

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>229#:</b>						
<b>Schedule #:</b> 1125 14#: Brunswick to Boston Rail Initiative	Record Copy	9/2/2011 Years	10 Years	10	Archives	Current
This record series is kept to facilitate the restoration of passenger rail service to Maine by providing a record of the project (tied to Federal Grant #FR-HSR-0005-10-01-00) as it develops. Included in these records are correspondence with government and transportation officials, information about proposed railroad stops along the route, correspondence with attorneys, invoices submitted by consultants, correspondence with other states, and files on Amtrak, the MBTA, Guilford Industries, the Federal Transit Administration, and the Coalition of Northeastern Governors, as well as contracts and consultant correspondence. Keep records in agency until project completed.						
<b>Schedule #:</b> 1256 37#:Commissioner's Correspondence (Department of Transportation)	Paper	3/28/1998 Years	2 Years	0	Archives	Current
Correspondence to and from the Commissioner of Transportation.						
<b>Schedule #:</b> 1278 38A:Minutes of the Maine-New Hampshire Interstate Bridge Authority	Paper	6/17/1998 Years	2 Years	0	Archives	Current
The Commissioner serves on the Board, currently is chairman. This is an ongoing series in the Commissioners Office. A typical file contains: a audited financial report and related correspondence. The Maine-New Hampshire Bridge authority was created by a U.S. congressional Act to build and maintaine, with user tolls, a high level bridge on U.S. route 1 between Maine and New Hampshire. The toll bridge authority, as created, has the authority to carry on all work and to collect and administer revenues in support of this purpose. Both the Commissioner of Maine and New Hampshire has representation on this authority. The tolls have been taken off the bridge. The toll bridge authority no longer has a revenue stream but it still functions in administering maintenance on that bridge. Files include: minutes, agenda, financial reports and related correspondence.						
<b>Schedule #:</b> 1278 38B:All other files of the Maine-NH Interstate Bridge Authority						

