

STATE OF CALIFORNIA – SECRETARY OF STATE
RECORDS RETENTION SCHEDULE
 STD.73 (REV. 2/2015)

STATE RECORDS PROGRAM

(1) DEPARTMENT* Department of Transportation	(2) AGENCY BILLING CODE 060052	IMS CODE 15	(3) PAGE <u>1</u> OF <u>17</u> PAGES
(4) DIVISION / BRANCH / SECTION Division of Construction	(5) ADDRESS 1120 N street, Sacramento, Ca,95814		

CHECK THE APPROPRIATE BOX

- (6) New schedule of records that have never been scheduled. [Complete boxes (9)–(12)]
- (7) Revising a previous schedule. [Complete boxes (9)–(16)] (A new approval number will be assigned.)
- (8) Amending some pages of a previous schedule. [Complete boxes (13) - (16)] (The original approval number will remain in effect.)

NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER 7	(10) SCHEDULE DATE 03/21/2023	(11) NUMBER OF PAGES 17	(12) CUBIC FEET (Total Schedule) 12417
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER 7 amendment 1	(14) APPROVAL NUMBER 2017-123	(15) APPROVAL DATE(S) 8/22/2017	(16) PAGE NUMBER(S) REVISED ALL

(17) FUNCTIONAL STATEMENT

See Page 2

PART I – AGENCY STATEMENTS

As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 48, Remarks.

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS <div style="border: 1px solid black; border-radius: 50%; padding: 2px; display: inline-block;">DocuSigned by: <i>Devin Porr</i></div>	(19) TITLE office chief	NAME - (Printed or Typed) Devin Porr	(20) PHONE NUMBER 1 - 4- 4	(21) DATE SIGNED /12/2023
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In accordance with Government Code 12274, approval of this Records Retention Schedule by the Secretary of State is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.

(22) SIGNATURE - RECORDS MANAGEMENT ANALYST <div style="border: 1px solid black; border-radius: 50%; padding: 2px; display: inline-block;">DocuSigned by: <i>Kareniece Hannon</i></div>	(23) CLASSIFICATION AGPA	(24) NAME - (Printed or Typed) Kareniece Hannon	(25) PHONE NUMBER 2 -234-22 4	(26) DATE SIGNED /12/2023
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PART II A – SECRETARY OF STATE APPROVAL (Per Government Code Section 12272)

(27) SIGNATURE - CalRIM CONSULTANT <div style="border: 1px solid black; border-radius: 50%; padding: 2px; display: inline-block;">DocuSigned by: <i>Antwanette Wiley</i></div>	NAME - (Printed or Typed) Antwanette Wiley	(28) APPROVAL NUMBER 2023-066	(29) APPROVAL DATE 0 /12/2023	(30) EXPIRATION DATE 0 /12/202
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PART II B – ARCHIVAL SELECTION (Per Government Code Section 12223)

THE ATTACHED RECORDS RETENTION SCHEDULE:

- (31) Contains no material subject to further review by the California State Archives
- (32) Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)

(33) SIGNATURE - CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <div style="border: 1px solid black; border-radius: 50%; padding: 2px; display: inline-block;">DocuSigned by: <i>Michael McNeil</i></div>	NAME - (Printed or Typed) Michael McNeil	(34) DATE SIGNED /12/2023	FOR ARCHIVES' STAMP <div style="border: 1px solid black; border-radius: 50%; padding: 10px; display: inline-block;">DocuSigned by: </div>
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*Department refers to any Agency, Department, Board, Commission, Office or Other

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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

