



# Illinois Department of Transportation

## Memorandum

---

To: Studies & Plans Squads PPM 10-03  
From: Phillip A. Tegeler Revised: Tim Brandenburg  
Subject: Project Files Documentation  
Date: April 28, 1993 Revision Date: April 27, 2004

---

### **PLAN PREPARATION MEMORANDUM**

#### **BACKGROUND**

State Records Commission documents identified as Applications No. D-136, 72-39, and 72-40M, Records Disposition Schedule NN 162-80, Federal-Aid Highway Program Manual 1-6-2, and BDE Procedure Memorandum 2-00 provide a framework description of the retention schedules for papers and documents that are a part of our work.

BDE Procedure Memorandum 2-00 places the responsibility of retaining Consultant Contract records upon the Central Bureau. The Preliminary Engineering Section in the Bureau of Design and Environment has records of all documents that require retainage.

Although the District is not required to retain consultant contract records, availability of the documents within the District is helpful until the Bureau of Project Implementation purges contract records. Negotiation information, contracts, and final consultant cost information are important for future reference as project specific items and should be kept on microfilm with the project files.

Lump Sum Consultant contracts will not be audited after the District submits the final invoice (see Chapter 8 of the BDE Manual). All Lump Sum consultant contract information shall be included with the project files. This will allow purging after final acceptance or final payment for the construction contract.

Cost plus Fixed Fee contracts, Work Orders, and Extra Work that are not lump sum agreements require an audit. Work requiring audits fee shall be kept separate until the District obtains a final audit report for each Cost plus Fixed Fee contract, Work Order, or Extra Work item. The records shall then be kept in accordance with the attached Retention schedule, based upon the final audit date or final payment/final acceptance of the construction contract, whichever is later.

Each Contract Section File will have folders labeled with initials A, C, D & G indicating the applicable schedule for retention and sub-folders labeled for each section of Program Development (i.e. Bridge & Hydraulics, Studies & Plans, etc.). Squad Members should label documents with these initials in the upper right hand corner as indicated in the Retention Schedule below prior to placing them in the basket for filing. This will help the Program Development Executive Secretary provide consistency of placement of documents and assist the Bureau of Project Implementation in purging of records.

**PROCEDURE**

Following is a listing of the various retention schedules:

RETENTION SCHEDULES

A  
Retain for 3  
calendar years  
then destroy.

B  
Retain 3 calendar  
years then  
microfilm.

C  
Retain for 3 years  
after project  
acceptance (non-FA  
Funds) then destroy  
or retain for 4 years  
after FHWA final  
payment (Federal  
Funds) then destroy.

D  
Retain for 3 years  
after project  
acceptance (Non-FA  
Funds) then microfilm  
or retain for 4 years after  
FHWA  
final payment (Federal  
Funds) then microfilm.

E  
Retain until  
replaced or eliminated.

F  
Retain originals.

G  
Retain for 7  
years then  
microfilm.

\*H  
Retain for 10  
years then  
microfilm.

\*I  
Retain for 20  
years then  
microfilm.

Note: Microfiche is an acceptable alternative to microfilm.  
\*Not applicable at District Office Level; Central Office Only

Attached is a listing of papers and documents prepared by Program Development personnel, with the appropriate retention schedule noted.

Project files are transferred to Project Implementation when the project is "closed out" and they actually do the disposal of them at the appropriate time.

**The original copy of "as built" plans should be given to the Bureau of Operations after they have been microfilmed.**

# **PAPERWORK GENERATED BY PROGRAM DEVELOPMENT**

## **Retention Schedule**

### **Section File Schedules and Folders**

#### **Schedule A (Retain 3 years then destroy)**

##### **Programming**

Job Authorization/Completion/Change

##### **Studies & Plans**

Correspondence to and from Central Office and within District

#### **Schedule C ((Retain 3 (non FA Funds) or 4 years (FA Funds) then destroy))**

##### **Bridge & Hydraulics**

TS&L Prints

Prefinal Bridge Plans

Structural Reports (Consolidate Concurrence of BCR & Hydraulic Information)

Comments/Concur on TS&L and Prefinal Bridge Plans

##### **Geometrics**

I.D.S. Prints

##### **Programming**

Project Estimates for Design

##### **Studies & Plans**

Pavement Analysis

Safety Cost Effectiveness

Letters to public and outside agencies

Project Reports

Detour Reports

Field Check Minutes

Pavement Distress Analysis Meeting (Interstate)

