

RECORDS RETENTION AND DISPOSITION SCHEDULE
VDOT Specific Schedule No. 501-004: Right Of Way and Utilities

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

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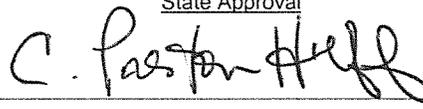
This schedule is continuing authority under the provisions of the Virginia Public Records Act 42.1-76 et seq. Code of Virginia, for the retentions and disposition of the records as stated. This schedule supersedes previously approved applicable schedules. Request approval on Form RM-3, Certificate of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

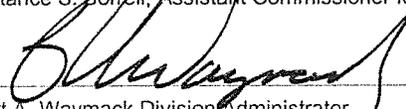
State Approval



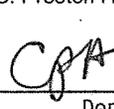
Constance S. Sorrell, Assistant Commissioner for Administration



C. Preston Huff, CRM, State Records Administrator



Stuart A. Waymack, Division Administrator



Deputy Comptroller
JAN 30 2002
(fiscal records were approved on previous schedule - no change to fiscal records on this schedule)



Bruce L. White, CRM, Agency Records Manager

Effective Date

RECORDS RETENTION AND DISPOSITION SCHEDULE
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Effective Date: JAN 30 2002

Agency: Department of
Right of Way and Utilities Division

13-Nov-01

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Division:
Subunit: Central Office Advertisement

Records Series Title and Description

RS# Scheduled Retention and Disposition

Ad Bid List Files

1131 Retain for one (1) year, then destroy.

This document lists projects and specifies the time, place and date the bids for the projects must be submitted to VDOT Central Office. It states the location where the bids will be opened. This series originates in the Construction Division and is received in the Advertisement Section after the project has been certified.

Administrative Files, General

1132 Replace materials as superseded. Review annually to identify and destroy material no longer administratively required.

General reference files pertaining to personnel matters; federal programs; copies of bid list; statistics; special projects; budget information; background for annual reports; hazardous waste information (from Environmental Division); project scheduling; copies of documents from other departments; metric system information; etc.

Card File, Advertising (Discontinued)

1133 Microfilm (and destroy original cards after verification of completeness and quality). Maintain one set of microfilm in Division Right of Way and Utilities and one set off-site. Destroy microfilm when information becomes obsolete.

This is a discontinued card file, which predates the current RUMS. The cards date from @1940's to 1986 when they were replaced by RUMS, which is presently RUMS. Arranged by District, Interstate, Secondary, Urban, etc. then by project number. Cards are now useful in disposing of surplus property to determine the type of funding in order to properly account for money.

Monthly Changes to Projects Schedules for Advertising Meeting

1130 Retain for one (1) year, then destroy.

Monthly changes are sent to various addressees via All-in-1 from Programming and Scheduling. Copies are made from All-in-1 in Advertisement Section and sent to others who are not on the All-in-1 distribution list. This series reflects decisions that have been made by top VDOT management regarding the Ad dates.

Project Files, Advertisement

1127 Retain until inactive, then destroy.

These are project files for which a Notice to Proceed has been issued. Files are arranged by District and are duplicates of Central Files records.

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 Division:
 Subunit: **Central Office Advertisement**

02-Nov-01

<u>Records Series Title and Description</u>	<u>RS#</u>	<u>Scheduled Retention and Disposition</u>
 <u>Project Files, General (Advertisement)</u>	1126	Destroy upon inactive status or transfer to Project Files (Advertisement) as appropriate.

These files are duplicates of the Central Files records and are maintained in the Advertisement Section as a convenience. Eventually these documents will end up in the Project Files (Advertisement) except projects that don't make it to the project phase.

<u>Projects Scheduled for Advertisement - Six Month Schedule</u>	1288	Retain for one (1) year, then destroy.
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Record comes from Programming & Scheduling once a month. It is then faxed to each of the nine Districts (Right of Way and Utilities staffs) to see if the Ad Date is okay. Input is received from various Divisions, Districts and incorporated into schedule and the Six Year Improvement Program.

<u>Proposed Ad Sheets</u>	1129	Retain for one (1) year, then destroy.
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These are printouts that come from the Construction Division and pertain to proposed projects. Projects are certified for advertising and construction for the upcoming month. This is a double check to make sure that the projects can proceed. RUMS is checked against the listing of all parcels to determine what stage they are in, then files are pulled and the District is contacted to verify information.