FUNCTIONAL STATEMENT

Unit: Division of Construction

Functional Statement: Is responsible for administering transportation construction contracts for the Department of Transportation (Caltrans). The Division supports the Caltrans mission by providing expertise, policies, guidance, tools, and training to ensure delivery of quality transportation projects. This results in an integrated, efficient and sustainable transportation system that contributes to the well-being and quality of life, a growing economy, and improved safety for our workers and users. The Division supports the Caltrans vision by working with our partners-we strive to be the leader in constructing transportation projects by being innovative, performance-driven, transparent, and accountable. The Division retains records in accordance with Division policy and as required by statute and to ensure that adequate records are available to defend the Department in civil suits, especially those related to contractor's claims. The Division of Construction utilizes a uniform filing system for organizing project records. The system uses numbered categories for filing project documents. There are 63 categories, several are unassigned. 1 Project Personnel
2 Project Office Equipment and Supplies, 3 Equipment and Personnel Cost Reports, 4 Service Contracts, 5 General Correspondence, 6 Safety, 7 Public Relations, 8 Construction Surveys, 9 Welding
10 Extra Category Number, 11 Information Furnished at Start of Project, 12 Contractor, 13 Signs and Striping, 14 Photo Records, 15 Accidents, 16 Utility Agreements, 17 Utility Work Performed, 18 Agreements, 19 Hazardous Waste and Hazardous Materials, 20 Water Pollution Control Plan or Stormwater Pollution Prevention Plan, 21 Construction or Maintenance Zone Enhanced Enforcement Program, 22 Traffic Management Information, 23 Temporary Pedestrian Access Routes, 24 Disadvantaged Business Enterprises and Disabled Veteran Business Enterprises (DVBE), 25 Labor Compliance and Equal Employment Opportunity, 26 Progress Schedule, 27 Weekly Statement of Working Days, 28 Weekly Newsletter, 29 Materials Information and Preliminary Tests, 30 Basement Soil Test Results, 31 Notice of Materials to Be Used, 32 Notice of Materials to Be Inspected at the Job Site, 33 Notice of Materials to Be Furnished, 34 Treated Base, 35 Hot Mix Asphalt, 36 Concrete other than structure items, 37 Initial Tests and Acceptance Tests, 38 Quality Control, 39 Materials Testing Qualification of Employees, 40 Field Laboratory Assistant Reports to Resident Engineer, 41 Report of Inspection of Material, 42 Material Plants, 43 Concrete and Reinforcing Steel, 44 Recycle Materials and Diversion of Solid Waste, 45 Resident Engineer's Daily Reports, 46 Assistant Resident Engineer's Daily Reports, 47 Drainage Systems, 48 Bid Item Quantity Documents, 49 Change Orders, 50 Adjustment in Compensation Calculations, 52 Charges to Total Contract Allotment, 53 Credit to Contract, 54 Deductions From Payment to Contractor, 55 Partnering, 56 Extra Category Number, 57 Permanent Pedestrian Facilities, 58 Extra Category Number, 59 Bridge Estimate Data, 60 Contract Administration System Inputs and Reports, 61 Estimate and Project Status, 62 Disputes, 63 Project Completion Documents

ACRONYMS

FHWA	Federal Highway Administration
CPB	Construction Policy Bulletin
CPD	Construction Policy Directive
CM	Construction Manual

1a	200		<u>Construction Project Files (District 1-12)</u> Project Personnel, Project Office Equipment/Supplies, Equipment and Personnel Cost Reports, Service Contracts, Temporary Pedestrian Access Route Plans, and Weekly Newsletter (Category 1 through 4,7,23 and 28) For future historical project reference and legal needs.	P		Active		Active	Active until the final estimate and when records are superseded. Then destroy. Projects awarded before 7/1/21 maintain paper records unless they chose to transition to electronic documentation earlier than required.
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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
1b			<p>Construction Project Files (District 1-12) Project Personnel, Project Office Equipment/Supplies, Equipment and Personnel Cost Reports, Service Contracts, Temporary Pedestrian Access Route Plans, and Weekly Newsletter (Category 1 through 4, 7, 23 and 28) For future historical project reference and legal needs.</p>	E		Active			Active		<p>Active until the final estimate and when records are superseded. Then destroy. Per CPD 21-11 projects awarded after 6/30/2021 as well as projects that chose to transition to electronic documentation earlier than required maintain electronic records.</p> <p>Electronic records are stored on Caltrans servers and managed in Falcon.</p>
1c	7800		<p>Construction Project Files (District 1-12) Memos and supporting files for safety, construction surveys, welding, furnished material, contractor, cooperative agreements, Water Pollution Control Plan or Stormwater Pollution Prevention Plan, Construction or Maintenance Zone Enhanced Enforcement Program, Traffic Management Information, Disadvantaged Business Enterprises and Disabled Veteran Business Enterprises (DVBE), schedules, materials information and testing, notice of materials used, testing, daily and testing reports, bid quantities, change orders, payments and estimates, disputes and construction project completion documentation. Plan sheets for signs and striping, utilities, and construction project [Category 5, 6, 8, 9, 11(except documents listed under Item #4 11a-f), 12, 13, 15, 17, 18 (except for documents listed in Item #4 18a-e), 20-22, 24, 26, 27, 29-35, 36 (other than structure items), 37-48, 49(except for documents listed in Item #4 49a-b), 50-55, 57, 59, 60, 61(except for documents listed in Item #4 61a-b), 62, 63(except for documents listed in Item #4 63a-c)] For future historical project reference and legal needs.</p>	P		Active	Active + 3 years		Active + 3 years		<p>Active until FHWA Final Voucher for Federal participation projects or until Final Estimate for non-Federal Participation projects and settlement is reached on any remaining legal questions such as pending claim, labor compliance case or litigation. Then transfer to department storage for an additional 3 years. Then destroy.</p> <p>Projects awarded before 7/1/21 maintain paper records unless they chose to transition to electronic documentation earlier than required.</p>