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The Commissioner serves on the Board, currently is chairman. This is an ongoing series in the Commissioners Office. A typical file contains: a audited financial report and related correspondence. The Maine-New Hampshire Bridge authority was created by a U.S. congressional Act to build and maintaine, with user tolls, a high level bridge on U.S. route 1 between Maine and New Hampshire. The toll bridge authority, as created, has the authority to carry on all work and to collect and administer revenues in support of this purpose. Both the Commissioner of Maine and New Hampshire has representation on this authority. The tolls have been taken off the bridge. The toll bridge authority no longer has a revenue stream but it still functions in administering maintenance on that bridge. Files include: minutes, agenda, financial reports and related correspondence. Keep in agency life of bridge.	Paper	6/17/1998	Contingent Upon Event - See Description	Years 0	Destroy	Current
<b>Schedule #:</b> 1303 <b>39#:</b> Railroad Crossing Maps						
The agency retains this series because it is required by the Federal Railroad Administration. There is a Federal inventory of the number of railroad crossings in this State. These are maps of the crossing. They document every railroad crossing in the State.	Record Copy	11/15/2011	Contingent Upon Event - See Description	0 Years 0	Archives	Current
<b>Schedule #:</b> 1099 <b>3#:</b> Water Resources Studies						
These files are kept to show that federal and state laws applying to water resources potentially affected by transportation-related structures, projects, reconstruction projects or plans are complied with. The typical file contains correspondence and chemical water testing documentation, and related correspondence.	Record Copy	9/1/2011	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 1102 <b>4#:</b> Natural Resource Mitigation Project Files						
These records are compiled to document the process through which compensatory mitigation plans for transportation-related projects are developed, constructed and monitored, are necessary to show that the plans conform to federal and state regulations.	Record Copy	9/2/2011	Years 10	Years 0	Archives	Current
The files typically contain notes, literature, mitigation plans, potential mitigation sites, regulatory information, consultant information. When DOT impacts wetlands, other agencies (DEP) may require DOT to repair or redo wetlands, this is called compensatory mitigation. Keep in agency for as long as we retain ownership of site.						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 1162 1#:Well Claims	Digital File	11/28/2018	Years	20	No Retention 0	Destroy Current
The records in this series are kept to show how claims against the MDOT alleging contamination of water supply systems by the agency are processed and decided. The typical file may contain the following: claim forms; property information regarding claims; water analysis reports; investigative reports; letters to claimant/status claim; invoices; well driller information from wells were drilled; waterline installation information; and settlement agreements.						
<b>Schedule #:</b> 1189 5#:Environmental Compliance Inquiries and Complaints	Record Copy	9/2/2011	Years	10	No Retention 0	Destroy Current
Documentation of responses to environmental inquiries and complaints; letters; memos; maps; photographs and reports. Typical inquiry or complaint might come from a business on environmental impact of a road or highway, i.e. Atlantic Salmon Commission might inquire or complain about runoff from a highway on the salmon industry. Keep in agency until project closes plus 10 years.						
<b>Schedule #:</b> 1199 7#:Environmental Studies for Transportation Projects	Record Copy	11/15/2011	Years	10	Years 0	Archives Current
These records are kept to provide documentation that environmental responsibilities have been met for transportation projects as required by federal and state laws, regulations, guidelines and agreements. Typical files may include environmental impact statements; FHWA records of decision; environmental assessments; FHWA findings of no significant impact; environmental baseline reports; scoping meeting minutes; minutes of public meetings; wetlands findings; and threatened or endangered species reports; historic resources reports; archaeological resources reports; interagency coordination correspondence; and application/notification request. Keep in agency until 10 years after project closed to charges.						
<b>Schedule #:</b> 1637 8#:Superfund, Investigation and Feasibility Study						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Program is to investigate the hazardous toxic waste sites in Maine with Maine DOT employees, consulting firms, EPA and Maine DEP. The investigation includes gathering of field data, testing, validation and reporting data to be used by Maine DOT, Maine DEP, EPA and other Federal and local agencies. The feasibility study uses the information from the investigation to determine feasible alternatives for potential clean-up and remediation. Files maintained in this series will ensure compliance with relevant State and Federal environmental regulations and administrative consent orders. The typical file will contain technical and administrative proposals, analytical test data; legal agreements; contracts; soil, bedrock, water and ecological assessment information; geophysical data; topographic survey data; public outreach information; financial expenditure data, and related correspondence.	Record Copy	9/2/2011	Years	60	Years	0
<b>Schedule #:</b> 1637 <b>9#:</b> Superfund, Investigation and Feasibility Study - Callahan Mine						Archives
Callahan Mine Superfund Site - Brooksville Maine: Project is directed toward addressing legal and regulatory requirements established between the State of Maine and the US Department of Justice and US Environmental Protection Agency. Efforts center on investigating and assessing environmental site conditions; evaluating human health and environmental risks and developing appropriate remedial strategies to ameliorate adverse impacts to onsite soil, surface water and groundwater. All relevant date and information generated as part of the Callahan Mine site studies must be maintained for extended periods of time as mandated by state and federal environmental regulations and court-ordered consent agreements.	Paper	9/24/2015	No Retention	0	No Retention	0
<b>Schedule #:</b> 967 <b>1#:</b> DOT External Audit Workpaper Files						Archives
DOT audits of external agreements/contracts made with third-party recipients such as consultants, municipalities, railroads, utilities, etc., to determine if these recipients have complied with applicable Federal/State laws and regulations in the administration of related programs. These workpapers serve as support to the results of the audit, and document the audit report.	Record Copy	9/6/2011	Years	10	No Retention	0
<b>Schedule #:</b> 967 <b>2#:</b> DOT Internal Audit Workpapers						Destroy
						Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
DOT audits of internal operations that determine whether the Department has complied with applicable Federal and State Laws/regulations. These workpaper files serve as documentation of DOT's activities in relation to the above, some of which are included as part of the State's Annual Single audit which is completed in accordance with the Federal Single Audit Act of 1984. The files consist of the following categories: (1) Audit Reports; (2) Audit Management (assignments/supervisory review); (3) Preliminary Reviews (prior reports, questionnaires, interviews, universes of costs, etc.); (4) Audit Program; and (5) Audit Testing & Verification. These are the actual workpapers that support the audit report.	Record Copy	9/6/2011 Years	10	No Retention	0	Destroy Current
<b>229L:Legal Services</b>						
<b>Schedule #:</b> 175 <b>4#:</b> Abstracts of Title	Mixed	5/19/2015 Years	50	No Retention	0	Destroy Current
Cover sheet, title chain, schedules, abstract sheet, encumbrance sheets and plans.						
<b>Schedule #:</b> 933 <b>6#:</b> Vehicle Accident Report	Mixed	7/13/2018 Years	10	No Retention	0	Destroy Current
If state vehicles are involved in accidents, a report is sent to DOT Legal. Files include: copy of State Policy, accident report.						
Media (MX) includes all file types.						
<b>Schedule #:</b> 933 <b>8#:</b> Guardrail Claims	Mixed	7/13/2018 Years	10	No Retention	0	Destroy Current
When an accident occurs and a guardrail is damaged. Files include: police report; pleading; correspondence. The driver of the vehicle who damaged the guardrail is instructed to pay. Retention begins when case closes.						
Media (MX) includes all file types.						
<b>Schedule #:</b> 933 <b>9#:</b> Potential Torts	Mixed	5/19/2015 Years	10	No Retention	0	Destroy Current
Notice of intent to file a claim against the state. Files include: investigation report and related correspondence. These files are potential torts and settled out of court. If a case goes to court it is considered an actual tort and filed under a different series: Torts (DOT).						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 934 10#:Tort Claims	Digital File	9/11/2014 Years	10	No Retention	0	Destroy Current
Claims by member of the public against DOT for damages. Files include: pleadings, investigative material, and related correspondence, also copy of accident report. Retention begins when case concluded.						
<b>Schedule #:</b> 934 11#:Eminent Domain Cases	Digital File	9/11/2014 Years	10	No Retention	0	Destroy Current
A disgruntled property owner appeals to court over land taken by DOT. Files include: briefs; photos; investigative materials and related correspondence. Retention begins when case concluded.						
<b>Schedule #:</b> 934 13#:Miscellaneous Litigation Files	Digital File	9/11/2014 Years	10	No Retention	0	Destroy Current
Any litigation in which DOT is a party. Files include: briefs, photos, investigation reports and related correspondence. Retention begins when case concluded.						
<b>Schedule #:</b> 1228 16#:Sears Island records up to 1996.	Record Copy	9/7/2011 Variable - See Description	0	No Retention	0	Archives Current
The agency retains this material to provide a record of the Maine DOT's Sears Island Cargo Port Project from the time of its inception until the project was terminated in 1996. A typical file may contain related journal or newspaper articles; construction, environmental, and miscellaneous permits; correspondence with consultants, environmental groups, the public, other governmental agencies, and others; design specifications and draft and alternative designs; environmental notes, fieldwork, notes, and raw data; meeting minutes; maps; various studies and reports; and investigatory material ,as well as, administrative records used by the Maine DOT, the U.S. Army Corps of Engineers, and the U.S. Fish and Wildlife Service in preparing and receiving information leading to decisions regarding the issuance of permits which required environmental review. Keep at agency a minimum of 50 years, but for as long as required by DOT.						
<b>Schedule #:</b> 1954 17#:Legal Research Files	Mixed	3/16/2015 Permanent or Indefinite	0	No Retention	0	Archives Current
Memoranda and associated research items drafted or assembled in determining effects of law on MaineDOT activities. May include historical files, case law, legislative histories, opinions and the associated correspondence and memoranda outlining the findings of the research. (Permanent retention)						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
<b>Schedule #:</b> 1955 18#:Real Estate Transactional Documents	Mixed	3/16/2015	Years	60	No Retention	0	Destroy	Current
Documents related to the Department's involvement in non-eminent domain real estate transactions, including purchase and sale documents, leases, licenses, operating agreements, and memoranda of agreements, and all associated correspondence thereto. Retention begins when case is concluded. (60 years then destroy)								
<b>Schedule #:</b> 2258 19:Legal Binder - Title Binder	Mixed	9/9/2022	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
This type of file is a collection of deeds, maps and title report memos summarizing the ownership history of a particular piece of state-owned property. The research to build these files is usually complex and would be incredibly difficult to recreate with confident accuracy. It differs from a standard title report because a title report can generally be replicated by performing a simple title search in the Registry of Deeds, but certain state property histories are challenging to recreate because the researcher would need to review thousands of registry documents where the State of Maine is a party to narrow the search down to one precise location. The binder also includes records of easements, conditions, leases, and other documents that can affect the title to the property and the legal limitations on how the property can be used - some of which are not recorded and can be difficult to track down. It has enormous value to the Department but is not likely something that anyone outside of MaineDOT would care about. Keep in agency until no longer needed for business.								
<b>Schedule #:</b> 2258 20:Legal Binder - Closing Binder	Mixed	9/9/2022	Years	60	No Retention	0	Destroy	Current
When MaineDOT is involved with a highly complicated real estate transaction, a closing binder is usually prepared. The file includes all signed agreements, deeds, releases, easements, leases, and other transactional documents that affected the closing- some of which are not recorded - It is not terribly uncommon for us to have complex transactions with closing binders that are hundreds of pages long. Some examples are purchases of railroad corridors, ferry terminals, and train stations. These binders often also include records documenting how certain financial issues were handled - a topic that comes up regularly when we convey property that was purchased with the use of federal funds. These types of documents are referred back to often by the legal division as a valuable tool when conducting other similar closings and are appropriate to retain for a sixty-year period.								

