



**RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NUMBER 501-002
VIRGINIA DEPARTMENT OF TRANSPORTATION
RESIDENCIES AND AREA HEADQUARTERS**

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition conditions listed below:

AGENCY APPROVAL**STATE APPROVAL**

AGENCY HEAD OR DEPUTY

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE

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CONDITIONS FOR RECORDS RETENTION AND DISPOSITION

1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, §§ 42.1-76, et. seq. of the *Code of Virginia* for the retention and disposition of the records as stated on the attached page(s).
2. This schedule supersedes previously approved applicable schedules.
3. This schedule is used in conjunction with the *Certificate of Records Disposal* (Form RM-3). A signed RM-3 must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 must be sent to Library of Virginia (LVA).
4. Any records created before the Constitution of 1902 came into effect (January 1, 1904) must be offered, in writing, to the LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from the LVA. A copy of the offer must be attached to the RM-3 form when it is submitted to the LVA.
5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
6. All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.
7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance with §§ 17VAC15-20-10, et. seq. of the *Virginia Administrative Code*, "Standards for the Microfilming of Public Records for Archival Retention."
8. Custodians of records must ensure that information in confidential or privacy protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Normally, destruction of confidential or privacy-protected records will be done by shredding or pulping. "Deletion" of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Electronic records must be "wiped" clean or the storage media physically destroyed.
9. Under the *Virginia Public Records Act*, (§ 42.1-79) the Library of Virginia is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. The Library may purge select records in accordance with professional archival practices in order to ensure efficient access.

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Accidents, Vehicle

Series consists of documents providing details of accidents involving VDOT employees, state-licensed vehicles, nonlicensed equipment used by VDOT (e.g., mowing equipment), and/or a citizen's vehicle. This information is used to notify the appropriate central office of the occurrence and to file associated claims.

1567 Retain for five (5) years after case closure, then destroy by shredding or pulping.

Accounting/Fiscal Files

Series consists of documents detailing residency expenditures and charges to ensure accuracy and track monthly expenses.

1591 Retain for three (3) years, then destroy.

Accounts Payable (copies)

Series consists of 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. Paid bills become vouchers and the record copies are maintained by District or Central Fiscal.

1569 Retain for one (1) year after payment, then destroy.

Accounts Receivable

Series consists of documents used to track money due to be paid VDOT from any source. May include, but is not limited to, copies of bills or statements sent out, logs, registers, correspondence, printouts, warnings, notices, and electronic records.

1571 Retain for three (3) years, then destroy



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Additions/Abandonments/Discontinuance</u> Series consists of documents describing changes in the primary or secondary system (e.g., addition of new road, removal of a road to landowners, etc.) where VDOT has the responsibility for road maintenance and improvement.</p>	1598	Retain permanently within VDOT.
<p><u>Bridge Files - Residency</u> Series consists of records used to determine/document condition of bridges and structures within the residencies, plan and/or prioritize maintenance activities, and prepare budgets. This series includes, but is not limited to, bridge inspection files, bridge reports, structure maintenance listings, and critical recommendations. District Structure & Bridge Divisions also have copies of this information.</p>	1572	Retain for three (3) years, then destroy.
<p><u>Building and Grounds Files</u> Series consists of information documenting the use, performance, maintenance, repair, or servicing of residency building or grounds, including budget information.</p>	1579	Retain for three (3) years after date of creation, then destroy.



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Contract Reference Files

Series consists of 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.

1573 Retain for three (3) years, then destroy.

Equipment Records - General

Series consists of information on residency equipment that includes, but is not limited to, parts listing, manufacturing and repair information, equipment transfer, inventory lists, non-rental equipment requests, purchase and replacement request, equipment budget information and damage reports. This information is used to maintain the history of equipment assigned to the residency.

1576 Destroy three (3) year after final disposition of property, then destroy.

Emergency/Natural Disasters Files

Series consists of documents detailing expenditures and conditions of natural disasters (e.g., blizzards, floods, snows, and other severe weather conditions) and includes, but is not limited to, road conditions, snow removal reports, request for federal or state funds, damage survey reports, reports of roads and bridges closed (due to high water), and emergency phone logs. Documents are used for reference, audits, and to provide information requested from the District.

1574 Retain for three (3) years after disaster or until audit is completed whichever is longer, then destroy.



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Equipment Records – Rental/Hired

Series consists of documents relating to hired or rental equipment by VDOT, including crews, that are used to enter information into FMS, submit invoices to Fiscal District for payment, and for reference.

1575 Retain for three (3) years after rental return date, then destroy.

Fuel Records

Series consists of documents detailing consumption of fuel from residency tanks and billing and is used to monitor usage, troubleshoot leakage occurrences, and validate charges.

1577 Retain for three (3) years after fuel consumed, then destroy.

Health & Safety Files

Series consists of EPA reports that document the discharge from tunnels, used to assist EPA during environmental audits; Material Safety Data Sheets (MSDS) for hazardous materials, used for cleanup of accidents/spills; funding requests for repair of hazardous sections of roads or railroad crossings; database that identifies medical certification of drivers that transport hazardous materials, used for tracking purposes.

1801 Retain for five (5) years after date of claim, then destroy.



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IMS Reports – Daily and Weekly

Series consists of documents detailing payments and receipts for inventory stock items statewide. Reports are computer printouts that track Inventory Management System (IMS) inventory and cost balances. File is also used to monitor IMS and to reconcile discrepancies with the Financial Management System.

4073 Retain for one (1) year, then destroy.

IMS Reports - Monthly

Series consists of documents detailing payments and receipts for inventory stock items statewide. Reports are computer printouts that track Inventory Management System (IMS) inventory and balances. File is also used to monitor IMS and to reconcile discrepancies with the Financial Management System.

