

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

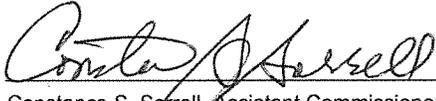
Agency: Department of Transportation
Division: Environmental Division

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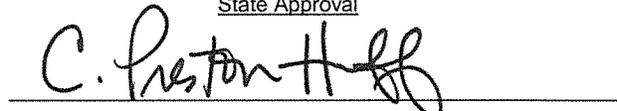
This schedule is continuing authority under the provisions of the Virginia Public Records Act 42.1-76 et seq. Code of Virginia, for the retentions and disposition of the records as stated. This schedule supersedes previously approved applicable schedules. Request approval on Form RM-3, Certificate of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

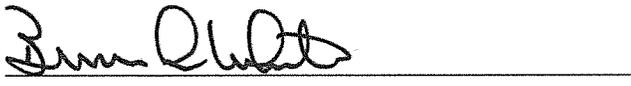


Constance S. Sorrell, Assistant Commissioner for Administration

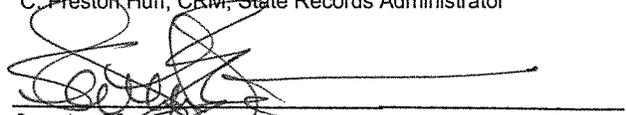
State Approval



C. Preston Huff, CRM, State Records Administrator



Bruce L. White, CRM, Agency Records Manager



Comptroller

8.13.01

Effective Date

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<p><u>Agreements - Brush Spraying</u></p> <p>Original agreement made between VDOT and a landowner for the spraying of herbicide on private property. Vines and plants located on right of way may grow onto private property from the right of way. Landowners can request that VDOT spray pesticide to remove the overgrowth. This agreement releases the agency from any responsibility for any damage resulting from the work performed.</p>	2106	Retain for three (3) years after termination or expiration of the agreement, then destroy.
<p><u>Agreements - Disposal and Borrow Pits</u></p> <p>Documents VDOT sediment control inspections of disposal and borrow pits based on the specifications contained in an agreement between VDOT and a private landowner. Verifies VDOT compliance with the agreement.</p>	2121	Retain for three (3) years after termination or expiration of the agreement, then destroy.
<p><u>Agreements - Plantings</u></p> <p>Agreements made by VDOT with landowners, businesses, and/or civic associations for the planting of flowers and bushes on state right of way. Used to verify plants, boundaries, and stipulated conditions. Retain maintenance requirements for the life of the planting.</p>	2094	Retain for three (3) years after completion and/or termination of contract or agreement, or until audit, whichever is longer, then destroy.
<p><u>Artifacts File</u></p> <p>Documents the process for locating, evaluating and recording archeological artifacts. Includes data and physical specimens documenting archeological artifacts or potential archeological sites that may be located in proposed VDOT rights of way.</p>	2118	Retain permanently within VDOT or transfer to LVA. Transfer a copy of documentation and physical specimens to the Department of Historic Resources.
<p><u>Asbestos/Lead Paint Abatement File</u></p> <p>Copies documenting the identification, location, quantities, abatement process and disposal methods for asbestos and lead paint present in structures scheduled for demolition because of a VDOT project by a contractor. File ensures compliance with EPA guidelines. This file is a component part of the Environmental Project File.</p>	2101	Retain for five (5) years after project is completed, then destroy.

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<p><u>Capital Outlay - Building Inventory</u></p> <p>Inventory of VDOT structures conducted by contractors to identify the presence of hazardous material (asbestos, lead paint, etc.) in VDOT buildings. Inventory is used by the Environmental Division-District to estimate costs relating to improvements and upgrades on buildings.</p>	2107	Retain until improvements and/or upgrades are complete, or as long as the structure is present, then destroy.
<p><u>Complaints - Roadside Development</u></p> <p>Documents citizen complaints resulting from Environmental Division-District work activities. All complaints are sent to Risk Management to determine their legitimacy. Environmental Division-District refers to the file when answering questions concerning the complaint.</p>	2115	Retain for three (3) years after resolution or closure, then destroy.
<p><u>Contract Administration - Hazardous Materials</u></p> <p>Documents contract work for hazardous materials activities such as site assessments, reports, and work plans for Area Headquarters and construction projects. Verifies contractor's obligations, monitors work crews, and tracks monthly payments for work accomplished.</p>	2126	Retain in terms of contract or three (3) years after expiration of contract, whichever is greater, then destroy.
<p><u>Contract Administration - Roadside Development</u></p> <p>Documents active contract work for Roadside Development activities such as pesticide spraying, tree trimming, tree removal, grass and wildflower seeding. File verifies contractor's obligations, monitors work crews, and tracks monthly payments. File is also used to enforce the one year warranty on all planted vegetation specified in the contract.</p>	2087	Retain in terms of contract or three (3) years after expiration of contract, whichever is greater, then destroy
<p><u>Contractor Daily Documentation (Material Quality File)</u></p> <p>Documents the District's daily material quality check of a contractor's Land Development work activities. Environmental Division-District reviews the documentation to ensure that VDOT is receiving quality products that meet or exceed contract specifications. When the contract expires, documentation is placed with the Contract Administration file.</p>	2096	Retain in terms of contract or three (3) years after expiration of contract, whichever is greater, then destroy

