

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

Agency: Department of Transportation
Division: Equipment 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


Charles D. Nottingham, Acting VDOT Commissioner

State Approval


C. Preston Huff, CRM, State Records Administrator


Bruce L. White, CRM, Agency Records Manager

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<p><u>Accidents - Fault Determination File</u></p> <p>Documents the classification of accidents involving state-owned vehicles as either preventable or non-preventable. The district's Equipment manager and Risk Management determine the classification. Documentation is reviewed to determine fault and penalties. File is retained to answer inquiries from Risk Management.</p>	2278	Retain for five (5) years after case closure, then destroy by shredding or pulping.
<p><u>Accidents - Repair Cost File</u></p> <p>Documents accident repair costs on state-owned vehicles. Cost figures are entered into EMS and are summarized and sent to the Employee Safety and Health Division-Central Office. Repairs, such as body work, are performed by the district equipment shop or outside vendor. File is retained to answer inquiries from the Safety and Health Division and to verify data entered into EMS.</p>	2592	Retain until disposal of the vehicle, then destroy.
<p><u>Accidents - Tort Claims</u></p> <p>Documents tort claims submitted by citizens against VDOT for accidents involving VDOT equipment. The district Equipment Division is responsible for gathering all accident data pertaining to claims involving equipment or vehicles within their inventory. Original paperwork is forwarded to Risk Management where claims are administered. File is retained to answer inquiries from Risk Management, Employee Safety and Health, and Human Resources.</p>	2591	Retain for five (5) years after claim is resolved, then destroy.
<p><u>Automated Fuel System Database</u></p> <p>Database documents fuel transactions located within the district. Records amount of fuel taken from tank and to what account it will be charged. The Automated Fuel System introduces a credit card type transaction to replace fuel tickets (ED-14). Fuel System is linked to FMSII to track billing.</p>	2621	Delete or destroy entire file or individual records when no longer administratively useful.
<p><u>Certifications - Bucket Truck</u></p> <p>Documents certification of electrical testing performed on bucket trucks. Testing ensures that the bucket is properly insulated to prevent electrical conductivity. Testing is conducted by a contractor who supplies two certifications - one certification remains with vehicle and the other is filed in the district's Equipment shop for federal inspections.</p>	2270	Retain for three (3) years, then destroy.

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<p><u>Certifications - Freon Handling</u></p> <p>Documents training and certification of VDOT employees who work with freon when servicing motor vehicle air conditioning systems. File is retained for U.S. EPA audit or inspections.</p>	2276	Retain until employee no longer works for VDOT, then destroy.
<p><u>Certifications - Tank Truck</u></p> <p>Documents the annual tank truck certification conducted by VDOT using an outside contractor. Ensures that pressure and vacuum tests are performed and steps will be taken to repair the tank truck within 45 days if parts must be ordered. Certifications are retained for Federal inspections.</p>	2269	Retain for three (3) years, then destroy.
<p><u>EMS Access Requests</u></p> <p>Documents the review and approval of access to the Equipment Management System (EMS). Access change information is entered into the EMS system. Used to track employee access to EMS.</p>	2277	Retain for one (1) year from date access is granted, then destroy.
<p><u>EMS Identification Number Requests</u></p> <p>Documents the assignment of an identification number for new district equipment that is added to inventory. Identification numbers are assigned by the Equipment Management System (EMS) and are recorded on the request form (ED-5). Used for quick reference during inventory and audits.</p>	2280	Retain for three (3) years, then destroy.
<p><u>Equipment History File</u></p> <p>Documents the history of all equipment located in the district. Information is contained in individual equipment workjackets and includes manuals, parts listings, Kardex cards, and purchasing documentation. Used as reference for repairs and maintenance. Information is also entered into EMS.</p>	2255	Retain until equipment is removed from inventory or until no longer administratively useful, then destroy.
<p><u>Equipment Inventory File</u></p> <p>Documents monthly and annual equipment inventory activities. File is used to identify equipment that has been lost, stolen, transferred, or surplus throughout the year. Used to conduct the annual physical inventory and findings are reported to Central Office.</p>	2663	Retain for three (3) years, then destroy.

