

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

Agency: Department of Transportation
Division: Right of Way and Utilities Division

Table of Contents

Page	Section
2	Districts General
7	Districts Legal
8	Districts Negotiations
9	Districts Property Management
11	Districts Utilities

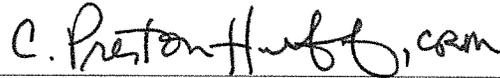
This schedule is continuing authority under the provisions of the Virginia Public Records Act 42.1-76 et seq. Code of Virginia, for the retentions and disposition of the records as stated. This schedule supersedes previously approved applicable schedules. Request approval on Form RM-3, Certificate of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



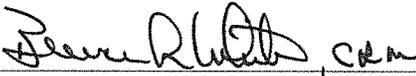
David R. Gehr, Commissioner

State Approval



C. Preston Huff, CRM, State Records Administrator

Comptroller or Deputy



Bruce L. White, CRM, Agency Records Manager

APR 07 1998

Effective Date

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

Effective Date:

Page 2 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts General

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Advertisement Schedules</u></p> <p>File contains the Advertisement Schedule for projects in the 6 year plan. Purpose is to keep Right of Way and Utility Division current on project status. Schedules are updated approximately every 6 months from Right of Way and Utility Division in Central Office.</p>	1170	Retain until superseded, then destroy.
<p><u>Card File, Landowner</u></p> <p>Card file is used as a reference tool. Card indicates landowner name, parcel number and project number. It is created when the project is set up with individual landowners. Used as reference and index on all landowners for all projects since 1930. - Lynchburg District</p>	1173	Retain until superseded, then destroy.
<p><u>Contract Files, Appraisals</u></p> <p>File documents Right of Way and Utility Division's process of notifying fee appraisers for bids, receiving bids, awarding bids and paying fee appraisers. A list of pre-qualified fee appraisers is provided by Central Office.</p>	1171	Retain for five (5) years after expiration of the contract, then destroy.
<p><u>Correspondence, General (Non-project Related)</u></p> <p>All correspondence not dealing with or related to a project. File contains information updates throughout VDOT, reports from Central Office and outside correspondence.</p>	1169	Retain for three (3) years, then destroy.
<p><u>County Files, General (Non-project Related)</u></p> <p>This records series documents all correspondence that is not parcel or project related. Correspondence could be about a problem on a road, or if there will be a project but no right of way will be required. File is used as reference and rarely contain any response from RW&U because documents are usually copies (cc) from another party. There are (2) files per county. One is for Primary Roads (routes 1 - 599) and the other is for Secondary Roads (routes 600+). The file arrangement is alphabetical by county.</p>	1184	Retain for five (5) years, then destroy.

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

Effective Date:

Page 3 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts General

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>General Right of Way File (Microform)</u></p> <p>This record series is the same as the General Right of Way Files (Active) - Paper, except that the files have been closed and microfilmed in Central Office.</p>	1182	Destroy microform files five (5) years after relinquishment of property ownership by VDOT.
<p><u>General Right of Way File (Not in 6 year plan) - Paper</u></p> <p>This record series is the same as the General Right of Way Files (Active) - Paper, except that the files have been closed and remain in paper form.</p>	1181	Microfilm or scan files and destroy originals after QC, Indexing, and Acceptance. Prior to microfilming or scanning, weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>General Right of Way File (Within 6 year plan) - Paper</u></p> <p>This record series is not parcel related but is at the project level instead. The General Files contain stage one relocation reports, notice to proceed; advertising material, etc. All general files will have a project number but they may not have a parcel number. Files are kept at the beginning of the Parcel Files.</p>	1180	Scan, active files and destroy original after Quality Control (QC), Indexing, and Acceptance. Prior to scanning, weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>General Right of Way File -Digital Media (ARMS)</u></p> <p>This record series has the same description as General Right of Way Files (Active) - Paper. This records series also pertains to an applicable off-site copy of the media.</p>	1183	Delete files from ARMS five (5) years after relinquishment of property ownership by VDOT.