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
1d	97		<p>Construction Project Files (District 1-12) Memos and supporting files for safety, construction surveys, welding, furnished material, contractor, cooperative agreements, Water Pollution Control Plan or Stormwater Pollution Prevention Plan, Construction or Maintenance Zone Enhanced Enforcement Program, Traffic Management Information, Disadvantaged Business Enterprises and Disabled Veteran Business Enterprises (DVBE), schedules, materials information and testing, notice of materials used, testing, daily and testing reports, bid quantities, change orders, payments and estimates, disputes and construction project completion documentation. Plan sheets for signs and striping, utilities, and construction project [Category 5, 6, 8, 9, 11(except documents listed under Item #4 11a-f), 12, 13, 15, 17, 18 (except for documents listed in Item #4 18a-e), 20-22, 24, 26, 27, 29-35, 36 (other than structure items), 37-48, 49(except for documents listed in Item #4 49a-b), 50-55, 57, 59, 60, 61(except for documents listed in Item #4 61a-b), 62, 63(except for documents listed in Item #4 63a-c)] For future historical project reference and legal needs.</p>	E		Active	Active + 3 years		Active + 3 years		<p>Active until FHWA Final Voucher for Federal participation projects or until Final Estimate for non-Federal Participation projects and settlement is reached on any remaining legal questions such as pending claim, labor compliance case or litigation. Then transfer to departmental storage for an additional 3 years. Then destroy.</p> <p>Electronic records are stored on Caltrans servers and managed in FalconDMS.</p> <p>Per CPD 21-11 projects awarded after 6/30/2021 as well as projects that chose to transition to electronic documentation earlier than required maintain electronic records.</p>
1e	50		<p>Construction Project Files (District 1-12) Project personnel, office equipment, supplies, cost reports, and service contracts. (Categories 1-4 for local funded projects) For future historical project reference and legal needs.</p>	P		Active	+ 3 years		Active + 3 years		<p>Active until final estimate payment is made. Then transfer to departmental storage for an additional 3 years. Then destroy.</p> <p>Projects awarded before 7/1/21 maintain paper records unless they chose to transition to electronic documentation earlier than required.</p>
1f			<p>Construction Project Files (District 1-12) Project personnel, office equipment, supplies, cost reports, and service contracts. (Categories 1-4 for local funded projects) For future historical project reference and legal needs.</p>	E		Active	+ 3 years		Active + 3 years		<p>Active until final estimate scheduled for payment in which Caltrans performs oversight Resident Engineer duties. Then transfer to departmental storage for an additional 3 years. Then destroy.</p> <p>Per CPD 21-11 projects awarded after 6/30/2021 as well as projects that chose to transition to electronic documentation earlier than required maintain electronic records.</p> <p>Electronic records are stored on District servers.</p>

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ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (40) <i>(Double spaces between items)</i>	MEDIA (41)	VITAL (42)	RETENTION				PRA & IPA (47)	REMARKS (48)
						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		
1g			<u>Construction Project Files (District 1-12)</u> Labor Compliance, Certified payroll records (Category 25) For future historical project reference and legal needs.	E		Active	+ 3 years		Active + 3 years		Active until after payment of final voucher by FHWA (for Federal participation projects) or until the final estimate is scheduled for payment (for non-Federal Participation projects) and settlement is reached on any remaining legal questions such as pending claim, labor compliance case or litigation. Then transfer to departmental storage for an additional 3 years. Then destroy. Electronic records are stored in the eLCPtracker server.
1h	40		<u>Construction Project Files (District 1-12)</u> Terminated Project Files <u>For litigation needs.</u>	P		Active	+ 3 years		Active +3 years		Active until after payment of final voucher by FHWA (for Federal participation projects) or until the final estimate is scheduled for payment (for non-Federal Participation projects) and settlement is reached on any remaining legal questions such as pending claim, labor compliance case or litigation. Then transfer to departmental storage for an additional 3 years. Then destroy.
1i			<u>Construction Project Files (District 1-12)</u> Terminated Project Files for contracts that were terminated. For litigation needs.	E		Active	+ 3 years		Active +3 years		Active until after payment of final voucher by FHWA (for Federal participation projects) or until the final estimate is scheduled for payment (for non-Federal Participation projects) and settlement is reached on any remaining legal questions such as pending claim, labor compliance case, or litigation. Then transfer to departmental storage for an additional 3 years. Then destroy. Electronic records are stored on Caltrans servers.
2a	64	NOTIFY ARCHIVES	<u>Construction Data Sheets Districts 1-12 and Headquarters</u> Historical paper records for projects from the late 1970's. Summary of information related to each construction project. Brief description, location (county, route and post mile), contractor, costs and significant dates.	P			Perm		Perm		Retain as permanent for historical needs. Construction data sheets provide information that is stored in Project History File categories that are identified for permanent retention per Section 5 of the Construction Manual.