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<p><u>County Plan Review Files</u></p> <p>Plans drawn by the county of proposed roads to be built by the county. County planners send the plans to the District for VDOT's review and recommendations.</p>	2091	Retain for two (2) years, then destroy.
<p><u>Cultural Resources Impact Studies</u></p> <p>Documents the impact a proposed VDOT project may have on architectural and/or archeological resources located on or near to the VDOT project site. This file includes copies of Phase I (identification), Phase II (evaluation) and Phase III (recommendations) developed by Cultural Resources Section concerning the designation of historical or archeological resources in concurrence with the Department of Historical Resources (DHR). This file is a component part of the Environmental Project File.</p>	2117	Retain for five (5) years after project is completed, then destroy.
<p><u>Design Plans - Reference Copy</u></p> <p>Copies of design plans sent to Environmental Division-District for review, comments and recommendations on environmental issues related to VDOT projects. The plans are used for reference.</p>	2071	Retain until project is completed, then destroy.
<p><u>Design Plans - Roadside Development</u></p> <p>Plans show the basic landscaping designs associated with construction or maintenance projects. Used to verify that plants and materials were installed correctly. Also used as reference for maintenance or replanting.</p>	2072	Retain until landscape area is redesigned, then destroy.
<p><u>Environmental Studies - Capital Outlay</u></p> <p>Documents Environmental Impact Studies submitted by the Environmental Division-District to the Department of Environmental Quality (DEQ) for review and approval of Capital Outlay projects exceeding \$100,000. Includes a copy of DEQ's and the Governor's approval. Capital Outlay projects include buildings and improvements on VDOT property and the purchase of land for use by VDOT.</p>	2105	Retain permanently within VDOT.

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<p><u>Environmental Studies - Federal</u></p> <p>Documents the process whereby the Environmental Division-District determines whether or not Federally-funded projects require either a Categorical Exclusion, an Environmental Assessment, or an Environmental Impact Statement. This file is a component part of the project file.</p>	2120	Retain for five (5) years after project is completed, then destroy.
<p><u>Foreman's Daily Report</u></p> <p>Documents hours, activities, materials, location, and equipment used by Roadside Development crews. Tracks time and charges for budget purposes.</p>	2085	Retain for one (1) year, then destroy.
<p><u>Garden Week Tour Information File</u></p> <p>Documents the District's annual planning for and participation in Virginia's Historic Garden Week. Maintained as reference for future Garden Week planning and backup for decisions made.</p>	2075	Retain for two (2) years, then destroy.
<p><u>Hazardous Waste - Biennial Report</u></p> <p>Documents the types and quantities of hazardous materials generated or handled by a District. Information for this report is obtained from the Hazardous Waste Manifest. Generated by Environmental Division-Districts, this report is required by the U.S. Environmental Protection Agency. Copies may be sent to the Environmental Division-Central Office.</p>	2231	Retain for three (3) years, then destroy.
<p><u>Hazardous Waste - Material Reuse/Recycling Certification</u></p> <p>Certifies that hazardous waste is picked-up by a transporter at a VDOT facility. The certifications may be form letters verifying that the material was transported to a facility for the purpose of recycling and/or fuel blending,</p>	2232	Retain for three (3) years after last shipment, then destroy.