<u>Report, Project Status (PPMS POP 109)</u>	1135	Retain until superseded, then destroy.
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L&D generates this document commonly referred to as the POP 109 File (Project Status Report - PPMS POP 109). This document proposes a change to the project schedules. Fields 51-80 pertain to Right of Way. L&D annotates the printout to reflect proposed changes. Advertisement Section checks with District Right of Way Manager or assistant to see if changes are acceptable. Currently this includes an LD-427 from L&D to Programming and Scheduling and it sometimes includes an interoffice memorandum. This generally does not go to Central Files from Right of Way but if it is deemed very important it will be placed in Central Files. This file is electronic and is sent to Right of Way (and other Divisions) via PPMS Complete. Advertisement Section will then produce a copy from the local printer.

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Division:
Subunit: **Central Office Contracts**

Records Series Title and Description

RS# Scheduled Retention and Disposition

Consultant Files, Acquisition

1151 Retain for five (5) years after expiration of qualification status, then destroy.

Panel of consultants pre-qualified evaluated / reviewed for EO, internal policies. Pre-qualification is for two years.

Contracts, Fee Review - Right of Way

1152 Retain for five (5) years after expiration of the contract, then destroy.

Files pertain to hiring fee appraisers to do appraisal work for less than \$15,000.

Consultant Files - Nonselect

4069 Retain for 1 year, then destroy by shredding or pulping.

File includes proposals from consultants that are not selected for contracting services. See records series 1106 (Consultant Files, Design) and 1151 (Consultant Files, Acquisition)

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Division:
 Subunit: **Central Office General**

Records Series Title and Description RS# Scheduled Retention and Disposition

Audits, Program

1158 Retain for five (5) years, then destroy.

These are internal program reviews of various project functions performed by Right of Way and Utilities Sections. A copy of the report goes to applicable District Administrator.

Correspondence, Day File

1168 Retain for three (3) years, then destroy.

Copies of correspondence created or received. This is a convenience file for quick reference. May be duplicated in project files, parcel files, and section head day files or may be of a general nature. May be filed in chronological order or by subject.

Correspondence, Day Letters - Section Head

1134 Retain for two (2) years, then destroy.

This is a convenience file for quick reference and is kept in a single binder.

County / Route Files

1121 Retain for five (5) years after relinquishment of property ownership by VDOT, then destroy.

County / Route Files are generally not project or parcel related. Most of the documents in this series originate in a Residency and pertain to secondary roads. Files may include deeds conveying right of way which will not include a project number or a parcel number

Draw Down Index

1314 Retain until superseded, then destroy.

Index is used to handle various queries regarding draw downs. Some of the information in this index includes: month and year; project # / parcel #; landowner name; certificate # / amount; court order date; interest amount; Warrant ordered / due date.

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Division:
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Records Series Title and Description

RS# Scheduled Retention and Disposition

General Right of Way Files

1118 Retain for five (5) years after relinquishment of property ownership by VDOT, then destroy.

General Right of Way Files are not parcel related but are 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.

Manual, Instructions - Right of Way

1125 Permanent. Retain in VDOT or transfer to the Library of Virginia.

This is the master (original) version of a two volume set of policies and procedures for the operations of the Right of Way Division. Volume One pertains to the operations of all non-utility related areas whereas Volume Two is specific to Utilities.

Manual, Right of Way and Utilities Management System (RUMS)

1124 Retain until superseded, then destroy.

This is the master (original) version of the RUMS Manual. This manual documents the use of the RUMS system.

Parcel Files

1110 Retain for five (5) years after relinquishment of property ownership by VDOT, then destroy.

This is the main records series for Right of Way and includes the legal documents conveying property. It documents all contact with a landowner for the negotiation phase through relocation (if applicable). Typically the District copy of the Parcel Files is more complete than the Division (Central Office).

Parcel Files, Cemetery

1114 Retain permanently within VDOT

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.

Reports, Right of Way and Utilities Management System (RUMS)

1123 Retain until superseded, then destroy.

There are numerous printouts that are produced from the RUMS system. This records series pertains to those printouts that are not routinely kept in another records series such as an RW-24 Report which is a component of the Parcel Files.