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<p><u>Equipment Location File</u></p> <p>Documents the physical location of all major equipment in a district's inventory. Commonly referred to as the ED-4 Transfer File, these records are used to document when equipment is received in the district and when it is transferred to another location. File is updated for quick reference during inventory and audits.</p>	2588	Retain for three (3) years, then destroy.
<p><u>Equipment Surplus File</u></p> <p>Contains documentation recording the surplus and sale of equipment items. File is referenced to answer inquiries as to the condition of the equipment and what the item sold for at public auction. This information is helpful when pricing future surplus equipment.</p>	2619	Retain for three (3) years after final disposition of property, then destroy.
<p><u>Equipment/Vehicle - Maintenance or Repair (VDOT)</u></p> <p>Documents work orders for preventive maintenance, repairs, or warranty work on VDOT vehicles and equipment assigned to the district. File is used for scheduling mechanic's time and to verify when work was completed. Information is entered into EMS.</p>	2593	Retain until work is completed and EMS is updated, then destroy.
<p><u>Equipment/Vehicle - Maintenance or Repair (Other State Agencies)</u></p> <p>Documents vehicle repair and maintenance work performed in district equipment shops for other state agencies. File is used to schedule shop mechanic's time and is signed and dated to verify when work was completed. Information is entered into the EMS system to track billing charges.</p>	2626	Retain until work is completed and EMS is updated, then destroy.
<p><u>Equipment/Vehicle - Operator Authorizations</u></p> <p>Documents the application for and the testing of VDOT employees for operating specific equipment or vehicles. Authorizations indicate that the employee has been trained, tested, and has demonstrated an ability to safely operate VDOT equipment/vehicles. Used to verify completion of the process, to track renewal dates, and to answer inquiries from employees.</p>	2275	Retain until authorization is superseded or expired, then destroy.

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<p><u>Fuel Card Issue File</u></p> <p>Documents the request, approval, and issuance of fuel cards to district employees. Used for reference when a card is lost or stolen.</p>	2260	Retain for one (1) year after card has been de-activated, then destroy.
<p><u>Fuel Inventory</u></p> <p>Documents fuel monitoring and usage in the districts using the stick gauge method. Information is used to reconcile fuel received and issued, and to determine fuel leaks if there are discrepancies. Stick readings are taken daily and the calculations are summarized and reported monthly and annually to the Equipment Division-Central Office.</p>	2281	Retain for three (3) years, then destroy.
<p><u>Fuel Shipping Tickets</u></p> <p>Documents the starting and ending volumes of fuel trucks after each delivery of fuel. Includes daily truck safety inspection. Shipping tickets are used when fuel is spilled at an accident site. Tickets are retained in the district's equipment shop office for inspections by the U.S. Department of Transportation.</p>	2261	Retain for three (3) years after shipment, then destroy.
<p><u>Fuel Tickets</u></p> <p>Documents district fuel use. Data from fuel ticket is entered manually into the FMS database so that charges can be made to corresponding accounts. Tickets are also used for oil, grease, hydraulic oil, or anti-freeze. Tickets are used for reference to verify or correct FMS reports, and can be accessed during fuel inventories or audits.</p>	2612	Retain for three (3) years, then destroy.
<p><u>Hazardous Waste File</u></p> <p>Documents the disposal of hazardous waste generated by the district's equipment shop. File is required by the U.S. Environmental Protection Agency (EPA). Used to answer questions from the district Environmental section.</p>	2607	Retain for three (3) years, then destroy.

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<p><u>Inspections - Equipment Dry Run</u></p> <p>Documents annual inspections of all district shop and residency equipment that will be called into service during weather emergencies. Ensures that all emergency equipment will be in operational condition when needed.</p>	2256	Retain for two (2) years, then destroy.
<p><u>Inspections - Equipment/Machinery</u></p> <p>Documents daily, weekly, and monthly safety inspections conducted by the district's Equipment shop on forklifts, slings, motor cranes, or other equipment regulated under OSHA. Reports are retained to show compliance with federal regulations and to answer inquiries during audits or inspections.</p>	2262	Retain for three (3) years, then destroy.
<p><u>Inspections - OSHA</u></p> <p>Documents OSHA inspections reports, citations, and violations that involve the district Equipment section. File is referenced when complying with federal regulations.</p>	2600	Retain for five (5) years, then destroy.
<p><u>Inspections - Vehicle Safety Checks</u></p> <p>Documents daily and monthly safety inspections of state-owned vehicles conducted prior to operating the vehicle. A checklist is completed and forwarded to the district's Equipment shop to ensure that the safety checks are being performed and to help monitor vehicles that may be in need of repair.</p>	2274	Retain for one (1) year, then destroy.
<p><u>Lockout/Tagout - Policies and Procedures</u></p> <p>Documents safety lockout/tagout procedures for equipment or machinery located in the districts. Procedures are documented in manuals and are followed when employees perform any service or maintenance.</p>	2272	Retain until superseded or obsolete, then destroy.

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<p><u>Lockout/Tagout File</u></p> <p>Contains "Approvals for Live Line Work" on machinery or equipment that have specific lockout/tagout procedures. File verifies that workers have been trained and acquired approval and will follow specific procedures to lockout hazardous energy while working on electrical equipment. OSHA requires this documentation be retained for inspections.</p>	<p>2273 Retain for three (3) years, then destroy.</p>
<p><u>Manuals - Equipment Service and Parts</u></p> <p>Documents equipment service and parts manuals for district equipment, or other state-issued equipment, that may be brought to the district shop for repairs. Manuals are retained until equipment item is sent to surplus to be sold at auction.</p>	<p>2609 Retain until equipment is deleted from district inventory, then destroy.</p>
<p><u>Mileage Reports</u></p> <p>Documents monthly mileage reports from all sections and locations within the district. Includes the mileage reading at the end of each month for the pool cars assigned to the district. Summary reports are forwarded to Central Office for input into the FMS system so that mileage can be charged to the appropriate account. Reports are also submitted to the Employee Safety and Health Division-Central Office where information is noted for safety reports. File is retained to answer questions from Equipment, Fiscal, and Employee Safety and Health.</p>	<p>2590 Retain for three (3) months, then destroy.</p>
<p><u>Permits - Confined Space</u></p> <p>Documents permits for the confined space entry program. Permits are required by OSHA and are issued by the equipment shop's foreman or other authorized personnel when an employee must do repairs or maintenance on equipment that falls within the definition of a confined space. Permits document in detail the condition of entry, names of participants, air sampling equipment used, and air sampling readings. Permits are retained in the district's equipment shop office for reference during an OSHA audit.</p>	<p>2268 Retain for one (1) year after permit is cancelled, then destroy.</p>