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<p><u>Hazardous Waste - Shipping Manifest</u></p> <p>The Uniform Hazardous Waste Manifest is an Office of Management and Budget (OMB) form that is completed by VDOT as the generator of various kinds of hazardous wastes. The manifest includes the name of the transporter, the proper shipping name, hazard class, and identification number of the transported waste. The transporter and the Facility Owner or Operator of the facility receiving the waste sign the form. This is a multi-part form which requires the signature of the generator, the transporter, and the facility owner or operator.</p>	2230	Retain for three (3) years, then destroy.
<p><u>Hazardous Waste - Transporter/ Facilities Invoices</u></p> <p>Invoices received from hazardous waste transporters and facilities for the transport and storage of hazardous wastes received from VDOT facilities. If these invoices are filed with the Waste Manifest or the Certifications, then they must be kept for the time period required for those records. Invoices contain the manifest number in addition to information on the hazardous material shipped and the breakdown of services rendered.</p>	2233	Retain for three (3) years, then destroy.
<p><u>Historical Marker File</u></p> <p>Documents the installation and location of historical markers in a District. File tracks, monitors, and documents the maintenance of historical markers in a District.</p>	2076	Retain for one (1) year after removal of marker, then destroy.
<p><u>Inspection File - Asbestos</u></p> <p>Documents the inspection for the presence of asbestos in buildings/structures scheduled for destruction as a result of a construction project. These records should be filed separately from the Environmental Project File due to its long-term retention.</p>	2956	Retain for thirty (30) years after last inspection, then destroy.
<p><u>Inspection File - Construction Reports (Environmental)</u></p> <p>Report documents the routine inspection and monitoring of environmental work activities during the construction project. Verifies contractors' obligations, work quality, and performance is in accordance with contract specifications.</p>	2128	Retain for five (5) years after project is completed, then destroy.

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<p><u>Inspection File - Erosion & Sediment Control</u></p> <p>File documents the erosion and sediment control inspections performed by Environmental Division-District engineers during project construction. This file is a component part of the project file.</p>	2116	Retain for five (5) years after project is completed, then destroy.
<p><u>Inspection File - Field Reports (Pre-construction)</u></p> <p>Documents the inspection of VDOT project sites prior to the start of construction. Identifies environmental issues and concerns and documents comments, procedures, and resolutions for the construction project.</p>	2127	Retain for five (5) years after project is completed, then destroy.
<p><u>Inspection File - Junkyard and Landfill</u></p> <p>Documents inspections and recommendations for junkyard and landfill sites to ensure they meet the requirements of the Federal Aid Highway Act of 1958 and local zoning ordinances. File documents the history of individual sites.</p>	2077	Retain for three (3) years after closure of site, then destroy.
<p><u>Inspection File - Rest Areas/Wayside</u></p> <p>Documents routine maintenance inspections conducted by Residencies or contractors at Virginia rest areas and waysides. Unacceptable conditions are reported to the Residency for correction. Districts use this file to track on-going problems and the information may be reported to Environmental-Central Office.</p>	2069	Retain for three (3) years, then destroy.
<p><u>Logs - Construction Permits</u></p> <p>Documents all permits issued for each construction project and is organized by project number in date sequence. The purpose of the log is to track whether and what types of permits are required for each project, the status of obtaining the permits, and the permits obtained. The log is used to reference information about permits contained in the log and in the Construction Project File.</p>	2100	Retain for as long as administratively useful, then destroy.

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<p><u>Logs - Wildflower Location</u></p> <p>Documents wildflower bed locations, bed size, seed types and quantities on an annual basis. File is used for future planting strategies.</p>	2080	Retain for two (2) years, then destroy.
<p><u>Permit Determination File</u></p> <p>Documents the need and/or type of permit(s) needed to address a particular environmental issue for a particular project. Permit Determination copies are also included in the Environmental Division-District project file. Originals are sent to Environmental Division-Central Office. Copies of Permit Determinations are used for quick reference</p>	2088	Retain for as long as administratively useful, then destroy.
<p><u>Permits - Tree Trimming and Vegetation Control</u></p> <p>Originals and copies of permits that are issued to contractors, businesses, and sign owners to cut and/or trim trees, bushes, and other vegetation. Upon completion of the work, a final inspection is conducted to ensure that all provisions of the permit were met. May also include a copy of the Land Use Permit issued by the Residency.</p>	2090	Retain for three (3) years after permit expires, then destroy.
<p><u>Permits - Water Quality</u></p> <p>Documents the research, analysis and application for a Water Quality Permit. Permit is required when construction will disturb river, stream or lake bed, or when storm water discharge will impact five or more acres of land.</p>	2108	Retain for five (5) years after project is completed, then destroy.
<p><u>Pesticide Certification</u></p> <p>Copy of the employee's Pesticide Applicator Certificate issued through the Virginia Department of Agriculture and Consumer Services. Certificate allows VDOT employees to apply pesticides. Documents the process that ensures each employee who applies pesticides has a current Certificate. Certification must be renewed every two years.</p>	2093	Retain for three (3) years, then destroy.