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Records Series Title and Description

RS# Scheduled Retention and Disposition

Right of Way and Utilities Management

1122 Destroy (delete) all references to a specific RUMS entry five (5) years after ownership of applicable property is relinquished.

System (RUMS)

RUMS is a system that is derived from the PPMS system. PPMS is an on-line computer system operated through various programs maintained by VDOT's Information Systems Division (ISD). PPMS operates under a system known as ADABAS, which includes the Department's IBM Management Systems (Complete). Complete also executes other VDOT systems such as RUMS.

IRS 1099-S Reporting - Landowner

4068 Retain 5 years after filing with the Internal Revenue Service, then destroy by shredding or burning.

Documents 1099-S information provided to the Internal Revenue Service for reporting payment to the landowner for the acquisition of right of way (real estate transaction).

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Division:

Subunit: **Central Office Negotiations**

Records Series Title and Description

RS# Scheduled Retention and Disposition

Acquisition Files, Advanced

Files pertain to protective buying (corridors) or VDOT may even obtain a house that is being sold by owner but it is unlikely to sell because it is going to be a part of a VDOT project, (hardship acquisition).

1146 Transfer to Advertising Section upon issuance of Notice to Proceed, or if rejected keep with approved Right of Way project files until all related files are sent to Advertising Section.

Contract Files, Fee Appraisers

This file originates in the Districts and is used to track fee appraiser contract for a given project.

1154 Retain for five (5) years after expiration of the contract, then destroy.

Dam Files

Files pertain to relocation/abandonment brought about by dams. Generally includes correspondence, plans, agreements, deeds, etc. Files date from approximately 1963. Primarily this is a reference file and for all practical intents and purposes does not grow.

1156 Microfilm and destroy originals. Destroy microfilm when outdated.

Negotiations Files, Special

Files pertain to special right of way negotiations with governmental agencies and large companies that have their own right of way staffs, such as Virginia Power, CSX, and Norfolk Southern.

1149 Retain for five (5) years after relinquishment of property ownership by VDOT, then destroy.

Plans, Approved - Right of Way

Copies of the official Right of Way plans from L&D.

1157 Destroy upon Final Certification of the Project (or Project Advertisement).

Project Files, Consultant

Consultant Project Files are the result of an Request For Proposal (RFP). The RFP is mailed out to 15 vendors. Areas of expertise include Appraisals, Negotiations, and Relocations.

1153 Retain for five (5) years after expiration of the contract, then destroy.

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Division:
 Subunit: **Central Office Property Management**

Records Series Title and Description

RS# Scheduled Retention and Disposition

Conveyance Files

Conveyance Files pertain to real and personal property that for various reasons are determined to be excess and are disposed of. Property Management inventories, manages, and sometimes leases the property in addition to selling (conveyance). In theory residue property (such as landlocked or uneconomic remnant) should be in the inventory.

1141 Retain for five (5) years after relinquishment of property ownership by VDOT, then destroy.

Lease Files

Lease Files are kept in blue folders. VDOT is sometimes requested to lease property and the file is initiated. File is very similar to the Conveyance Files in appearance. File begins with appropriate documents that indicate that VDOT owns the property. The Division controls the original lease but the District manages the lease. Division and District files are not identical. Lease Tracking System (RUMS) is used to track leases of vacant land, houses, apartment complexes.

1140 Destroy five (5) years after the termination of the lease.

Survey Plats, Property Management

Surveys are made of primarily capital outlay properties and contain original and duplicate copies of materials. Such records may or may not be on file with a courthouse. Files typically originate in Districts.

1139 Retain for five (5) years after relinquishment of property ownership by VDOT, then destroy.

Turnpike Files

This series is a compilation of information primarily assembled by a VDOT employee in the late 1940's but it has been updated somewhat over the years. Turnpikes were established by charters and most have been incorporated into the current road system. This is a unique collection of materials from primary and secondary sources.

1145 Permanent. Retain in VDOT or transfer to the Library of Virginia.

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Subunit: **Central Office Reimbursement**

Records Series Title and Description

RS# Scheduled Retention and Disposition

Acquisition Status Printouts

1138 Maintain current printout only. Destroy previous printout upon verification of data.

These are printouts based on batch sheets created by Reimbursement Section and used for reference. The batch sheets (Acquisition Status Update Form RW-253-A) are sent to ISD for keying. Printouts are returned with batch sheets and they are then verified for accuracy.

