

RECORDS RETENTION AND DISPOSITION SCHEDULE
VDOT Specific Schedule No. 501-013: Toll Facilities

Agency: Department of Transportation
District: Toll Facilities

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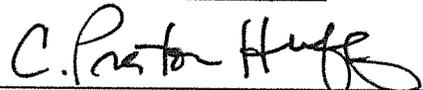
This schedule is continuing authority under the provisions of the Virginia Public Records Act 42.1-76 et seq. Code of Virginia, for the retention and disposition of the records as stated. This schedule supersedes previously approved applicable schedules. Request approval on Form RM-3, Certificate of Records Disposal, for the destruction of record series noted in this schedule. Any records created prior to the Constitution of 1902 must first be offered to the LVA before applying these disposition instructions.

Agency Approval

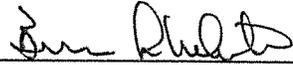


Constance S. Sorrell, Assistant Commissioner for Administration

State Approval



C. Preston Huff, CRM, State Records Administrator



Bruce L. White, CRM, Agency Records Manager

Comptroller or Deputy

OCT 02 2002

Effective Date: _____

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VDOT Specific Schedule No. 501-013: Toll Facilities

Effective Date: **OCT 02 2002**

Agency: Department of
 Residency Offices

Division:
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Records Series Title and Description

RS# Scheduled Retention and Disposition

Accidents, Vehicle (copies)

1974 Retain for five (5) years after case closure, then destroy by shredding or pulping.

Documents accidents involving VDOT employees, state-licensed vehicles, nonlicensed equipment used by VDOT (e.g., mowing equipment), and/or a citizen's vehicle. Used to notify the appropriate central office of the occurrence and to file associated claims.

Accounts Payable (copies)

1976 Retain for one (1) year after payment, then destroy.

Records used to track bills or monies owed by the Toll Facilities and submitted to District or Central Fiscal for payment. Includes, but is not limited to unpaid bills, correspondence, printouts, registers, statements, and electronic records - nonbond. Paid bills become vouchers and the record copies are maintained by District or Central Fiscal.

Accounts Payable (original)

2124 Retain for three (3) years or until audit is completed, whichever is longer, then destroy.

Original records used to track bills or monies owed and paid by the Toll Facilities. Includes, but is not limited to unpaid bills, correspondence, printouts, registers, statements, and electronic records. Paid bills become vouchers.

Accounts Receivable

1977 Retain for three (3) years after payment or until audit is completed, whichever is longer, then destroy.

Records used to track bills or monies owed by the Residencies, and submitted to District or Central Fiscal for payment. Includes, but is not limited to unpaid bills, correspondence, printouts, registers, statements, and electronic records - Bond. Paid bills become vouchers and the record copies are maintained by District or Central Fiscal.

ALTS Administrative and Maintenance File

1914 Retain for three (3) years, then destroy.

Documents the procedures for changing or correcting erroneous leave balances in the Automated Leave Tracking System (ALTS) on each employee on a monthly basis.

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<p><u>Audit Reports</u> Documents the audit of revenues collected at the tolls and provides verification of the collectors' information.</p>	1931	Retain for three (3) years, then destroy.
<p><u>Automatic Vehicle Identification (AVI) Reports</u> Documents the revenue day, deposit day and dollar amount deposited into the state bank account by the vendor responsible for the AVI revenue. A Certificate of Deposit is created for each deposit.</p>	1903	Retain for three (3) years, then destroy.
<p><u>Bank Statements and Reconciliations</u> Documents used for bank reconciliations for petty cash fund and with FMS, including Petty Cash Report with supporting documentation.</p>	1991	Retain for three (3) years or until audited by the Auditor of Public Accounts, whichever is longer, then destroy.
<p><u>Bond Requisitions File</u> Documents the process for reimbursing of funds to the General Revenue account from the State Bond Accounts.</p>	1933	Retain for five (5) years, then destroy.
<p><u>Budget Documents</u> Reports and background information relating to budgets developed by the Toll Facility and District Fiscal Division. Also contains information from Central Fiscal Division.</p>	1987	Retain one (1) year or until no longer administratively needed, whichever is longer, then destroy.
<p><u>Buildings and Grounds Files</u> Documents the use, performance, maintenance, repair, or servicing of residency buildings or grounds, including budget information.</p>	1979	Retain until obsolete, superseded, or administrative value is lost, but no longer than three (3) years after date of creation.
<p><u>Cash Fund Receipt File</u> Documents all shortages and overages to cash fund for each shift at each toll booth and is used to reconcile revenue collected each shift.</p>	1920	Retain for three (3) years or until audit completed, then destroy.
<p><u>Certificate of Deposit File</u> Bank documentation that verifies the total dollar amount collected at the toll booths and deposited daily into a bank account.</p>	1905	Retain for three (3) years or until audit is completed, whichever is longer, then destroy.