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
2b		NOTIFY ARCHIVES	Construction Data Sheets Headquarters Historical data for projects from the late 1970's. Summary of information related to each construction project. Brief description, location (county, route and post mile), contractor, costs and significant dates.	E			Perm		Perm		Retain as permanent for historical needs. Construction data sheets provide information that is stored in Project History File categories that are identified for permanent retention per Section 5 of the Construction Manual. Electronic records are stored in Contract Administration System (CAS).
3	6	NOTIFY ARCHIVES	History Card Files Headquarters and Districts 1-12 Information regarding old project and transfer of their records to the State Records Center for future historical or legal needs.	P		Active	Perm		Active + Perm		Retain as permanent for historical needs. These files are retained in order to find PHF identified as permanent retention per Construction Manual Section 5.
4a	3000	NOTIFY ARCHIVES	Project History File Headquarters and Districts 1-12 The construction portion of the Project History File includes construction project records (in Categories 14, 16, 19; and the following records from Categories 11, 12, 18, 49, 61 and 63): This record retention requirement includes records for rejected projects. <u>Category 11</u> a. Detail Estimate of Project Cost b. Notice of Award of Contract c. Contract Special Provisions and Addendums d. Notice of the Contract e. Executed Contract f. Bid Book <u>Category 12</u> a. Contractor's Borrow Agreements <u>Category 18</u> a. Right of Way Agreements b. Forest Service Agreements c. Borrow Agreements d. Disposal Agreements e. Service Agreements f. Hazardous Waste and Hazardous Materials <u>Category 49</u> a. Change Orders b. Memorandums <u>Category 61</u> a. Final Estimate b. Invoice and Receiving Records (if applicable) <u>Category 63</u> a. Contract Acceptance b. Final Materials Certification	P		Active	Perm		Active + Perm		Active until after payment of final voucher by FHWA (for Federal participation projects) or until the final estimate is scheduled for payment (for non-Federal Participation projects) and settlement is reached on any remaining legal questions such as pending claim, labor compliance case or litigation. Then transfer to departmental storage for permanent retention. Reference Sections 5-102 and 5-104 of the Construction Manual and Chapter 7 of the Project Development Procedures Manual for requirement of permanent retention.

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ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i> (40)	MEDIA (41)	VITAL (42)	RETENTION				PRA & IPA (47)	REMARKS (48)
						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		
4b		NOTIFY ARCHIVES	<p>c.Final Acceptance Checklist for Federal Aid High Profile Projects</p> <hr/> <p><u>Project History File Headquarters and Districts 1-12</u></p> <p>The construction portion of the Project History File includes construction project records (in Categories 14, 16, 19; and the following records from Categories 11, 12, 18, 49, 61 and 63):</p> <p>Category 11</p> <p>a. Detail Estimate of Project Cost b. Notice of Award of Contract c. Contract Special Provisions and Addendums d. Notice of the Contract e. Executed Contract f. Bid Book</p> <p>Category 12</p> <p>a. Contractor's Borrow Agreements</p> <p>Category 18</p> <p>a. Right of Way Agreements b. Forest Service Agreements c. Borrow Agreements d. Disposal Agreements e. Service Agreements f. Hazardous Waste and Hazardous Materials</p> <p>Category 49</p> <p>a. Change Orders b. Memorandums</p> <p>Category 61</p> <p>a. Final Estimate b. Invoice and Receiving Records (if applicable)</p> <p>Category 63</p> <p>a. Contract Acceptance b. Final Materials Certification c. Final Acceptance Checklist for Federal Aid High Profile Projects</p>	E		Active	Perm		Active + Perm	<p>Active until after payment of final voucher by FHWA (for Federal participation projects) or until the final estimate is scheduled for payment (for non-Federal Participation projects) and settlement is reached on any remaining legal questions such as pending claim, labor compliance case or litigation. Then transfer to departmental storage for permanent retention. Reference Sections 5-102 and 5-104 of the Construction Manual and Chapter 7 of the Project Development Procedures Manual for requirement of permanent retention.</p> <p>Electronic records are stored on Caltrans servers</p> <p>Per Construction Policy Directive 21-11 projects awarded after June 30, 2021, are required to store project records electronically on Caltrans servers and managed in Falcon. Projects awarded on or prior to June 30, 2021 will maintain paper records unless they chose to transition to electronic documentation earlier than required.</p>	
5a	60		<p><u>Local Assistance Projects Districts 1-12</u></p> <p>Contract records for on-going and completed projects. Similar to #1a, except limited to Caltrans construction assistance to local agency.</p>	P		Active			Active	Active until contract completion. Then destroy. District management policy.	

