

**RECORDS RETENTION AND DISPOSITION SCHEDULE
VDOT Specific Schedule No. 501-003: Districts**

Agency: Department of Transportation
Division: Construction Division

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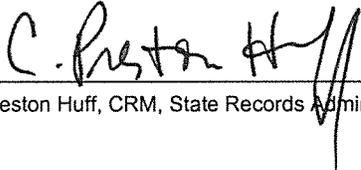
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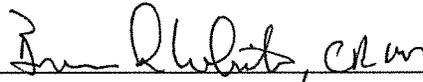
This schedule is continuing authority under the provisions of the Virginia Public Records Act 42.1-76 et seq. Code of Virginia, for the retentions and disposition of the records as stated. This schedule supersedes previously approved applicable schedules. Request approval on Form RM-3, Certificate of 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

State Approval


Charles D. Nottingham, Acting VDOT Commissioner


C. Preston Huff, CRM, State Records Administrator


Bruce L. White, CRM, Agency Records Manager

OCT 04 1999

Effective Date

Commonwealth of Virginia
The Library of Virginia
Records Management and Imaging Services Division
(804) 692-3600

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Subunit: **Districts**

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Ad Schedule/Bid Tabulation</u></p> <p>Monthly reports issued by Central Office and distributed to the districts that list all projects, the dates that bids can be submitted, and contractors who have bid on a project. Bids are accepted by the districts and forwarded to the Central Office. Reports are used for reference.</p>	2136	Retain until superseded, then destroy.
<p><u>Bid Results/Tabulations</u></p> <p>Documents the bids made by contractors for each VDOT project and which contractor was awarded the contract. Issued monthly by Central Office and the Virginia Asphalt Association. Used to notify the districts of the results. The original is maintained by Central Office.</p>	2135	Retain until superseded, then destroy.
<p><u>Construction Claims File</u></p> <p>Documents claims filed by a contractor against VDOT for project work. The process is initiated at the residency level by the contractor. The district reviews the claim and attempts to settle it. If no resolution occurs at the district level, then the claim is handled by the Construction Division-Central Office Claims Section. When the claim is settled, Central Office notifies the district and the residency.</p>	2139	Retain for five (5) years after settlement, then destroy.
<p><u>EOC Compliance File</u></p> <p>Tracks contractor's payroll and minority participation percentage as required by the project contract with the primary contractor. This information is maintained by the Inspector for reference.</p>	1727	Retain for five (5) years after final payment, then destroy.
<p><u>Inspector's Assignment Report</u></p> <p>Monthly report submitted by the residencies to the district that lists their inspectors and the projects they are assigned to. Copies are made by the district and distributed to the other residencies. The report updates the district and assists in tracking inspectors and their projects.</p>	2039	Retain for one (1) year, then destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Inspector's Progress Reports</u></p> <p>Reports filed by the residencies with the district that track a contractor's time schedule, labor costs, material volumes and shutdown dates. The district forwards the reports to the Central Office. The district maintains a copy for reference purposes.</p>	2038	Retain for five (5) years after final payment, then destroy.
<p><u>Materials Invoice File</u></p> <p>Verifies and documents the quantity and cost of materials used on a project. Contractors send in invoice/ticket showing an item number and volume. VDOT tracks contractor monthly expenses and approves payment for materials used on the job site. Information obtained from these invoices/tickets is entered into the Materials Notebook and the Inspector's Workbook.</p>	1726	Retain for five (5) years after final payment, then destroy.
<p><u>Materials Notebook</u></p> <p>Used by the Inspector to track materials and the quantity used on a project. At the beginning of a project, the Materials Division lists all materials and the estimated quantity to be used in the Inspector's Material Book. The invoice/tickets sent in from the contractors are entered into the Inspector's Material Book. This Notebook is provided to the district at the end of the project and is used to make final payment to the contractor.</p>	1728	Retain for five (5) years after final payment, then destroy.
<p><u>Pre-allocation Hearings</u></p> <p>Documents the annual public meetings conducted in each district to review requests for construction and maintenance funding.</p>	2130	Retain for five (5) years, then destroy.
<p><u>Projects - Access</u></p> <p>Documents the request for and construction of access roads for industrial parks, recreational areas and airports. Requests are initiated by a county Board of Supervisors. Partial funding for the project is provided by VDOT and the project requires Transportation Board approval. Upon completion, the access road becomes a part of the state secondary road system and is maintained by VDOT. Districts maintain a copy of all Access Road project documentation in order to track the project's progress and to ensure that the project is done properly.</p>	2142	Retain for five (5) years after final payment, then destroy.

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<p><u>Projects - Charges after Completion</u></p> <p>Documents all charges placed against a project that have been finalized.</p>	2132	Retain for five (5) years after final payment, then destroy.
<p><u>Projects - Construction Contract Project File</u></p> <p>Documents all work conducted for a particular project within a district. Tracks the percentage of project completion, costs to date, contractor's construction schedule compliance, and assists in the completion of final project costs. Used to complete FD-1s, verify work orders, and for approval of sublet requests. Original material is forwarded to Construction Division-Central Office.</p>	2143	Retain for five (5) years after final payment, then destroy.
<p><u>Projects - Consultant Payments</u></p> <p>Documents consultants' monthly project work estimate and the submission to Fiscal Division-Central Office for payment. Verifies previous monthly estimates and ensures there is no duplication. See RS # 1461, Fiscal Division-Central Office.</p>	2137	Retain for five (5) years after final payment, then destroy.
<p><u>Projects - Contractor Performance File</u></p> <p>Documents field inspectors' ratings of a contractor's performance after a project is completed. Original is transmitted to Construction Division-Central Office. Districts retain a copy for reference.</p>	2134	Retain for one (1) year after completion of the project, then destroy.
<p><u>Projects - Correspondence</u></p> <p>Documents the entire non-fiscal or contractual history of projects starting with Right of Way correspondence through the completion of the project. Districts use the file for reference and to track a project's progress.</p>	2144	Retain for five (5) years after final payment, then destroy.

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<p><u>Projects - Finals Package</u></p> <p>Documents the completion of a project by a contractor and the final payment to the contractor.</p>	2131	Retain for five (5) years after final payment, then destroy.
<p><u>Projects - Public Hearings</u></p> <p>Documents meetings held in the districts to elicit comments from citizens and public officials concerning VDOT road projects. Two types of meetings are held: Citizens Information Meeting and the Location & Design Public Hearing.</p>	2140	Retain for one (1) year, then destroy.
<p><u>Projects - Shutdowns</u></p> <p>Documents shutdown periods that occur during a project. Districts use the the C-12 Shutdowns to determine time extensions due the contractor and to complete the Finals package.</p>	2133	Retain for five (5) years after final payment, then destroy.
<p><u>Request for Transfer of Funds (M-24)</u></p> <p>Documents the request and approval for the transfer of funds from one Secondary Road project to another within a district. Request is completed by a residency and forwarded to the district for approval. If approved, the original request is sent to Central Office for final approval. The district maintains a copy for reference and to answer questions concerning project funding.</p>	2138	Retain for one (1) year, then destroy.