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<p><u>Certificate of Deposit Supplement File (copy)</u> Tracks by Deposit Certificate number the daily deposit of Toll revenue into a State Treasury Toll Revenue Account.</p>	1966	Retain one (1) year after the FY that the revenue was collected, then destroy
<p><u>Checks</u> Reports, canceled checks, returned checks, check registers, longer, checking statements and other supplemental records. This includes bank records for petty cash accounts.</p>	1989	Retain for three (3) years or until audit is completed, whichever is then destroy.
<p><u>Collectors Audit Files</u> Documents the revenue expected to be collected through the toll plaza system or monies actually collected, and explanations for tolls not being collected for reconciliation with Detail Audit Reports.</p>	1930	Retain for three (3) years, then destroy.
<p><u>Contracts</u> Duplicate copies of contracts, labor/service agreements, invoice data, and billing information used for reference. Record copies are maintained by the division responsible for the contract.</p>	1980	Retain until superseded, then destroy.
<p><u>Correspondence and Subject File, Routine</u> Routine correspondence not related to a specific functional activity.</p>	1988	Retain for two (2) years, then destroy.
<p><u>Daily Revenue Audit Log</u> Audit log documents problems in the lane, maintenance and repairs, unusual occurrences and toll revenue overages and shortages. The log provides support verification for downtime and any interference with revenue collected daily for each lane.</p>	1971	Retain for three (3) years, then destroy.
<p><u>Daily Shift Log</u> Documents the daily activities such as lane openings or closings, air conditioning repair, gate or vault maintenance, etc. as reported by the on duty supervisor of the Toll Booths. Daily entries are made to note specific activities and is referenced during audits of the toll collectors.</p>	1900	Retain for three (3) years, then destroy.
<p><u>Deposit Files, Miscellaneous</u> Documents the deposit of revenue not collected at the toll booths, i.e., collected unpaid tolls, foreign coins, and fees.</p>	1968	Retain for three (3) years or until audit is completed, whichever is longer, then destroy.

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<p><u>Detail Audit Reports</u> Documents the actual daily transactions in the toll lanes as reported by Toll Collector. Report lists each transaction which includes vehicle class, number of axles, toll paid, reclassifications, lane closings and openings.</p>	<p>1906 Retain for three (3) years, then destroy.</p>
<p><u>Disbursement Report</u> Report documents the previous day's revenue collected from Fast Tolls (AVI) and the fees that the Fast Toll Service Center charged for its services.</p>	<p>1928 Retain for three (3) years, then destroy.</p>
<p><u>Employee Personnel File</u> Convenience copies of records that documents an individual employee's history, including but not limited to hiring, promotion, evaluation, and discipline to provide information for references, updates and revisions</p>	<p>1998 Retain for six (6) months after separation or transfer, then destroy by shredding or pulping.</p>
<p><u>Equipment - General</u> Information on residency equipment that includes, but is not limited to, parts listing, manufacturing and repair information, equipment transfer, inventory lists, nonrental equipment requests, purchase and replacement requests, equipment budget information, repairs, and damage reports. This information is used to maintain the history of equipment assigned to the residency.</p>	<p>1981 Retain until equipment is disposed of, then destroy.</p>
<p><u>Equipment - Rental/Hired File</u> Documents the use of hired/rented equipment and crews by VDOT. Information is entered into FMS, used for invoices verification and reference.</p>	<p>1982 Retain for three (3) years or until audit is completed, whichever is longer, then destroy.</p>
<p><u>Field Service Report</u> Documents problems and all maintenance performed on equipment in toll lanes. Used to support any adjustments made to manual or automated lanes due to equipment maintenance.</p>	<p>1917 Retain for three (3) years, then destroy.</p>
<p><u>Fuel Records</u> Documents residency fuel consumption, as well as, monitoring usage, leakage occurrences, and validation of charges.</p>	<p>1983 Retain for three (3) years or until audit is completed, whichever is longer, then destroy.</p>