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5b			<u>Local Assistance Projects Districts 1-12</u> Contract records for on-going and completed projects. Similar to #1a, except limited to Caltrans construction assistance to local agency.	E		Active			Active		Active until contract completion. Then destroy. District management policy. Electronic records are stored on Caltrans servers and managed in Falcon.
6a	705		<u>Construction Plans and Maps Districts 1-12</u> Reduced construction plans and maps for construction contracts on State highways.	P		Active	Active + 2 years		Active + 2 years		Active until after final estimate is scheduled for payment and settlement is reached on any remaining legal questions such as pending claim, labor compliance case or litigation until transferred to departmental storage for an additional 2 years. Then destroy. District management policy.
6b	24		<u>Construction Plans and Maps District 1-12</u> Topographic maps of construction sites.	P		5 years	25 years		30 years		Retain for 5 years from project completion. Then transfer to department storage for an additional 25 years. Then destroy.
7	250		<u>Claims Headquarters and Districts 1-12</u> Contractor claim submittals, Caltrans claim analysis, and DRA/DRB/Arbitrator determinations.	P		Active	Active + 3 years		Active + 3 years		Active until resolution of claim. Stored at district field office and Caltrans legal office until transferred to departmental storage for an additional 3 years. Then destroy. Required for legal reference. Per Construction Manual 5-104c.
8a	20		<u>Manuals and Guides Headquarters and Districts 1-12</u> Construction Manual, Construction Quality Assurance Program Manual, Construction Site Best Management Practices Manual, Manual for Quality Control and Quality Assurance for Asphalt Concrete, Material Plant Quality Program Manual, Storm Water Quality Manuals and Handbooks, SWPPP and WPCP Manual, SWPPP/WPCP Templates	P			Perm		Perm		Retain as permanent for historical needs. Construction Publications are saved for Caltrans Legal Division reference and tort liability.
8b			<u>Manuals and Guides Headquarters and Districts 1-12</u> Construction Manual, Construction Quality Assurance Program Manual, Construction Site Best Management Practices Manual, Manual for Quality Control and Quality Assurance for Asphalt Concrete, Material Plant Quality Program Manual, Storm Water Quality Manuals and Handbooks, SWPPP and WPCP Manual, SWPPP/WPCP Templates	E			Perm		Perm		Retain as permanent for historical needs. Construction Publications are saved for Caltrans Legal Division reference and tort liability.
9			<u>Reports and Dashboards Construction Interactive Reports</u>	E			Perm		Perm		Retain as permanent for historical needs. Electronic

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
			Headquarters and Districts 1-12 Management Indicator Reports, Change Order Bills Aging Report, Statement of Ongoing Contracts data used in generating performance measures and contract status reports and dashboards.								records stored on Caltrans servers. Per CM Section 5-104c.
10	1		Prevailing Wage Determinations Prevailing Wage Determinations Prevailing wage rate books.	P		4 years			4 years		Retain for 4 years from when the policy is superseded, updated, etc. Then destroy.
11a	5		Policy Bulletins and Procedure Directives Memos to construction staff to announce policy changes (CPB); and to clarify & remind existing policy, to introduce a process change, announce a new form or change in address or contact information (CPD). Similar memos issued by district construction management.	P		3 years			3 years		Retain for 3 years from when the policy is superseded, updated, etc. Then destroy.
11b			Construction Policy Bulletins and Procedure Directives Memos to construction staff to announce policy changes (CPB); and to clarify & remind existing policy, to introduce a process change, announce a new form or change in address or contact information (CPD). Similar memos issued by district construction management.	E		3 years			3 years		Retain for 3 years from when the policy is superseded, updated, etc. Then destroy. Electronic records stored at Caltrans servers.
12a	10	NOTIFY ARCHIVES	Subject Files Headquarters and Districts 1-12 Correspondence and information relating to various subjects for the Division of Construction.	P		3 years			3 years		Retain for 3 years from when the policy is superseded. Then destroy. Per Construction Manual Section 5-104.
12b		NOTIFY ARCHIVES	Subject Files Headquarters and Districts 1-12 Correspondence and information relating to various subjects for the Division of Construction.	E		3 years			3 years		Retain for 3 years from end of contract, or until superseded. Then destroy. Per Construction Manual Section 5-104. Stored on Caltrans servers.
13a	5	NOTIFY ARCHIVES	Author Files Headquarters and Districts 1-12	P		3 years		5 years	8 years		Retain for 3 years from end of contract, until superseded. Then transfer to the SRC for an additional 5 years. Then destroy. Per Construction Manual Section 5.
13b		NOTIFY ARCHIVES	Author Files	E		3 years		5 years	8 years		Retain for 3 years from end of contract, until superseded. Then transfer to the SRC for an additional 5 years. Then destroy. Per Construction Manual Section 5. Stored on Caltrans servers.