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

Effective Date:

Page 4 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts General

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Log, Title Master Control</u></p> <p>This document is a NOVA District record. There is no mechanism for tracking title information in RUMS - therefore this record has been created to fulfill that need. Information comes from the appraisers via the NOVA Title Request form (RW-64-NOVA) and then the information is placed on this log. There are two binders (active and inactive); remarks section includes information on whether an offer has been accepted or refused. This records series also includes the logs retained in the Appraisal Section. In the Appraisal Section, the logs are completed by the Appraisal, Legal, Relocations, and Negotiations Sections. The log is used by all sections of Right of Way and Utilities Division. The log is updated as a project's status changes. The log generally duplicates information in RUMS system but has some information that RUMS does not have.</p>	1189	Retain until superseded, then destroy.
<p><u>Parcel Files (Not in 6 year plan) - Paper</u></p> <p>This records series is the same as the Parcel Files - (Active) - Paper, except that the files have been closed and remain in paper form.</p>	1175	Microfilm or scan files and destroy originals after QC, Indexing, and Acceptance. Prior to microfilming or scanning weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>Parcel Files (Within 6 year plan) - Paper</u></p> <p>This records series documents Right of Way and Utilities Division's involvement and all contact with a landowner to purchase a piece of property to complete a project. File documents the process from appraisal and negotiation of the property through relocation if applicable.</p>	1174	Scan, active files and destroy originals after Quality Control (QC), Indexing, and Acceptance. Prior to scanning weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>Parcel Files - (Inactive) - Microfilm</u></p> <p>This records series has the same description as Parcel Files - (Active) - Paper. These are the microfilmed (16mm film reels) RW&U closed project files sent to Central Office. Purpose of this records series is to allow for the disposal of the paper files while having a copy of the files available for reference. Central Office microfilms the project files and sends a microfilm copy to the District Office.</p>	1176	Destroy microform files five (5) years after relinquishment of property ownership by VDOT.

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

Effective Date:

Page 5 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts General

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Parcel Files - Digital Media (ARMS)</u></p> <p>This records series has the same description as Parcel Files - (Active) - Paper. This records series also pertains to an applicable off-site copy of the media.</p>	1177	Delete Parcel Files - Digital Media (ARMS) five (5) years after relinquishment of property ownership by VDOT.
<p><u>Parcel Files, Cemetery (Active)</u></p> <p>Records series pertains to the acquisition and negotiations regarding a cemetery. Includes record of the removal of the remains and relocation to a suitable site agreed to by the next of kin or others having legal authority to make such decision. Relocation of grave sites by VDOT is outlined in the Code of Virginia 33.1-133 through 33.1-136 and the Manual of Instruction - Right of Way and Utilities (Section 304).</p>	1178	Scan active files and destroy originals after QC, Indexing, and Acceptance. Prior to scanning weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>Parcel Files, Cemetery (Inactive)</u></p> <p>The description for this records series is the same as Cemetery Parcel Files (Active).</p>	1179	Retention is permanent. Output to paper or computer output microfiche (COM). Retain in VDOT or transfer to the Archives (Library of Virginia).
<p><u>Plans, Design</u></p> <p>Plan sheets are prepared and transmitted to RWU Section in the District from L&D. They are reviewed with the Field Inspection Plans to determine the correct right of way necessary for a project and used for negotiation, changes and revision requests, and quick reference. L&D maintains original plans.</p>	1172	Retain until superseded, then destroy.
<p><u>Project Files, Bond (Active) - Paper</u></p> <p>This records series is similar to the Right of Way Parcel File except that these files resulted from various bond initiatives. These files are identified by a bond number instead of a project number and are not arranged in sections like the Parcel File. Records series is found in Richmond and NOVA Districts.</p>	1185	Scan active files and destroy originals after QC, Indexing, and Acceptance. Prior to scanning weed out obvious duplicates and any ephemeral documents such as envelopes.

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

Effective Date:

Page 6 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts General

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Project Files, Bond (Inactive) - Paper</u></p> <p>This records series is the same as the Right of Way Bond Project Files (Active) - Paper, except that the files have been closed and remain in paper.</p>	1186	Microfilm or scan files and destroy originals after QC, Indexing, and Acceptance. Prior to scanning weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>Project Files, Bond (Microform)</u></p> <p>This records series is the same as the Right of Way Bond Project Files (Active) - Paper, except that the files have been closed and microfilmed in Central Office.</p>	1187	Destroy microform files five (5) years after relinquishment of property ownership by VDOT.
<p><u>Project Files, Bond - Digital Media (ARMS)</u></p> <p>This records series has the same description as Right of Way Bond Project Files - (Active) -Paper. This records series also pertains to an applicable off-site copy of the media.</p>	1188	Delete files five (5) years after relinquishment of property ownership by VDOT.
<p><u>Reports, Production</u></p> <p>This records series documents the District RW&U Negotiation and Legal Sections' production for the month. The data is sent to Central Office and includes number of parcels negotiated, deeds typed, deeds recorded, closings made, 60-year title examinations completed, partial releases completed, miscellaneous and recordings completed, condemnation cases held.</p>	1190	Retain for three (3) years, then destroy.