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
<b>229P:Policy Analysis</b>							
<b>Schedule #:</b> 1152 1#:Highway Cost Allocation Study	Digital File	11/28/2018 Years	17	No Retention	0	Destroy Current	
These files are kept as records of the conduct of highway cost allocation studies and include vital information about the way the analysis proceeded in each study. Both qualitative and quantitative data involved in the analysis are included. These data will provide useful background information for future highway cost allocation studies which are conducted on a periodic basis. A cost allocation study determines who benefits most from a particular road and who should pay what percentages in taxes for the road. Retention begins from completion of study.							
<b>Schedule #:</b> 1152 2#:Policy Initiative Files	Digital File	11/28/2018 Years	10	No Retention	0	Destroy Current	
These files are kept as records of policy initiatives undertaken by the Office of Policy Analysis on behalf of the Commissioner of Transportation and of initiatives taken by the Director of the Office of Policy Analysis as a participant in national transportation organizations such as the American Association of State Highway and Transportation Officials and the National Governors' Association. The files contain letters, memoranda, and other materials pertaining to these initiatives.							
<b>231#:Finance &amp; Administration</b>							
<b>Schedule #:</b> 1098 10#:Department of Transportation Building Files	Paper	5/5/1994	Contingent Upon Event - See Description	0	No Retention	0	Destroy Current
These files document the construction and maintenance of the DOT building and are kept as a historical record and for reference, and as a guide to maintaining the building. Records include contracts and payments contractors for electrical work, air quality improvements; signing; lights; carpets etc. Keep in agency until building no longer stands.							
<b>Schedule #:</b> 1098 8#:Administrative Policy Memoranda	Paper	5/5/1994	Contingent Upon Event - See Description	0	No Retention	0	Destroy Current
These files are kept as a record of DOT administrative policy. Files include supporting documents, research information, and final copy of departmental Administrative Policy Memoranda. A copy of the Administrative Policy Record will come to the Archives as updated. Keep in agency until updated.							
<b>Schedule #:</b> 1098 9#:DOT Insurance Files							

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
These files are kept to provide a record of DOT's insurance coverage. Files include insurance bills, policies and endorsements for all DOT leased equipment, buildings, boilers, ferry piers, personal use or state vehicles, and liability insurance information. Keep in agency 2 years after expiration.	Paper	5/5/1998 Years	2	Years	0	Destroy	Current
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<b>Schedule #:</b> 1308      21#:Work Orders of the Department of Transportation							
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This series is maintained because of pertinent information contained in the work order. It deals with certain projects done by the M.D.O.T. All work done in the field is done by work order. These work orders are proof of money spent and jobs completed.	Paper	3/17/1999 Years	7	Years	0	Destroy	Current
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<b>Schedule #:</b> 1308      24#:Miscellaneous Administrative Services Division Files							
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This series represents a group of records created from a variety of miscellaneous duties assigned to the Division. Examples of records include proposals; copies of memos, lease agreements; and Maine State Employees Combined Charitable Appeal.	Paper	3/17/1999 Years	5	Years	0	Destroy	Current
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<b>234#:Maintenance &amp; Operations</b>							
<b>Schedule #:</b> 54      1#:Overlimit Permits							
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3 part form with original going to applicant for overload permit on state highways. Yellow copy or second copy comes to Augusta Office from Divisions or Augusta itself, to check money deposited. Pink copy remains with issuing division. The majority of permits are issued in the Augusta Office. The issuing copy or pink copy in division is minimal.	Paper	12/10/1974 Years	2	No Retention	0	Destroy	Current
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<b>Schedule #:</b> 54      2#:Road Opening Permits							
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Road opening permits needed for breaking pavement by individuals or utility companies for utility service. Original given to seeker of permit. One copy retained by Maintenance and third copy sent to supervisor who will repair road. Supervisor returns copy to office stating cost of work performed. Individuals or Company billed for difference in price if any. Paid invoices retained in file.	Paper	12/10/1974 Years	6	No Retention	0	Destroy	Current
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<b>Schedule #:</b> 90      4#:Permits, Utility Location							