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<p><u>Permits - Underground Storage Tank Closure</u></p> <p>Documents permits for the removal of underground storage tanks (UST) during VDOT construction projects. The Equipment Division-District office is authorized to prepare UST permits for the removal of tanks located on VDOT right of way. The permit is forwarded to the Equipment Division depot at Fulton for signatures. The permit is sent to the contractor who will post it at the tank removal site. A copy of the permit is maintained in the district for inquiries or U.S. EPA audits.</p>	2282	Retain for three (3) years after permanent closure of site, then destroy.
<p><u>Pilot Projects</u></p> <p>Documents overall performance of pilot programs in the districts, i.e. Natural Gas Vehicles, NAPA, Automated Fuel System (Gasboy). Used to monitor program problems and successes and will help determine if the program will be introduced statewide.</p>	2618	Retain for three (3) years after project completion, then destroy.
<p><u>Radio Billing File</u></p> <p>Documents monthly charges for the use of radio equipment. Verifies that sections were notified by the Equipment Division-District of their monthly charges. Monthly rental charges are entered into the FMS II system where section accounts are billed. File is retained for quick reference to respond to inquiries.</p>	2266	Retain for three (3) years, then destroy.
<p><u>Radio Installation</u></p> <p>Documents the request, justification, and authorization for ordering and installing radio equipment into pool cars and rental vehicles. Requests are received from other divisions, residencies, and area headquarters located in the district. If approved, radios are ordered and installed and added to the radio billing inventory (see RS# 2266). Information is also entered into EMS.</p>	2265	Retain for three (3) years, then destroy.
<p><u>Radio Inventory</u></p> <p>Documents an internal system for controlling, monitoring and accounting for radio equipment installed in state-owned vehicles in the District. Inventory sheets are used to do the annual visual inventory check to ensure that radios are present and in the correct vehicles.</p>	2602	Retain for three (3) years, then destroy.

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<p><u>Reports - SARA Title III, Tier Two</u></p> <p>Documents reportable quantities of hazardous chemicals stored within the Equipment Division-District's area of responsibility. Reports are submitted annually to the Safety and Health Division-Central Office. Retained to show compliance with the Superfund Amendments and Reauthorization Act (SARA) Title III, Tier Two as mandated by the U.S. EPA.</p>	2271	Retain for three (3) years, then destroy.
<p><u>Reports - State Inspection Stations</u></p> <p>Documents records of the operation of a State Police sanctioned State Inspection Station. File includes monthly reports submitted to the local police authority on the use of emission stickers. Inspection stickers are placed on state-owned vehicles located and serviced in the district.</p>	2595	Retain for two (2) years, then destroy.
<p><u>Safety File</u></p> <p>Documents safety meetings held daily in the District's equipment shop. File contains agendas, attendance records and meeting minutes. Used during investigations of an employee injured on the job to determine liability.</p>	2257	Retain for one (1) year, then destroy.
<p><u>Snow Removal Plan</u></p> <p>Plan coordinates the movement and use of equipment and personnel during snow emergencies. Plan is reviewed, approved, and maintained by district Equipment Division personnel.</p>	2316	Retain until superseded, then destroy.
<p><u>Storage Tanks, Aboveground - History File</u></p> <p>Documents the monitoring of aboveground storage tanks and dispensing equipment during construction, upgrading, and ongoing maintenance to ensure compliance with U.S. EPA regulations. Files are retained for inspection by the U.S. EPA and are used as a reference when further construction is conducted at site.</p>	2264	Retain for three (3) years after permanent closure of site, then destroy.

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<p><u>Storage Tanks, Underground - History File</u></p> <p>Documents the monitoring of underground storage tanks and fuel dispensing equipment during construction, upgrading, and on-going maintenance. Files are retained for inspections by the U.S. EPA and are used as reference when further construction is conducted at the site.</p>	2263	Retain for three (3) years after permanent closure of site, then destroy.
<p><u>Vehicle Request File</u></p> <p>Documents the application for an additional or replacement pool vehicle. Requests for pool cars are sent to Fleet Management-Central Office on a CP-3 form. Applications are retained for reference to answer inquiries from Central Office.</p>	2589	Retain for two (2) years after request is approved or denied, then destroy.