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

Effective Date:

Page 7 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: **Districts Legal**

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<u>Title Request Files</u>	1191	Retain until superseded, then destroy.

These documents are requests to the Legal Section to conduct a 60-year title exam or deed background check on a parcel of land. The request lists several parcels.

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

Effective Date:

Page 8 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts Negotiations

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Check Log Book</u></p> <p>This records series documents the receipt of checks for landowners. The information is keyed into the RUMS. The log is used for quick reference.</p>	1194	Retain for five (5) years, then destroy.
<p><u>Contracts Files, Consultant</u></p> <p>This records series documents District RW&U's request to contract work out to consultants. The files include justification and specified work details and requirements. The request is reviewed by Central Office for approval and then sent out to bid. When the contract is awarded, the District receives a copy which is placed in the file. The District administers the contract and all related documentation regarding the contract is retained in this file.</p>	1192	Retain for five (5) years after expiration of the contract, then destroy.
<p><u>State Warrants Files</u></p> <p>This records series documents the request and receipt of state warrants (payment checks) for landowner after the completion of negotiation and acceptance of offer.</p>	1193	Destroy one (1) year after state warrant is delivered.
<p><u>Video Tapes, Parcel</u></p> <p>The records series is the video recordings of parcels. The tapes record the condition of the property and visual inventory of what is on the property at time of negotiations. Tapes are part of the parcel files.</p>	1195	Destroy tapes five (5) years after relinquishment of property ownership by VDOT.

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

Effective Date:

Page 9 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts Property Management

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Abandonment Files/ Additions/Discontinuancies</u></p> <p>This record series is generated in the Residency. Resident Engineer sends form letter to District Right of Way advising/requesting to abandon a road so state no longer has to maintain it. File documents RW&U's involvement in receiving this form letter, and the Districts field survey of the road that will be closed to determine what effect this will have on the public.</p>	1196	Retain for five (5) years after recommendation not accepted, then destroy.
<p><u>Capital Outlay Files</u></p> <p>This records series pertain to the purchase of land and buildings for the District Office, Residencies and Area Headquarters. Capital Outlay involves special funding and much of the arrangements and details are handled by District RW&U. Administrative Services in Central has the original documents and this file is mainly a copy kept for reference purposes. Also called Area Headquarters Files by some Districts.</p>	1197	Destroy five (5) years after relinquishment of property ownership by VDOT.
<p><u>Contract Files, Demolition</u></p> <p>This records series pertains to the management of demolition contracts. Contractors are hired to demolish building or structures on property that VDOT has no need of. The contract states what will be destroyed, prices per square foot, specifics such as debris removal and time frames to complete the project. This is a copy of the documents that also are filed in the Right of Way General Files.</p>	1200	Destroy five (5) years after the termination of the contract.
<p><u>Lease Files</u></p> <p>This records series documents the management of the leased property by the District Office. The Division controls the original lease, but the District manages the lease.</p>	1199	Destroy five (5) years after the termination of the lease.
<p><u>Reports, Building Data</u></p> <p>Report pertains to demolition cost estimates for VDOT's removal of structures out of the path of new projects. The report data is entered into RUMS. Data is used to write demolition contracts.</p>	1201	Destroy five (5) years after project is closed.

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

Effective Date:

Page 10 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts Property Management

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Residue File</u></p> <p>Residue Files pertain to excess property owned by VDOT that is not or will not be affected by a project. This records series documents all inquiries about the land and the process of transferring (selling) land to an interested buyer. Potential/Interested buyer sends a letter to the Resident Engineer inquiring about the land. Resident Engineer sends a copy of letter to District Office. District Office compiles information on the residue from the residue files and gets a copy of the deed which includes the residue. All adjacent landowners to the piece of property are notified/advised of the potential buyer and are asked if there is any interest from the other parties. Section heads within District and the Resident Engineer sign off approving sale of land. Original is kept in this file. A copy of the form with section heads signatures, deed, residue information is sent to Central Office for approval or not of residue appraisal and sale.</p>	<p>1198</p>	<p>Destroy five (5) years after relinquishment of property ownership by VDOT.</p>

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

Effective Date:

Page 11 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts Utilities

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Billing Book</u></p> <p>This book documents every billing done by all utility companies on any project. It is set up by company and for every project that involves the company the billing is recorded. Information includes \$ amounts, date billings sent to Central Office, Authorization date (date plans sent by company were approved, but they were advised they will need to be notified before proceeding with project). The same information is in the utility company files, but this is for quick reference.</p>	1209	Destroy three (3) years after project closed.
<p><u>Drawings, Utility Plan (UFI's)</u></p> <p>This records series is the drawings of current projects and are held until construction is completed. Updates and revisions replace the old drawing(s). First set of plans are the unapproved preliminary plans, then the approved plans and then the approved construction plans which are most recent. All may be revised. These are duplicates.</p>	1210	Destroy after completion of construction.
<p><u>Plans, Construction</u></p> <p>These plans are approved copies originated by the Construction Division which are used and maintained by RW&U's Utilities Section for the duration of a project. Latest plans replace previous versions and the earlier plan is then discarded.</p>	1211	Retain until superseded, then destroy.
<p><u>Project File, Utility (Active) - Paper</u></p> <p>This records series documents the Utility Section of Right of Way and Utilities Division's involvement in working with a utility company, to complete a project. The Utility Section is responsible for identifying which utility company(s) will be involved with a project, working with the company to identify costs involved with the project, corresponding with company as to updates on project (when company can get started) and approval of plans by company, responsible for getting Easements from landowners for utility company, inspect company's work, receive billing from company and work with Central Office to send payment. Historically, three (3) years after final billing or audit, if total is over \$50,000, files were purged to remove unnecessary documents and the rest of the files were sent to Central Office. Files were not kept in District Office after 3 years or audit.</p>	1202	Scan active files and destroy originals after QC, Indexing, and Acceptance. Prior to scanning weed out obvious duplicates and any ephemeral documents such as envelopes.

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

Effective Date:

Page 12 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: Districts Utilities

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Project Files, No Plans (Active) - Paper</u></p> <p>No Plans projects are small projects handled by the Residencies, and the land is usually donated. Residency does field inspection, meets with the utility companies and completes the UT-9 forms. Copy is sent to the District Utility Section which monitors the Residency, reviews the information and makes any necessary changes. Copies of the change requests are kept in the file. If planning estimate is necessary (when RW&U will be responsible for the cost of the utility company) the Utility Section will review and approve the planning estimate and then the project is handled like the regular project (all steps are the same as the Utility Company File).</p>	1206	Scan active files and destroy originals after QC, Indexing, and Acceptance. Prior to scanning weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>Project Files, No Plans (Inactive) - Paper</u></p> <p>This records series is the same as the No Plans Project Files - (Active) - Paper, except that the files have been closed and remain in paper form.</p>	1207	Microfilm or scan files and destroy originals after QC, Indexing, and Acceptance. Prior to microfilming or scanning, weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>Project Files, No Plans (Inactive) - Microform</u></p> <p>This records series is the same as the No Plans Project Files (Active) - Paper. This records series also pertains to an off-site copy of the microform which will have the same retention and disposition.</p>	1319	Destroy microform files five (5) years after the relinquishment of property ownership by VDOT.
<p><u>Project Files, No Plans - Digital Media (ARMS)</u></p> <p>This records series has the same description as No Plans Project Files - (Active) - Paper. This records series also pertains to an applicable off-site copy of the media.</p>	1208	Destroy (delete) ARMS files five (5) years after relinquishment of property ownership by VDOT.
<p><u>Project Files, Utility (Inactive) - Microform</u></p> <p>This records series has the same description as Utility Company Files - (Active) - Paper. This records series also pertains to an off-site copy of the microform which will have the same retention and disposition.</p>	1204	Destroy microform files five (5) years after relinquishment of property ownership by VDOT.

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

Effective Date:

Page 13 of 13

Agency: Department of Transportation

19-Feb-98

Division: Right of Way and Utilities Division

Subunit: **Districts Utilities**

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Project Files, Utility (Inactive) - Paper</u></p> <p>This records series is same as the Utility Company Files - (Active) - Paper, except that the files have been closed and remain in paper form.</p>	1203	Microfilm or scan files and destroy originals after QC, Indexing, and Acceptance. Prior to microfilming or scanning, weed out obvious duplicates and any ephemeral documents such as envelopes.
<p><u>Project Files, Utility - Digital Media (ARMS)</u></p> <p>This records series has the same description as Utility Company Files - (Active) - Paper. This records series also pertains to an applicable off-site copy of the media.</p>	1205	Destroy (delete) ARMS files five (5) years after relinquishment of property ownership by VDOT.