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Copy of permits for installation of facilities by utilities along DOT right of way throughout State. Contains permits, applications for permit, maps, sketches, and correspondence relating thereto.	Record Copy	11/15/2011	Years	60	No Retention 0	Destroy Current
<b>Schedule #:</b> 124 <b>10#:</b> Town Aid Programs						
Documentation relative to money allocated and expended with sufficient detail indicating location and scope of work. Correspondence and agreements detailing future liabilities and obligations of the state.	Paper	7/25/1975	Years	6	Years 5	Archives Current
<b>Schedule #:</b> 124 <b>11#:</b> Snow Removal Contracts						
Annual contracts whereby DOT reimburses towns for their winter maintenance activity according to current statutes.	Paper	7/25/1975	Years	4	No Retention 0	Destroy Current
<b>Schedule #:</b> 1100 <b>15#:</b> Weather, Roads, and Temperature Reports						
These are minute-by-minute records of who calls whom on the radio, and what was said, including reports of accidents and other events. The records are especially important as a reference for the DOT Legal Division. Maintain in agency for 10 years.	Record Copy	9/6/2011	Years	10		Destroy Current
<b>Schedule #:</b> 1168 <b>18#:</b> Draw Bridge Opening Reports						
These files consist of monthly records of bridge openings. Each bridge in the state that is opened to allow the passage of bridge traffic has a bridge tender who complies these records and submits them to the DOT. The reports are used to assess the frequency of openings, which is helpful in determining staffing as well as in planning for new bridges. The reports also provide a record of boat traffic at each bridge site.	Paper	8/14/1995	Years	5	No Retention 0	Destroy Current
<b>Schedule #:</b> 1301 <b>23#:</b> Railroad Track Maps						
The records are 1916 railroad track maps that are used in research activities by our office personnel and others outside the office to obtain historical information (surveyors, town officials, attorneys etc.) Keep in agency until no longer needed for business then release to Archives.	Record Copy	9/6/2011	Variable - See Description	No Retention 0	Archives	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 1305 21:Striping Done to Roads and Highways Throughout Maine	Digital File	11/28/2018 Years	8	No Retention	0	Destroy Current
To keep track of all striping State wide on a yearly basis. Files include: Lab test results on paint; crew paint averages; where crews have painted stripes.						
<b>Schedule #:</b> 1306 32#:Transportation Rest Area Logs and Maintenance Records	Paper	1/13/1999 Years	5	Years	0	Destroy Current
These records track maintenance and supplies of Rest Areas along Maine roads.						
<b>Schedule #:</b> 1325 28:Special Exemption Certification for Travel on Restricted Roads	Paper	4/23/1999 Years	1	Years	0	Destroy Current
These records are used to keep track of private companies that have permission to cross posted roads. Maine law enforcement uses these files to help enforce the weight limit laws. Files contain make and year of vehicle, registered gross weight, commodity transported, registration number, vehicle I.D. number, empty weight and owner of truck. Certification is on a day by day basis.						
<b>Schedule #:</b> 1325 29:Exemption Certification for Travel on Restricted Roads	Paper	4/23/1999 Years	3	Years	0	Destroy Current
These records are used to keep track of private companies that have permission to cross posted roads. Maine law enforcement uses these files to help enforce the weight limit laws. Files contain make and year of vehicle, registered gross weight, commodity transported, registration number, vehicle I.D. number, empty weight and owner of truck. This certification is good for the life of the vehicle.						
<b>Schedule #:</b> 1325 30:Entrance Permits	Record Copy	9/6/2011 Contingent Upon Event - See Description	0	Years	0	Destroy Current
These files contain a record of entrances onto State Highways and State Aid roads within the division per Maine Revised Statutes Title 23, chapter 13, Section 704. They are used when researching drainage information and when a new permit is required because of change of use. File contains highway opening permit, original application, sketch of the entrance, and original documentation from applicant. Keep in agency until no longer needed for business.						
<b>Schedule #:</b> 1356 33:Motor Transport Service AssetWorks M5 Reports						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
This series is for work done on work orders, charges to vehicles, and monthly charges to other bureaus in DOT. It keeps track of the inventory of stock and the movement of stock at MTS locations. This is an internal accounting and electronic inventory system for Motor Transport Service, including work orders, monthly overheads, cyclic account, stock variance report, goods received, and stock transfers. Keep until updated.	Digital File	6/25/2019	Destroy When Updated	0	No Retention	0	Destroy	Current
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<b>Schedule #:</b> 1403 34:Site Inspections of DOT Maintenance Garages	Digital File	11/28/2018	Years	10	No Retention	0	Destroy	Current
<p>Environmental and safety audits of the Maine Department of Transportation's maintenance garages and sites that are under the authority of the Bureau of Maintenance &amp; Operations. Files contain evaluations of environmental and safety audits of corrective action requests. Also included in the files, and pertaining to environment and safety, are: memoranda, to do lists for auditing teams, monthly safety reports from Maintenance and Operations Division, general information regarding hazardous chemicals, environmental and safety meeting agendas, reports and reviews of site safety procedures and audit schedules.</p>								
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<b>Schedule #:</b> 1636 35#:DOT Driver Certification Files	Record Copy	9/6/2011	Years	10	No Retention	0	Destroy	Current
<p>These driver files are maintained on behalf of DOT and support the Driver Trainer program. These files contain driving histories of DOT drivers, including Motor Vehicle records, driving violations, accident information, certification applications, request for operator training, notification of license, driver trainer test reports, and a record of the operator's certifications. These files are pertinent to DOT operators, the information is used by the driver trainers and management. All the operators files contain personal information, such as social security numbers, driver's license numbers, home address, birth date, date of hire. Every time an operator gets a new certification, his chart is updated and the new test scores and certification applications are added to his folder. The Driver Trainers use the files as a check on all DOT operators certification records. The retention period begins when the driver retires or otherwise separates from State service.</p>								
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<b>Schedule #:</b> 2257 36:Traffic Counts								