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<p><u>General Expense Report File</u> Documents the balance of toll road facility's budget and total monthly expenditures.</p>	1934	Retain for one (1) fiscal year or until audit, then destroy.
<p><u>Health Care Bills</u> Printout documents that all Health Care Premiums due for the month have been collected as payroll deductions from the applicable employees.</p>	1915	Retain for one (1) year, then destroy.
<p><u>Hourly Traffic Reports</u> Reports document amount of hourly traffic by listing the classification of the vehicles (number of axles), AVI, transactions, revenue totals, and daily violations at each lane.</p>	1927	Retain for three (3) years or until audit is completed, whichever is longer, then destroy.
<p><u>ID Card Receipt</u> Documents the issuance of a new ID card or replacement card. The card is magnetic and is used by toll collectors to log onto and off of the Toll Audit System when starting or ending a shift.</p>	1956	Retain for one (1) year after separation of employee or until replaced, then destroy by shredding or pulping.
<p><u>Leave Slips (original)</u> Leave slips that are used to enter information into the Automatic Leave Tracking System (ALTS) and reconciled with information in FMS.</p>	1992	Retain for five (5) years or until audit is completed, whichever is longer, then destroy.
<p><u>Maintenance Files</u> Documents and tracks the maintenance, service or repair of toll facility equipment and parts.</p>	1935	Retain until equipment is disposed of, then destroy.

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<u>Lane Assignment Log</u> Documents the daily assignment of toll collectors to specific lanes, any unusual occurrences and the time they occurred.	1918	Retain for two (2) years, then destroy.
<u>Manual, Toll Audit System Operations</u> Documents all information required to operate the Toll Audit System such as authorizations, menus and menu structures, reports, reconciliations, etc. The system can generate 38 different reports as needed.	1997	Retain until superseded, then destroy.
<u>Money Bag Assignment Report</u> Documents the daily assignment of toll collectors to specific lanes, any unusual occurrences and the time they occurred.	1908	Retain for one (1) year, then destroy.
<u>Money Bag Inventory Report</u> Documents the pickup and return of toll lane money bags by armored car contractor representatives and is used to track the location of the money bags.	1955	Retain for three (3) years, then destroy.
<u>Monthly Fiscal Reports</u> Documents all of the toll facility's expenses paid during a particular month.	1969	Retain for two (2) years or until no longer administratively useful, whichever is longer, then destroy.
<u>Monthly Overage/Shortage Reports</u> 1 Documents toll shortage/overages that occur during each shift on a booth-by-booth basis and their reconciliation's.	910	Retain for one (1) year, then destroy.
<u>Non-Revenue Toll Fares</u> Documents the number of passes of authorized personnel exempt from paying tolls.	1901	Retain for ninety (90) days, then destroy.
<u>Non-Revenue Toll Reports</u> A summary listing of the total number of passes of authorized personnel through all the tolls without requiring toll payments.	1949	Retain for three (3) years, then destroy.

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<p><u>Occupational Health & Safety Administration (OSHA) Records</u></p> <p>Records retained according to requirements of the federal government's Occupational Safety & Health Administration (OSHA) or the state's Department of Labor and Industry.</p>	1984	Retain for five (5) years, then destroy.
<p><u>Patron Complaint File</u></p> <p>Documents resolution of patron's complaint regarding transactions or incidents at the toll booths.</p>	1922	Retain for two (2) years after resolution, then destroy.
<p><u>Payroll Deduction Form File</u></p> <p>Original forms signed by employees that authorize payroll deductions.</p>	1916	Retain until superseded, then destroy.
<p><u>Payroll Records (copies)</u></p> <p>Documents used for tracking wages, hours, benefits, deductions, payroll taxes, or pay and are keyed into the Commonwealth Integrated Personnel Payroll System (CIPPS). Fiscal Central Office holds the record copies.</p>	1985	Retain until data has been verified as accurate in CIPPS or until no longer administratively useful, then destroy.
<p><u>Payroll Records, CIPPS (Commonwealth Integrated Personnel Payroll System)</u></p> <p>Computer-generated reports that are used to verify the accuracy of payroll data prior to running.</p>	1994	Retain for sixty (60) days after date of the printout, then destroy by shredding or pulping.
<p><u>Petty Cash</u></p> <p>Records and forms that document or control the flow of petty cash, other than bank records. Includes, but is not limited to, petty cash files named cash receipts files, bank journal ledger, requests and advances, sale of maps/plans/prints, invoice and/or reimbursement voucher files, reconciliation file, interest earned, audit file, and check distribution register. These are copies; the original paperwork is sent to Central Fiscal Division where the record copy is retained.</p>	1993	Retain for three (3) years or until audit is completed, whichever is longer, then destroy.