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<p><u>Pesticide/Herbicide Application Report</u></p> <p>Documents the application of pesticides or herbicides to VDOT right of way and properties. File must be current and available for inspection by the U.S. Environmental Protection Agency. Used as reference when responding to citizen complaints.</p>	2097	Retain for three (3) years, then destroy.
<p><u>Project Files - Emergency Flood Repair</u></p> <p>List of emergency flood repair projects involving streams with over five square miles of drainage area and streams that qualify for Nationwide Permits (NWP). Originals are sent to Environmental Division-Central Office for coordination with the appropriate agencies. Environmental Division-District refers to this file if Environmental-Central Office has any questions pertaining to the projects.</p>	2103	Retain for two (2) years, then destroy.
<p><u>Project Files - Enhancements</u></p> <p>Documents ISTE (Intermodal Surface Transportation Efficiency Act 1991) funding applications received from individuals/organizations. Environmental Division-District reviews and forwards the application to the Federal Highway Administration (FHWA) for approval and funding. Retain for reference.</p>	2104	Retain for one (1) year after review is completed, then destroy.
<p><u>Project Files - Environmental</u></p> <p>Documents work conducted by VDOT Environmental Division-District during the preliminary and construction phases of a road project. File tracks the identification, containment and clean-up of environmental issues related to individual projects (construction, maintenance, SAAP, etc.).</p>	2129	Retain for five (5) years after project is completed, then destroy.
<p><u>Project Files - Land Use Due Diligence</u></p> <p>Documents research conducted by Environmental of prior ownership and land usage, and identifies potential hazardous waste sites and underground storage tanks (UST) prior to purchase of right of way. Data is used to make decisions about purchase, abatement costs, project costs, scheduling and deadline projections. This file is a component part of the Environmental project file.</p>	2119	Retain permanently within VDOT.

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<p><u>Project Files - State Environmental Review Process (SERP)</u></p> <p>Documents environmental issues and concerns from state agencies and includes VDOT's summary response addressing those issues and concerns.</p>	2122	Retain for five (5) years after project is completed, then destroy.
<p><u>Scenic By-Ways Designation</u></p> <p>Documents the original request, approval, and re-validation for designating a roadway as a scenic by-way. This is a cooperative effort between the Department of Conservation & Recreation and VDOT. Environmental, Central Office, maintains record copy.</p>	2099	Retain until no longer administratively useful, then destroy.
<p><u>Signs, Outdoor Advertising - History File</u></p> <p>Documents the issuance and cancellation of outdoor advertising sign permits and the removal of signs. Documents the monitoring of outdoor advertising signs in the District ensuring that they are in compliance with Federal, state, and local laws/regulations. Ensures that sign violations are corrected and used for reference queries. Files may contain documentation on exempted signs erected prior to May 5, 1976.</p>	2109	Retain until removal of sign, then destroy.
<p><u>Signs, Outdoor Advertising - Licenses</u></p> <p>Lists all active licensed multiple signs located in the District. Outdoor advertisers must be licensed to have multiple signs on the billboard. List is used by the Environmental Division-District to verify that multiple signs are licensed.</p>	2070	Retain until superseded, then destroy.
<p><u>Signs, Outdoor Advertising - Monthly Activity Report</u></p> <p>A monthly report compiled by the Environmental Division-District office and sent to Environmental Division-Central Office, documenting sign repairs, the number of new signs, and the number of signs removed. Report includes historical markers, advertising posters, and non-conforming signs.</p>	2081	Retain for one (1) year, then destroy.

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<p><u>Signs, Outdoor Advertising - Permit File</u></p> <p>Copies of sign permits issued to individuals and organizations for the erection and maintainance of signs visible from primary and interstate highways. Used by the Districts to document the sign owner's name and address, location of the sign, and the sign permit number.</p>	2086	Retain until superseded, then destroy.
<p><u>Signs, Outdoor Advertising - Permit List</u></p> <p>Lists all outdoor advertising signs in the District having a valid permit. Includes Sign Permit Transfer list which tracks changes of land ownership. An Environmental Division-District staff member uses the list while inspecting the condition of each sign and the status of its permit.</p>	2084	Retain until superseded, then destroy.
<p><u>Signs, Outdoor Advertising - Removal List</u></p> <p>List notifies the Environmental Division-District office of sign owners who have not renewed sign permits. Used by the District to verify the removal of the signs or to determine further action.</p>	2074	Retain for one (1) year, then destroy.
<p><u>Underground Storage Tanks</u></p> <p>Documents the identification, analysis, clean-up, removal or system upgrades of underground storage tanks (UST) located on state property.</p>	2078	Retain for three (3) years after permanent closure of site, then destroy.
<p><u>Wetland Mitigation File</u></p> <p>Documents the acquisition, permitting, construction, and planting of a wetland mitigation site necessitated by roadway construction. Also documents the 5-year monitoring process of the site.</p>	2114	Retain permanently within VDOT.