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14a	10		<u>Construction Safety Headquarters and Districts 1-12</u> Safety records and incident reports	P		Active	Active + 3 years		Active + 3 years		Retain on active plus 3 years from end of contract, or until superseded. Then destroy. Per CM 5-104C.
14b			<u>Construction Safety Headquarters and Districts 1-12</u> Safety records and incident reports	E		Active	Active + 3 years		Active + 3 years		Retain on active plus 3 years from end of contract, or until superseded. Then destroy. Per CM 5-104C. Stored on Caltrans servers.
15a	5		<u>COZEEP Contract</u> Construction Zone Enhanced Enforcement Program (COZEEP) Contract with CHP to provide COZEEP	P		Active	Active + 3 years		Active + 3 years		Retain on active plus 3 years after project completion, or superseded. Then destroy. Per CM Section 5-104C.
15b			<u>COZEEP Contract</u> Construction Zone Enhanced Enforcement Program (COZEEP) Contract with CHP to provide COZEEP	E		Active	Active + 3 years		Active + 3 years		Retain on active plus 3 years after project completion, or superseded. Then destroy. Per CM Section 5-104C. Electronic records are stored at on Caltrans servers.
16a	5		<u>Equipment Rental Rates Headquarters</u> Supporting information used in establishing equipment rental rates	P		Active	Perm		Active + Perm		Retain as permanent record. Per Construction Manual 5-104c.
16b			<u>Equipment Rental Rates Headquarters</u> Supporting information used in establishing equipment rental rates	E		Active	Perm		Active + Perm		Retain as permanent record. Per Construction Manual 5-104c. Electronic records are stored at on Caltrans servers.
17a	50		<u>District Consultant Contract Files Districts 1-12</u> Consultant contract, invoices, and payments	P		Active	Active + 5 years		Active + 5 years		Active until contract completion. Then transfer to the SRC for an additional 5 years. Then destroy. Per Construction Manual 5-104c.
17b			<u>District Consultant Contract Files Districts 1-12</u> Consultant contract, invoices, and payments	E		Active	Active + 5 years		Active + 5 years		Active until contract completion. Then retain for an additional 5 years. Then destroy. Per CM 5-104. Electronic records stored at Caltrans servers.

(35) APPROVAL NUMBER											(36)
2023-066											Page 11 of 17 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
18a	5		<u>HQ Consultant Contract Files</u> Consultant contract, invoices, and payments	P		Active	Active + 3 years		Active + 3 years		Active until contract term. Then transfer to the SRC for an additional 3 years. Then destroy. Per Construction Manual 5-104.
18b			<u>HQ Consultant Contract Files</u> Consultant contract, invoices, and payments	E		Active	Active + 3 years		Active + 3 years		Active until contract term. Then retain for an additional 3 years. Then destroy. Per CM 5-104. Electronic document records stored at Caltrans servers.
19a			<u>Records Inventory Worksheet Headquarters and Districts 1-12</u> (STD-70)- Records inventories conducted internally within the Division to identify records in all formats in all locations. Includes inventory forms completed by staff and programs, correspondence between the Records Management Coordinator (RMC) and program staff as well as the final, completed inventory. Inventories completed every 5 years to inform the retention schedule development process.	E		Active			Active		Active until revised, or until superseded. Electronic records are stored on Caltrans servers.
19b			<u>Records Management Headquarters and Districts 1-12.</u> Retention Schedules (std 73) Form- This form completed by the Division and approved by the CalRIM team every 5 years. Includes comments, edits, correspondence between California Records and Information Management (CalRIM), State Records Appraisal Program (SRAP) and the final approved retention schedule. Also includes the amendments made to schedules.	E		Active			Active		Active until revised, superseded, or rescinded. Then destroy. Electronic records are stored on Caltrans servers.
19c			<u>Records Management Headquarters and Districts 1-12.</u> Form STD-71, Records Transfer List - This is a form completed by the division to document transfers of records to the State Records Center.	E		Active			Active		Active until revised, superseded, or rescinded. Then destroy. Electronic records stored at Caltrans servers.
19d			<u>Records Management Headquarters and Districts 1-12</u> Authorization for records destruction- This form is sent to agencies who store with the State Records Center when their records at the facility have reached their retention period. The agency will then either a) confirm the records can be destroyed, or b) confirm a retention extension for those records.	E		4 years			4 years		Active until revised, or superseded. Then retain for 4 years. Electronic records stored on Caltrans servers.