Hazard Analysis Guard Rail

Utility Location Prints

Plan Review Comments

Quantity Computations

Special Provisions

Estimate of Cost

Review of Traffic Control

Estimate of Time

Time Bar Chart

CA/PS Sheet

Final Plans Letter

**Schedule D ((Retain 3 (non FA Funds) or 4 years (FA Funds) then microfilm))**

**Project Support**

Letter of Understanding

Joint Agreements

**Studies & Plans**

Commitment Memos (Originals in Notebooks)

Final Plans – Full size or proposal size

Review Sets-Do not need to microfilm

Field Check Set-Do not need to Microfilm

Consultants Final Submittal Plans-Do not need to microfilm

“As built” Plans

**Schedule G (Retain 7 years then microfilm)**

**Studies & Plans**

Drainage Computations (Storm Sewers, Culverts, Ditches and Maps)

## **General Files Schedules and Folders** **(Retained by Specific Program Development Personnel)**

### **Schedule A (Retain 3 years then destroy)**

#### **Bridge & Hydraulics (Bridge & Hydraulics Engineer)**

Monitor Temporary Concrete Barriers

#### **Consultant Liaison (Consultant Liaison Engineer)**

Consultant Progress Reports

#### **Programming (Programming Engineer)**

Projects for Lettings

Program Management Plan

Manpower Budget

Financial Budget

#### **Project Support (Project Support Engineer)**

Letters to RR concerning: Annual Inspection, Rough Crossing, Signal Malfunctions, abandoned RR concerning when and where to deliver state equipment, authorizing to modify or to interconnect with traffic signals.

### **Schedule C ((Retain 3 (non FA Funds) or 4 years (FA Funds) then destroy))**

#### **Bridge & Hydraulics (Bridge & Hydraulics Engineer)**

Concur on Drainage Studies for Highway Permits

#### **Consultant Liaison (Consultant Liaison Engineer)**

Consultant Services (Consultant Services Request & PTB Presentation Forms)

Preliminary Engineering Progress Report

Pay Estimates

Documents to Consultants (Plan Preparation & Special Provisions from District)

Memos to Consultants

Archives (Manhour Estimates & Backups, Contract Outlines, and General Files)

#### **Programming (Programming Engineer)**

Files for Estimates, Bid Tabulation, Award Reports and Notices with prices

Preliminary Estimates for Planning (Multi-year Program)

Update of Preliminary Estimates for Current Year Program

Review Construction Authorizations that contain agreed unit prices

Review Construction Subcontractors requests that contain partial pay items

**Project Support (Project Support Engineer)**

Letters for receipt of plans to Utility Companies (2)

Plan Approval letter to Municipalities

Memos to Springfield for: Agreement Review, submittal of "Partial Executed" and Letter of Understanding

Letter to Utility Authorization to do Preliminary Engineering

Letter to/from Utility to: Approve Contract Bid, Final Bill, Cost Study and Increase Agreement

**Schedule D ((Retain 3 (non FA Funds) or 4 years (FA Funds) then microfilm))**

**Bridge & Hydraulics (Bridge & Hydraulics Engineer)**

Hydraulic Analysis and Reports

WSPRO Analysis

High Water Reports/Information

Economic Statement for Hydraulic Sizing

Scour Analysis

Bridge Condition Reports

Bridge Conditions Survey

Structural Testing

Deck Cores

Delamination Survey

Salt ion Content Requests

Load Study Requests

Economic Analysis

Request Utility Coordination

Request for Soils

Information/Foundation Borings

Request Waivers from Division Policies on Hydraulics

Coordination with Drainage Districts

**Consultant Liaison (Consultant Liaison Engineer)**

Consultant Negotiations and Report

Progress Report Concurrence

Consultant Performance Evaluation

Manhour Computations for Negotiations

Consultant Contracts

**Environmental (Environmental Studies Technician)**

Permits

Request Division of Water Resources Permits

**Project Support (Project Support Engineer)**

Utility Adjustment Agreement

Letters to RR regarding proposed crossing improvement

RR Agreement & Authorization for material order

**Schedule E (Retain until replaced or eliminated)**

**Studies & Plans (Respective Project Engineers)**

Microfilm Index

Special Provision Policies (Central Office and District)

Plan Preparation Memorandums (Central Office and District)

Miscellaneous Central Office Memos

**Schedule F (Retain Originals)**

**Surveys (Plats & Plans and Survey Chiefs)**

Survey Plats

Special Studies as assigned

Original Field Survey Books, both Consultant and In-House Surveys

Aerial Photographs: Old Aerial products are filed in bin downstairs; New Aerials are digital and CADD keeps the CD's

Land Track Index

Information on land records that are not recorded in a Courthouse

10-03.doc