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<p><u>Quarterly Vault Inventory File</u> Documents which vault is in use and which vault is closed, out for repair, or in storage.</p>	1911	Retain for one (1) year, then destroy.
<p><u>Revenue Receipts Report</u> Monthly spreadsheet report lists all the revenue received at the toll plaza and the fees paid out.</p>	1904	Retain for three (3) years or until audit is completed, whichever is longer, then destroy.
<p><u>Revenue Reports</u> A daily report used to verify and reconcile daily revenue collections on a lane-by-lane basis, and shows the difference between manual and AVI tolls collected. It is used for verification and reconciliation of daily revenue collections.</p>	1902	Retain for three (3) years or until audit is completed, whichever is longer, then destroy.
<p><u>Security Surveillance Video Tapes</u> Records all activity at the Coleman Toll Bridge Office and the Toll Lanes to provide security coverage and verification.</p>	1907	Reuse after 60 days, unless there is an investigation/litigation involving the tape.
<p><u>Semi-monthly Employee Payroll Changes; FD-57 (copies)</u> FD-57 form documents all changes, i.e., deductions, additions, corrections and exceptions made to each employee's payroll each pay period.</p>	1970	Retain for two (2) years or until no longer administratively useful, whichever is longer, then destroy.
<p><u>Statement of Revenue and Transactions File</u> Documents toll booth monthly revenue and vehicle transactions. Provides monthly breakdown of the location, classification of vehicles, number of transactions, and revenue collected.</p>	1936	Retain for two (2) years or until no longer administratively useful, whichever is longer, then destroy.
<p><u>Technical Manuals</u> Consists of manuals and background data generated by the toll facilities and used as reference in day-to-day operations.</p>	1913	Retain until superseded, then destroy.

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<p><u>Toll Audit System</u> Documents and tracks transactions and revenue collections, such as vehicles, number of transactions, axle counts, totals, axle counts, summaries, etc., and is used for audits.</p>	<p>1996 Retain for as long as administratively useful, then destroy.</p>
<p><u>Toll Collectors Schedule</u> Documents Toll Collectors work schedules (number and name) and their shifts (a,b,c).</p>	<p>1909 Retain for two (2) years, then destroy.</p>
<p><u>Tort Claims (copies)</u> Documents citizens complaints of damage to personal property by the road system.</p>	<p>1967 Retain for three (3) years, then destroy by shredding or pulping.</p>
<p><u>Unpaid Toll Reports</u> Documents collection process for tolls not paid by motorists.</p>	<p>1932 Retain for one (1) year after collection or closure, then destroy.</p>
<p><u>Unusual Occurrence Report</u> Report form documents any incident that affects the amount of money collected at the lane or vault and the daily deposit.</p>	<p>1929 Retain for three (3) years or until audit is completed, whichever is longer, then destroy.</p>
<p><u>Vault Inventory Report</u> Documents the pickup and return of toll lane vaults by Armored Car contractor representatives and is used to track the location of the vaults.</p>	<p>1919 Retain for three (3) years or until audit is completed, whichever is longer, then destroy.</p>
<p><u>Vendor Files</u> Any record used to track performance of vendors or suppliers. Contains copies of invoices from outside vendors.</p>	<p>1995 Retain for three (3) years or until audit is completed, whichever is longer, then destroy.</p>
<p><u>Worker's Compensation Reports and Related Documentation (copies)</u> Documentation involved with tracking workers compensation taxes, policies, payments, or claims.</p>	<p>1986 Retain for three (3) years after closure, then destroy by shredding or pulping.</p>