(35) APPROVAL NUMBER										(36)	
2023-066										Page 12 of 17 Pages	
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
20a	5		Employee Records Records of employee and student assistants, i.e. duty statements, travel expense claims, individual development plans, probation reports, emergency notification.	P		Active + 2 years			Active + 2 years		Active until superseded. Then retain for an additional 2 years. Then destroy.
20b			Employee Records Records of employee and student assistants, i.e. duty statements, travel expense claims, individual development plans, probation reports, emergency notification.	E		Active + 2 years			Active + 2 years		Active until superseded. Then retain for an additional 2 years. Then destroy.

Total: 12417

STATE OF CALIFORNIA - SECRETARY OF STATE

STATE RECORDS PROGRAM

RECORDS RETENTION SUMMARY OF CHANGES

(REV. 12/2020)

(1) APPROVAL NUMBER					(2)		
Old #:		2017-123		New #:		2023-066	
(3) PREVIOUS ITEM #	(4) NEW ITEM #	(5) ACTION			(6) TITLE OF RECORD	(7) COMMENTS	(8) MEDIA TYPE
		CHANGE	DELETE	ADD			
1	1b			X	Construction Project Files Category 1 through 4,7,23 and 28	Added to include - electronic records (database and electronic documents) per Construction Policy Directive (CPD 21-11).	E for construction contracts awarded after 6/30/2021
2	1c	X			Construction Project Files (District 1-12)	Renumbered and moved certified payroll records filed under Category 25 to new item 1g.	P
2	1d			X	Construction Project Files (District 1-12)	Added to include E - electronic records (database and electronic documents) per Construction Policy Directive (CPD 21-11). Renumbered and moved certified payroll records filed under Category 25 to new item 1g.	E for construction contracts awarded after 6/30/2021
1a	1e	X			Construction Project Files (District 1-12) Project personnel, office equipment, supplies, cost reports, and service contracts. (Categories 1-4 for local funded projects)	Renumbered.	P
1a	1f			X	Construction Project Files (District 1-12) Project personnel, office equipment, supplies, cost reports, and service contracts. (Categories 1-4 for local funded projects)	Added to include E - electronic records (database and electronic documents) per Construction Policy Directive (CPD 21-11).	E for construction contracts awarded after 6/30/2021
2	1g			X	Construction Project Files (District 1-12) Labor Compliance, Certified payroll records (Category 25)	New item for electronic records of certified payroll records stored in LCPTracker system.	E
5	1h	X			Construction Project Files (District 1-12) Terminated Project Files	Renumbered. Moved to records series 1, Construction Project Files	P
5	1i			X	Construction Project Files (District 1-12) Terminated Project Files for contracts that were terminated.	Added to include E - electronic records (database and electronic documents) per Construction Policy Directive (CPD 21-11). Moved to records series 1, Construction Project Files. Renumbered	E for construction contracts awarded after 6/30/2021
3a	2a	X			Construction Data Sheets Districts 1-12 and Headquarters	Renumbered.	P
3a	2b			X	Construction Data Sheets Headquarters	New item for electronic records.	E
3b	3	X			History Card Files Headquarters and Districts 1-12	Renumbered.	P
6	5a	X			Local Assistance Projects Districts 1-12	Renumbered.	P
6	5b			X	Local Assistance Projects Districts 1-12	Added to include E - electronic records (database and electronic documents) per Construction Policy Directive (CPD 21-11). Renumbered.	E