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Traffic counts provide information regarding the number of vehicles per day, the hourly breakdown, travel patterns and, for some locations, the types of vehicles using the road network. This information is utilized by municipalities, consultants, the general public and throughout the Department to supply data for project prioritization, Federal allocation formulae, maintenance prioritization and planning, geometric and structural design calculations for bridges and highways, NEPA compliance studies, Federal Functional Classification, work zone safety planning, highway crash rates, development permits, revenue forecasting, transportation system planning, VMT computations and system performance measurements.	Digital File	6/24/2022	Years	60	No Retention 0	Destroy Current

## 387#:Pilotage Commission, State

<b>Schedule #:</b> 586	92#:Licensee Files - Maine Pilotage Commission	Digital File	12/2/2019	Years	30	No Retention 0	Destroy	Current
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Applications, bond, renewals, copy of Federal license, doctors certificate of health, related correspondence. Used to license pilots. Records will be stored digitally in TEDOCS until 30 years after expiration.

## Schedule #: 586 94#:Minutes of Meetings - Maine Pilotage Commission

Meetings to discuss and dispose of Commission business. Meets twice a year.	Digital File	11/25/2025	0	0	Archives	Current
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Archival digital records will be retained by the agency until records are considered closed and have fulfilled their In Agency retention time. After the In Agency retention time is met, records will be transferred to LibSafe, the Maine State Archives digital preservation system.

## 232#:Planning

<b>Schedule #:</b> 773	1#:Traffic Accident Reports	Record Copy	9/6/2011	Years	60	No Retention 0	Destroy	Current
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Accident history is used in many phases of highway work. It is included in the areas of planning, project development, design, maintenance, operations and research. It is also instrumental in carrying out the Dept.'s Highway Safety Improvement Program. Accident records are also used to provide information to various Federal, State and Local Governments and the private sector.

## Schedule #: 1006 2#:Planning Studies

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These files contain traffic planning data used for justification or non-justification of highway or bridge projects. Data contained in these files are used to evaluate future projects or re-evaluate the same projects. Included in these files are all calculations, correspondence and back-up data. Type of records include: traffic counts, turning movements, trip tables; traffic assignments, technical memos, and projections; economic studies - cost benefit analysis and related correspondence.	Paper	9/30/1992	Years	10	Years	40
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<b>Schedule #:</b> 1032      3#:Traffic Data Base Maps	Paper	3/18/1993	Destroy When Updated	0	No Retention	0
The statewide traffic data base is a system of rural county maps with annual average daily traffic volume plotted on them. These maps are continually updated and retained in the Bureau of Planning. Keep in agency until updated.						
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<b>Schedule #:</b> 1032      4#:Rural & Urban Node Reference Maps	Paper	3/18/1993	Destroy When Updated	0	No Retention	0
Rural & Urban node number reference maps provide Transportation Intergrated Network Information System (TINIS) users with a visual key to Maine's highways. These flat files are for maintaining copies of the mylar master node reference maps for distribution to various department Bureaus, State law enforcement agencies, municipalities and other users of TINIS. Keep in agency until updated.	Paper	3/18/1993	Destroy When Updated	0	No Retention	0
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<b>Schedule #:</b> 1036      5#:Traffic Planning Reports	Paper	4/27/1993	Years	20	Years	30
These files contain reports summarizing: traffic planning studies; comprehensive traffic studies; bridge studies; benefit/cost analyses; economic studies, etc. These reports, published by MDOT Bureau of Planning, and other private consulting firms, are of historical significance and are used for reference purposes.	Paper	4/27/1993	Years	20	Years	30
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<b>Schedule #:</b> 1309      6#:Highway Safety Improvement Program	Paper	3/18/1999	Years	10	Years	0
These files contain data for the justification or nonjustification of highway/bridge projects.	Paper	3/18/1999	Years	10	Years	0
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<b>Schedule #:</b> 1309      7#:Town files (Correspondence between towns and the Department of Transportation)						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
These files are correspondence letters between the town and MDOT concerning transportation issues. Investments by DOT in town roads and other projects are correspondence intensive. We need to keep this correspondence in the agency for reference.	Mixed	6/9/2022	Years	60	No Retention 0	Destroy Current

Paper records will be scanned and retained electronically for 60 years.

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### Schedule #: 1635 9#:Straight Lines - Rural & Urban Roads Project History

Tracks projects to build or alter rural and urban roads throughout Maine. Supports the State Highway system and tracks the treatment (surfacing substance) on the roads, and provides a project history for each road. Used whenever a town requests road construction history/information. Also used by project planners and community service programs, both within State government and municipalities. The information in these files covers each road in every county, with some projects going back to the 1930s. This information in this combination is unique, and can only be found here. These files are the only complete documentation of all projects done on each road in each county within the state of Maine.	Paper	9/2/2005	Years	100	0	Destroy	Current
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### 246#:Project Development

#### Schedule #: 80 1#:Right of Way Appraisals

Original and duplicate appraisals plus correspondence book, field notes, set of plans, hearing book, sales book with photos description and comparative sales and a book of photos. Destroy duplicate 2 years after closing; retention period applies to original, starting when closed.	Mixed	6/9/2022	Years	60	No Retention 0	Destroy	Current
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#### Schedule #: 372 6A:"As-Built" Plans of Completed Construction Projects

Title sheet, typical section sheet, plan and profile sheets, drainage layout sheets, geometric layout sheets, as below; quantity sheet, drainage sheet, standard detail sheets, special detail sheets, cross section sheets, destroy 3 years after Federal reimbursement for each project. Keep in agency 100 years for the following sheets: title; typical sections; plan and profile; drainage summary; geometric layout; special detail structures.	Roll Microfilm	11/28/2018	No Retention	0	Permanent or Indefinite 0	See Description	Current
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Dec. 2018 Roll microfilm will be stored permanently at MSA. Records will be scanned and stored electronically at DOT and kept permanently.

