)

2.12 Federal-aid Highway Construction Summary of Employment Data (PR-1392)

Destroy 3 yrs. after close of fiscal year.

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

Destroy 3 yrs. after close of fiscal year.

2.14 Compliance Review Report Form

Destroy 3 yrs. after close of fiscal year.

2.15 Non-compliance; Correction of Deficiencies

Group II. employee claims possible

1. Disadvantaged Business Enterprise Quarterly Report (FHWA 1405)

Destroy 3 years after close of fiscal year.

2. Supportive Services in Support of minority training programs.

Consultant Contract Records. (annual award)

(a) Specs, bid, contract award.

2. Supportive Services in Support of minority training programs.

(b) Trainee tracking. Contractor's Monthly and Annual Reports (2.17).

(c) Progress Payments.

2. Supportive Services in Support of minority training programs.

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

c. Destroy 1 year after close of fiscal year.
4. 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]

1.03 Contract Records.

1. Contract Correspondence.
   (Right-of-Entry, Awards, Notice to Proceed, Approved Subcontractors, Notice to Bidders)

    Construction Engineer Costs; Expense Summary; Expenditure Plan Worksheet.

3. Contract copy of Special Provisions,
   Plan Changes (addendums, field revisions, preliminary bounded work plans)

4. Federal correspondence, approvals.


1.04 Request for Approval of Subcontractor (DOT 1-055)

1.05 Pre-construction Conference (DOT 4-332) Pre-construction inspection.

1.10 Utilities Projects
1.11 Utility Agreements and Supplements  
Destroy 3 years after final payment.

1.12 Pre-construction meeting with utilities representative and contractor.  
Starting and estimated completion dates.  
Destroy 3 years after final payment.

1.13 Utility Meetings Records  
Critical Utility Work  
Construction work affecting or delaying progress of utility work or vice versa.  
Destroy 3 years after final payment.

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  
Destroy 1 yr. old.

2.01 Labor Compliance Employee Interview (DOT 4-101)  
Contractors Payrolls and Statement of Certified Payrolls (WH 348)  
Payroll Checklist.  
Overtime request.  
Destroy 1 yr. old.

2.02 Non-compliance warnings, penalties.  
Destroy 1 yr. old.

2.03 Labor Compliance Report/Audit (DOT 4-348)  
Destroy 3 years after final payment.

3.00 Records Supporting Payments  
Destroy 3 years after final payment.

3.01 Contract Change Order  
Post to project card.
3.04 Statement of Funds Shortage

3.06 Progress Payment
   1. Summary (Face Sheet)
   2. Recapitulation Sheet
   3. Payment Authorization
   4. 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 extensions

5.04

Contract Acceptance

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

1. Statement of Materials and Labor used by Contractors on all Federal-aid Primary and Interstate Projects (PR-47)

2. Certificate of Wages and Classifications, Federal-Aid Projects

3. Certificate of Materials and Final Record Samples

4. Final progress payment

5. Copy of Contracts Acceptance

6. 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)

Destroy 3 years after final payment.

Destroy 3 years after final payment.

Project Tracking

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

Contents:

1. 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.


4. Comments.

1. Permanent.
May microfilm inactives, or convert to magnetic media.
## DEPARTMENT: 1509020000
### HIGHWAYS DIVISION, PLANNING BRANCH

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<tr>
<td>150902-00001</td>
<td>HIGHWAYS DESCRIPTIVE INVENTORY, 35MM FILMS, 1972-present.</td>
<td>SA-1 DATED 4/7/1992 ITEM 1</td>
<td>Permanent</td>
<td>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 deaccession any films, it shall offer them to DOT.</td>
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<td></td>
<td>RIGHT-OF-WAY BRANCH</td>
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PETER V. BERNIX
Head, Right-of-Way Branch

CHIEF, HIGHWAYS DIVISION

2. Record items Nos. will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes.

It is requested that Record items Nos. be transferred to the State Archives.

3. [Signature of Records Officer]

DEPARTMENT OF TRANSPORTATION

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions:

5. Destruction or other disposal, with exceptions indicated, approved.

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<td></td>
<td>[X] Continuous authorization</td>
</tr>
</tbody>
</table>

Record items Nos. to be transferred to

[ ] State Archives

[ ] OTHER

6. [Signature of Acting State Archivist]

FEB 24 1987

[Approval Date]
1. Abstracting Section

Ab-1 Title Evidence and Descriptions by Right-of-Way project number
Cross ref. to T.M.K.

Contents:

1. Preliminary Title Search
   Title Search for land descriptions, requested by Cadastral for Surveying and mapping.

   (1) 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.

   (1) 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.
Abstracting Section

4. Title and/or geneology charts, 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


(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.

Ab-2 Index to Title

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

C. Ab-3 Land Title Recordation
   Suspense file.

Ab-3
Return records to Land Acquisition after recordation.

D. 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.

Ab-4
Permanent. May microfilm where volume warranted.

E. Ab-5 Index to Title Holders names or Certificate of Title.

Ab-5
Permanent.

F. Ab-6 Reference Materials
   (a) Index to Vital Statistics
       births, 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

Ab-6
Retain as long as used actively. Destroy after no longer of use.

G. Ab-7 Old Public Works Dept. Abstracts

Ab-7
Incorporate into Title Evidence. Destroy remainder.

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-8
Destroy when purpose has been served.

I. Ab-9 Papers posted to Work Log.
   Requests for description.
   Confirmation.
   Assignment.
   Transmittals of work sent to requestor.

Ab-9
Destroy after purpose has been served.
S. 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.

B. L-2. Index to Acquisition Records

Cross reference to name.

C. L-3. Attorney General's Record of
    Condemnation Cases.

    and Index

D. 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. 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.

C. 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.
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.
Property Management Section

A. P-1 Revocable Permits Files
   Permit
   New Tenant Data
   Copies of Insurance Policies
   Cancellations
   Inspection

B. P-2 Relocation Records
   Program Plans
   Relocations of Displacees
   Reports to FHWA

C. P-3 Airspace Leases
   Lease Agreement

D. P-4 Remnant Inventory

P-1
Destroy 3 years
after close 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.