4070 Retain for three (3) years or until audit, whichever is longer, then destroy.

Inventory Control Files

Series is comprised of documents containing the control, monitoring, and accounting for property, supplies or warehouse stocks other than real property.

1586 Retain for three (3) years after inventory is taken, then destroy.

Maintenance Files - General

Series documents residency maintenance NOT related to a specific route or project and is used for reference and tracking of expenditures.

1580 Retain for three (3) year, then destroy.



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<p><u>Maintenance Files - Roads</u> Series documents the funding and scheduling process for road improvements/maintenance within a residency.</p>	1594	Retain for five (5) years after improvement or maintenance has been completed, then destroy.
<p><u>Occupational Health & Safety Administration Records</u> Series is comprised of records kept for the purpose of fulfilling requirements of the federal government's Occupational Safety & Health Administration or the state's Department of Labor and Industry.</p>	1587	Retain for five (5) years, then destroy.
<p><u>Permits, Adopt - A - Highway</u> Series documents an organization's or individual(s) "adoption" of a specific section of a highway for litter control and trash removal.</p>	1582	Retain for one (1) year after expiration of permit, then destroy.
<p><u>Payroll Records - Copies</u> Series is comprised of copies of documents that are used for tracking wages, hours, benefits, deductions, payroll taxes, or pay and input into the Commonwealth Integrated Personnel Payroll System (CIPPS). Fiscal Central Office has the responsibility for the record copies that support the data in CIPPS.</p>	1581	Retain until data has been verified as accurate in CIPPS or until no longer administratively useful, then destroy.



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Permits, Hauling

Series documents issue, and payment for, permits for transportation of an item that exceeds allowable length, width, height, and/or weight limits that are used for reference.

1583 Retain for two (2) years after permit expiration date, then destroy.

Permits, Land Use

Series documents issue of land use permits that have been granted for utility and private (for both private and commercial use) entrances involving state-owned Rights-Of-Way or property. This information is used for reference. Central Maintenance Division is the office of record. Detailed plans associated with Land Use Permits are to be retained per RS 1597.

1584 Retain for three (3) years after permit activity is completed, then destroy.

Permits, Special Use

Series documents permits issued on a one-time basis for special use (e.g., parades, block parties, bicycle races, etc.) of VDOT-owned rights-of-way or property. Permit can be a completed form, or merely correspondence.

1585 Retain until expiration of permit, then destroy.

Plans (Drawings)

Series is comprised of plan sheets that are created by L& D (not including plans submitted for or in conjunction with permit work or proposed land development projects, see RS 1597) and provided to the residencies for reference and use. Includes building plans for VDOT buildings located in the residencies, as well as primary and secondary roads.

1592 Retain until superseded, then destroy.



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Project Files - Utility

Series documents relocation of utilities along construction routes or conflicts with utility companies, usually involving rights-of-way, used for reference. Can also be part of Projects-Construction record series.

1800 Retain for five (5) years after project completion, then destroy.

Project Files - Construction

Series documents construction projects that are administered out of the residency, used to track project progress and to provide District with reports and estimates.

1599 Retain for five (5) years after project is completed, then destroy.

Project Files – Industrial/Recreational Access

Series documents the process of bringing an industrial or recreational access road into VDOT's secondary road system. Once approved and built, the road is turned over by the appropriate county for maintenance.

1593 Retain for three (3) years after turnover of road from the county, then destroy.

Project Files – Miscellaneous/General

Series documents work performed on an agency transportation project from preliminary engineering to payment of the final voucher to the construction contractor that is NOT scheduled under project-specific subjects. Copies of file documents are submitted to the District for approval throughout the project.

1589 Retain for three (3) years after project completion, then destroy.


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Project Files – Revenue Sharing/Bond

Series documents projects that are funded through a bond referendum (i.e., funded by a county) or through revenue sharing (i.e., dual financing by VDOT and the county).

1595 Retain for three (3) years after project completion, then destroy

Project Files – Right-Of Way/Utility Files

Series documents property that has been donated to the state for rights-of-way, including recorded deeds for this transaction. The District also has copies of this information; these files used for reference.

1590 Retain for five (5) years after project completion, then destroy.

Reports – Residency Expenditures

Series is comprised of reports received from Fiscal-District that identifies expenditures of residencies that are used for reference.

1570 Retain for one (1) year after date of report, then destroy.

Road/Route/Traffic Files

This series is comprised of documents including complaints, traffic studies/counts, roadway sign postings, street indices, road closures, and/road inventories. Used for reference, action tracking and historical purposes.

1596 Retain for the life of the route or road, or until no longer of value, then destroy.

Safety Awards

Series is comprised of documents that track employee eligibility for safety awards.

1588 Retain for three (3) years, then destroy.



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Subdivision/Street Acceptance/Land Development Files

This series is comprised of document that detail and describe the process of taking subdivision roads (s) from the county into VDOT secondary roads system for maintenance purposes. Also documents modifications to VDOT's system resulting from Land Use Permit and Land Development Activity – to include most recent detailed plans associated with subdivision development and Land Use Permits. (Example – plans that would not need to be retained could include installation of private entrance pipe culverts in shoulder and ditch typical sections.)

1597 Retain for the life of the route or road, if of value, then destroy.

Vehicle Files, Maintenance and Repair

Series is comprised of vehicle operating records that document the maintenance, repair, mileage, state inspections, and/or fuel consumption of a vehicle.

1578 Retain until disposal of the vehicle, then destroy.

Worker's Compensation Reports and Related Documentation - Copies

Series is comprised of documentation involved with tracking worker's compensation taxes, policies, payments, or claims. Employee, Safety and Health, Central Office, has record copy.

1568 Retain for five (5) years, then destroy by shredding or pulping.