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
	Digital File	11/28/2018	Permanent or Indefinite	0	No Retention	0
<hr/>						
<b>Schedule #:</b> 647 8A:Deed/Document File	Paper	5/8/2014 Years	50	No Retention	0	Archives Current
<p>Recorded deeds, documents, town agreements of various types, occas. maps and other legal documentation, e.g. wetlands permits, leases, special use permits, airport and waterways records.</p>						
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<b>Schedule #:</b> 647 8B:Deed/Document File - Railroad Decrees	Paper	5/8/2014 Years	10	No Retention	0	Archives Current
<p>Maine DOT keeps these records because the decrees document the conditions under which rail road crossings have been established throughout the state. Most of these crossing still exist, and when issues come up about upgrades and safety issues, it is imperative for us to review the original decree to establish the baseline conditions that must continue to be met if the crossing is to remain in place. The requirements set forth in these decrees arise from information and testimony presented to the hearing officer at a public hearing, and the decrees preserve vital facts concerning the public purpose of each crossing, the safety concerns that need to be addressed, and the ongoing requirements concerning signals, warning signs, gate operations, etc. A typical file should have the public hearing transcript, any information presented for the record by the applicant for the crossing and/or the railroad, and the decree itself.</p>						
<hr/>						
<b>Schedule #:</b> 648 9#:Official Business Directional Signs	Paper	11/18/1987 Years	3	No Retention	0	Destroy Current
<p>Permit cards and node cards relating to a system of highway business directional signs (as mandated by law, Title 23, Sec. 1901-1925). Permits are issued for both reflective and nonreflective signs. Files are maintained as active (current) or inactive. Retention period begins when file become inactive through nonrenewal.</p>						
<hr/>						
<b>Schedule #:</b> 796 10#:Acquisition Files (Right of Way)	Digital File	6/9/2022 Years	60	No Retention	0	Destroy Current
<p>Acquiring public or private land for highway purposes. File may include the Parcel Package and/or Relocation Package which are made up of: Appraisal, offer forms, acceptance forms, litigation, condemnation, check stub and related correspondence.</p>						
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<b>Schedule #:</b> 969 12#:Highway Noise Report Documents						

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Location & site plans, traffic data, STAMINA & OPTIMA outputs, noise regulation documents, noise study reports, misc. related correspondence, cost estimates, field data, written complaints, activity logs. The Location and Survey unit conducts special studies on air and noise control problems raised by abutting highway residents. OPTIMA & STAMINA are computer programs used to predict noise levels.	Paper	6/25/1996 Years	10	No Retention	0	Destroy Current
<hr/>						
<b>Schedule #:</b> 984 13#:Survey Books - Class 3	Paper	12/1/2014 Years	3	No Retention	0	Destroy Current
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Payroll, Final Quantities, Borrow Pit and other misc. books of Highway, Bridge Projects. Keep in agency 3 years after final voucher. These job records are kept by investigator for payroll purposes. Have utilities been hooked up, has trash been hauled off, etc. Keep in agency 3 years after final voucher.	Paper	4/29/1992 Years	3	No Retention	0	Archives Current
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<b>Schedule #:</b> 984 14#:Survey Books - Class 2	Paper	12/1/2014 Years	3	No Retention	0	Archives Current
<hr/>						
Inspector's and Resident's diaries of Highway/Bridge Projects. Keep in agency 3 years after final voucher. These are resident notes on what happens on a job. If an accident occurs these files may have to be referred to. A resident is usually an engineer from DOT who oversees a job. Keep in agency 3 years after final voucher.	Paper	4/29/1992 Years	3	No Retention	0	Archives Current
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<b>Schedule #:</b> 984 15#:Survey Books - Class 1	Paper	12/1/2014 Years	3	No Retention	0	Archives Current
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Surveyor's field books containing: Traverse, Survey line Construction line, Preliminary (original) Cross Sections (X-Sects), Final Cross Sections, Drainage, Utilities, Control Survey Description books. These contain data to reproduce critical alignment and property markers, only referenced on the Construction and ROW plans, thus providing value to both the State and Public interests. Keep in Agency for 3 years after final voucher.	Paper	1/27/1995 Years	5	No Retention	0	Destroy Current
<hr/>						
<b>Schedule #:</b> 1145 19A:R & D Problem-Solving Projects - Project Documentation	Paper	1/27/1995 Years	5	No Retention	0	Destroy Current
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<b>Schedule #:</b> 1145 19B:R & D Problem-Solving Projects - Final Report						