7	1	X		Ongoing Contract Files (Minor Contract Only)	Redundant. This series of records are included in Records Series 1, Construction Project Files.	P or E
8	6a	X		Construction Plans and Maps Districts 1-12	Combined previous items 8 and 9a under new item 6, Construction Plans and Maps. Renumbered.	P
9a	6b	X		Construction Plans and Maps Districts 1-12	Combined previous items 8 and 9a under new item 6, Construction Plans and Maps. Renumbered.	P
9b	1	X		As-built plans (Minor B projects)	Redundant. This series of records are included in Records Series 1, Construction Project Files. Changed media from paper (P) to electronic (E).	E
10	7	X		Claims Headquarters and Districts 1-12	Renumbered.	P
11	8a	X		Manuals and Guides Headquarters and Districts 1-12	Renumbered.	P
11	8b		X	Manuals and Guides Headquarters and Districts 1-12	Added to include E - electronic records (database and electronic documents). Renumbered.	E
	9		X	Reports and Dashboards Construction Interactive Reports Headquarters and Districts 1-12	New record series for online interactive reports and dashboards, electronic documents and associated data.	E
12	10	X		Prevailing Wage Determinations	Historical Prevailing Wage Rate books. Renumbered.	P
13	11a	X		Construction Policy Bulletins and Procedure Directives	Renumbered.	P
13	11b		X	Construction Policy Bulletins and Procedure Directives	Added to include E - electronic records (database and electronic documents). Renumbered.	E
14	12a	X		Subject Files Headquarters and Districts 1-12	Renumbered.	P
14	12b		X	Subject Files Headquarters and Districts 1-12	Added to include E - electronic records (database and electronic documents). Renumbered.	E
15	13a	X		Author Files Headquarters and Districts 1-12	Renumbered.	P
15	13b		X	Author Files Headquarters and Districts 1-12	Added to include E - electronic records (database and electronic documents). Renumbered.	E
16a	14a	X		Construction Safety Headquarters and Districts 1-12	Renumbered.	P
16a	14b		X	Construction Safety Headquarters and Districts 1-12	Added to include E - electronic records (database and electronic documents). Renumbered.	E
16b	15a	X		COZEEP Contract	Renumbered.	P
16b	15b		X	COZEEP Contract	Added to include E - electronic records (database and electronic documents). Renumbered.	E
17	16a	X		Equipment Rental Rates Headquarters	Renumbered.	P
17	16b		X	Equipment Rental Rates Headquarters	Revised to include E - electronic records (database and electronic documents). Renumbered.	E
18	17a	X		District Consultant Contract Files Districts 1-12	Renumbered.	P
18	17b		X	District Consultant Contract Files Districts 1-12	Added to include E - electronic records (database and electronic documents). Renumbered.	E
	18a		X	HQ Consultant Contract Files	New records series for Consultant Contracts managed by the Division of Construction.	P

	18b			X	HQ Consultant Contract Files	New records series for Consultant Contracts managed by the Division of Construction.	E
19	19a	X			Records Inventory Worksheet Headquarters and Districts 1-12 (STD-70)	Previous items 19-22 combined under new series "Records Mangement". Renumbered to 19a-19d. Changed from paper (P) to electronic (E).	E
20	19b	X			Records Management Headquarters and Districts 1-12. Retention Schedules (STD-73) Form	Previous items 19-22 combined under new series "Records Mangement". Renumbered to 19a-19d. Changed from paper (P) to electronic (E).	E
21	19c	X			Records Management Headquarters and Districts 1-12. Records Transfer List Form STD-71,	Previous items 19-22 combined under new series "Records Mangement". Renumbered to 19a-19d. Changed from paper (P) to electronic (E).	E
22	19d	X			Records Management Headquarters and Districts 1-12	Previous items 19-22 combined under new series "Records Mangement". Renumbered to 19a-19d. Changed from computer printout (C) to digital data (E).	E
23	20a	X			Employee Records	Renumbered.	P
23	20b			X	Employee Records	Added digital data (E). Renumbered.	E

-Department of Transportation

- Director
 - Sustainability
 - Innovation, Risk and Strategic Management
 - Chief of Staff
 - Asset Management
- Chief Deputy Director
- District 1 Director
- District 2 Director
- District 3 Director
- District 4 Director
- District 5 Director
- District 6 Director
- District 7 Director
- District 8 Director
- District 9 Director
- Administrative Deputy Director
 - Business Operations Division
 - Human Resources
 - Procurement and Contracts Division
 - Risk and Strategic Management Services Division
- Finance Deputy Director
 - Accounting Division
 - Budget Division
 - Financial Programming Division
 - Road Charge Program Manager
- Information Technology Deputy Director
 - Project and Business Management Division
 - Application Development and Support Division
 - Infrastructure Management Division
 - Security Services Division
- Maintenance and Operations Deputy Director
 - Division of Equipment Division
 - Division of Maintenance
 - Traffic Operations Division
 - Safety Programs Division

- Clean California

- Planning and Modal Programs Deputy Director
 - Aeronautics Division
 - Local Assistance Division
 - Rail and Mass Transportation Division
 - Research and Innovation and System Information Division
 - Transportation Planning Division
 - Geospatial Data
 - Race and Equity Program
 - California Integrated Mobility Program

- Project Delivery Deputy Director
 - Construction Division
 - Design Division
 - Engineering Services Data Division
 - Environmental Analysis Division
 - Project Management Program
 - Right of Way and Land Surveys Division

- External Affairs
- Legislative Affairs
- Public Affairs
- Legal Counsel
- Federal Liaison
- Civil Rights Deputy Director