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Problem-solving requests are generated in-house by staff who have a concern about a topic. Requests are assigned to the appropriate personnel who conduct research and then write a final report. These files typically contain a problem-solving request, research notes, and a final report. Documentation to be destroyed after 5 years final report to Archives.	Record Copy	9/6/2011 Years	60	No Retention	0 Archives	Current
<hr/>						
<b>Schedule #:</b> 1145 20A:R & D Research and Experimental Construction. Reports - Project Documentation	Paper	1/27/1995 Years	5	No Retention	0 Destroy	Current
These files serve as a record of research carried out on topics related to transportation or of experiments with procedures or products conducted at specific construction sites. The typical file will contain project agreements or workplans, construction reports, interim report, related correspondence and a final report. Documentation to be destroyed after 5 years final report to Archives.						
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<b>Schedule #:</b> 1145 20B:R & D Research and Experimental Construction Reports - Final Report	Record Copy	9/6/2011 Years	60	No Retention	0 Archives	Current
These files serve as a record of research carried out on topics related to transportation or of experiments with procedures or products conducted at specific construction sites. The typical file will contain project agreements or workplans, construction reports, interim report, related correspondence and a final report. Documentation to be destroyed after 5 years final report to Archives.						
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<b>Schedule #:</b> 1146 22#:Maine Local Roads Center Workshop Records	Paper	1/19/1995 Years	2	No Retention	0 Destroy	Current
The purpose of the Maine Local Roads Center is to educate (through workshops and seminars) municipal employees on transportation related issues. These files contain workshop registration forms, evaluation sheets, and other related workshop information.						
<hr/>						
<b>Schedule #:</b> 1147 26#:Bituminous Job Mix Files	Paper	1/20/1995 Years	5	No Retention	0 Destroy	Current
Plant and street reports needed to keep histories of bituminous mix designs for reference. It is important to keep these histories in case a paving job needs to be analyzed. A bituminous mix is made up from petroleum products, it is a mixture of hydrocarbons; it is what most refer to as "hot-top".						
<hr/>						
<b>Schedule #:</b> 1147 27#:Bituminous Mix Designs						

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
These files contain records that document the bituminous pavement mixes that are used in construction projects. These are kept as a reference to previous designs used, their locations, and the materials involved. The records are necessary to track pavement performance.	Paper	1/20/1995	Years	30	No Retention	0	Destroy	Current
<b>Schedule #:</b> 1208      33#:State Leases - DOT Right of Way	Digital File	11/28/2018	Years	10	No Retention	0	Destroy	Current
Lease Agreement between the property owner and the MDOT to lease the facility for a certain amount of time. Files include: memorandum of lease between lessee and State, correspondence, memos, legal documents, if applicable. Keep in agency 10 years after lease completed.	Digital File	11/28/2018	Years	20	No Retention	0	Destroy	Current
<b>Schedule #:</b> 1208      34#:Property Management Agreements, DOT Right of Way	Digital File	11/28/2018	Years	20	No Retention	0	Destroy	Current
Agreements between State and Property Owners for maintenance of property, Requisition for Special Services, Contract Agreements for such things as snow plowing, lawn care, plumbing and electrical services, carpentry services, copies of Deeds, copies of bills, copies of Real Estate and other Legal documents, copies of letters and memos. These agreements are made between the DOT and property owners during the right-of-way phase of a transportation project, generally.	Record Copy	9/6/2011	Variable - See Description	0	No Retention	0	Archives	Current
<b>Schedule #:</b> 1211      35#: Commission Record Items	Record Copy	9/6/2011	Variable - See Description	0	No Retention	0	Archives	Current
These records are the result of a regular meeting conducted by the commissioner of Transportation in which all department business is discussed. Most of the discussion centers around "projects" each of which is numbered and briefly described for the record. Also recorded is the action taken on the projects and who recommended that the action be taken, as well as the commissioner's concurrence or disagreement with the action, the monies spent on the projects and/or approval to spend more money, contained in this record is retained for historical reference as a delineation of the department's activities as part of state government. Keep electronic record in department forever.	Record Copy	9/6/2011	Variable - See Description	0	No Retention	0	Archives	Current
<b>Schedule #:</b> 1329      41A:Marine Projects - Ferry Service (Sears Island)								

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
These are original files of the Director containing project history, understandings between parties and other pertinent documentation. Files in this series may be retrieved to verify historical elements of a project or to verify obligations of others to perform in a specific manner or to undertake a specific task. Ferry service projects include: developing maximum vessel sizes; number of vehicles to be carried by ferries, design and construction schedules etc.	Record Copy	9/6/2011	Years	60	Years	0
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<b>Schedule #:</b> 1329 41B:Marine Projects - Ferry Service (all Other)	Paper	9/6/2011	Years	10	Years	0
These are original files of the Director containing project history, understandings between parties and other pertinent documentation. Files in this series may be retrieved to verify historical elements of a project or to verify obligations of others to perform in a specific manner or to undertake a specific task. Ferry service projects include: developing maximum vessel sizes; number of vehicles to be carried by ferries, design and construction schedules etc.						
<hr/>						
These are original files of the Director containing project history, understandings between parties and other pertinent documentation. Files in this series may be retrieved to verify historical elements of a project or to verify obligations of others to perform in a specific manner or to undertake a specific task. Ferry service projects include: developing maximum vessel sizes; number of vehicles to be carried by ferries, design and construction schedules etc. Documents to be electronically scanned after 10 years and paper destroyed.	Hard Disk	11/3/1999	Years	30	0	Destroy
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<b>Schedule #:</b> 1338 44:Survey Project Files	Paper	5/20/1999	Years	50	Years	0
These files are used for future reference when creating abutting jobs; to answer legal queries that may arise regarding survey computations, private property markers; for reference when updating datums; and general actions of the Survey Center. It is important to note that many of these records were generated when this agency was called Location and Survey, and Location and Environment, during a time when relavcations caused the need for private property acquisition.	Destroy					
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<b>Schedule #:</b> 2081 45:Project Related Files						

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
<p>This schedule contains all files created as part of any project, by any program within MaineDOT, not identified by a separate more specific schedule. All projects at MaineDOT are currently tracked by a Project Number, a PIN (Project Identification Number), or a WIN (Work Identifier Number). In the past, some projects were not tracked by any of these identifiers, this schedule will include any of those projects retroactively. Going forward, any file created as part of a project should contain a WIN and would be held accountable to this schedule if not specifically identified in any other schedule.</p>	Mixed	8/21/2017	Years	10	No Retention	0	Destroy	Current
<b>Schedule #:</b> 2081      46:Bridge Records - Critical Bridge Files								
<p>All project files and post project maintenance files that must be kept for the life of a bridge as identified by the following list:</p> <p>Final Quantity Computations, Testing File, PS&amp;E (Plans, Specs, and Estimate), Design Computations, Load Ratings, Bridge Postings, Contract Book, Amendments (Bid and Contract) Modifications (Contract), Bid Tabulations, Schedule of Items, Correspondence (Bid related &amp; Bad Bridge letters), Scour plans, PDR (Preliminary Design Report), Plans, Shop Drawings &amp; As Builts), Bridge Inspection Reports, Maintenance Reports, Damage and Accident Reports, Operation Manuals, Clearance Survey, and Deck Evaluations. All files to be kept 10 years past retirement of bridge.</p>	Mixed	8/21/2017	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
<b>Schedule #:</b> 2081      49:Project Related Files - Long Term	Digital File	4/22/2025	Years	60	0	Destroy	Current	
<p>Due to the cycles of our Pavement Preservation program that extend longer than 10 years there are certain documents that are part of MaineDOT's project records that should be kept for a long term (60 year) retention instead of the default short term (10 year) retention. These documents are the Preliminary Design Report (PDR), the Plans, Specs, and Estimates (PS&amp;E), the awarded Contract Specification Book (Bid Book), Pavement Assessment Reports, and any Bid Amendments. These documents will be referenced as our Pavement Preservation process cycles around for current projects and these previous project files will need to be available. As such, a long-term retention would allow these files to be available when the cycle rolls around.</p>								
<b>Schedule #:</b> 2255      47:Geotechnical - Soils Reports / Design Memo								

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Historic and contemporary soils (Geotechnical) reports, including Geotechnical Boring Logs, Subsurface Profiles, Laboratory Testing Results, Geotechnical Design Calculations, and addendum and memos to reports. These are archival because the geologic data included in these reports will be consistently utilized in future projects regardless of the age of the original report. This information is incredibly valuable to other entities (both public and private) outside of DOT looking for information regarding subsurface geological conditions statewide. Any original paper records will be sent to the Maine State Archives after they are scanned into TEDOCS. Original electronic records will be retained in the agency until such a time as the Maine State Archives secures a digital preservation system, at which time electronic archival records will be transferred.	Mixed	6/3/2022	Variable - See Description	0	No Retention	0 Archives Current
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<b>Schedule #:</b> 2255 48:Geotechnical - Construction Documents	Mixed	6/3/2022	Years	60	No Retention	0 Destroy Current
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<b>Schedule #:</b> 2265 50:Property Management Project File	Mixed	2/6/2023	Years	10	No Retention	0 Destroy Current
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Mixed material can include several formats but generally will be electronic records.						
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<b>243#:</b> Transportation Services						
<b>Schedule #:</b> 326 2#:Contracts (Snow Removal Reimbursement Program)						

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
Original signed contracts with various towns/cities/county requesting participation in Snow Removal Reimbursement Program; report of labor and equipment rates and classifications, and correspondence related thereto.	Digital File	11/28/2018	Years	7	No Retention	0	Destroy	Current
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<b>Schedule #:</b> 803 <b>4#:</b> Aircraft Registrations	Paper	10/18/1989	Years	2	No Retention	0	Destroy	Current
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<b>Schedule #:</b> 803 <b>5#:</b> Project Files (Air Transportation)	Record Copy	8/21/2017	Years	20	No Retention	0	Destroy	Current
All project files related to the Augusta Airport, or statewide affecting all airports. MaineDOT is responsible for maintaining such records for 20 years past close of project. All project files relating to any other airport is the responsibility of that Airport to maintain.								
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<b>Schedule #:</b> 803 <b>6#:</b> Snow removal File (Air Transportation)	Paper	10/18/1989	Years	2	No Retention	0	Destroy	Current
Aid agreement with municipality; certification of costs.								
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<b>Schedule #:</b> 803 <b>7#:</b> Lease tenants file ( Air Transportation)	Paper	10/18/1989	Years	1	No Retention	0	Destroy	Current
Airport tenant leases - files contain lease agreement, certificate of insurance, complaints and related correspondence. Keep in agency until lease termination plus 1 year.								
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<b>Schedule #:</b> 1141 <b>10#:</b> Pavement Management System ARAN Videotapes	Digital File	12/6/2019	Years	10	No Retention	0	Destroy	Current
Color Images taken by ARAN Data Collection Vehicle, and Pavement Images/Crack Maps generated by Vision processing. These are used by Highway Management and others to monitor condition and deterioration of pavement.								
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<b>Schedule #:</b> 1141 <b>11#:</b> Maine Local Roads Center Videotapes								

# Department Series Report

## 17: Transportation

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>The purpose of these tapes is to educate municipal personnel. Videos can be borrowed by municipal employees at no charge to be used as reference material or training material. The videos contain technical information regarding the maintenance and/or rehabilitation of roads, related transportation issues, etc. Destroy when tapes are damaged or outdated.</p>	Motion Picture	1/18/1995	Contingent Upon Event - See Description	0	No Retention 0	Destroy Current
<p><b>Schedule #:</b> 1401 24:Port Infrastructure Development</p> <p>These are the only copies of historical documents (research, minutes of meetings, etc.) that exist relative to the development of Maine's 3-Port Strategy and other ports current basis for port infrastructure development. These documents provide data on previous port issues, markets, and strategies which are critical in analyzing growth patterns and projections for long term analysis of the effectiveness of port investments. Legal documents relating to right of way-deeds-designs of facilities. Records provide historical information relative to fixed marine infrastructure, construction details, and geotechnical data.</p>	Paper	7/11/2001	Years	5 Years	10 Years	Archives Current