Agreement After Certificate Index

1137 Retain until superseded, then destroy.

Index is used to handle various queries regarding Agreements After Certificates. Some of the information in this index includes: month and year; project #/ parcel #; landowner name; certificate #/ amount; agreement date; settlement amount; Warrant order / due date; certificate Rec.

Commissioner's Award Index

1136 Retain until superseded, then destroy.

Index is used to handle various queries regarding Commissioner's Awards. Some of the information recorded in this index includes: month and year; project #/ parcel #; landowner name; certificate #/ amount; "Condemn." Held; Settlement Amount; Warrant ordered / due date; RUMS; and Certificate "Rec."

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Division:
 Subunit: **Central Office Relocation**

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RS# Scheduled Retention and Disposition

Appeals Files, Relocation

1165 Destroy five (5) years after resolution of the appeal.

File documents the appeal process initiated by displacees who disagree with any phase or step of the relocation process such as low payments, too few benefits or lack of benefits. Materials contain a variety of formats including correspondence, attachments of various sizes, audio tapes, plan sheets, photographs, etc.

Correspondence, Federal Highway

1161 Retain for five (5) years or when outdated or superseded, whichever is later, then destroy.

Administration

FHA correspondence specific to relocation issues. The letters were sent to other disciplines within VDOT and forwarded to Relocation Section. Some letters may be project specific but mostly they are policy and procedure related.

Correspondence, Relocation

1162 Retain for five (5) years or when outdated or superseded, whichever is later, then destroy.

Materials pertaining to very general requests from researchers and do not easily fit into other categories. Some of the requests may be copies of a brochure or a manual or cooperation in a college research paper project, etc.

Correspondence, Relocation - with Other States

1166 Retain for five (5) years, then destroy.

Relocation related correspondence, such as requests for VDOT relocation brochures, forms, manuals, etc. for other state's Relocation program. Some materials do pertain to a specific displacee.

Reference Files, Relocation

1160 Replace materials as superseded. Review annually to identify and destroy material no longer administratively required.

Contains a variety of information pertaining to relocation issues: newspaper articles; moving cost schedules; etc.

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Reports, Annual - Relocation Section

1164 Retain until superseded, then destroy.

Statistical reports which used to be required but are now voluntary.

Reports, Federal Relocation

1159 Retain for five (5) years, then destroy.

These are copies of the Uniform Relocation Assistance and Real Property Acquisition Statistical Report forms which are submitted annually.

Studies, Highway Research

1163 Retain until superseded, then destroy.

Copies of studies pertaining to highway relocations and related topics that recommend or result in changes to policies, procedures or law. Includes reports completed by Virginia Highway & Transportation Research Council located at the University of Virginia in Charlottesville.

Workshop and Training Files

1167 Retain until superseded, then destroy.

Materials used for training District personnel in various aspects of relocation. Includes handouts and outlines for the classes.

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Division:
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RS# Scheduled Retention and Disposition

Consultant Files, Design

1106 Retain for five (5) years after expiration of the contract, then destroy.

These are the overall contracts for services. Design contract limit is \$750,000 at this time. These are usually two year contracts.

Consultant Files, UFI (Utility Field Inspection)

1105 Retain for five (5) years after expiration of the contract, then destroy.

These are the overall contracts for services. These are usually two year contracts. UFI contract limit is \$500,000 at this time.

Correspondence, Utility Section

1104 Retain for five (5) years or when outdated or superseded, whichever is later, then destroy.

Subjects pertain to general right of way information. Some correspondence with District Utilities Engineers on procedural matters; also a folder for each District; information on metric system, etc.

Project Files, Utility

1100 Retain for five (5) years after relinquishment of property ownership by VDOT, then destroy.

Files pertain to those projects that have utility adjustment work included in the highway plans (plan work for water and sewers is handled by Central Office) whereas typically other utility type work, i.e., electric, cable, gas, is handled by the District (Plan and Estimate).

Reference Files, General

1107 Replace materials as superseded. Review annually to identify and destroy material no longer administratively required.

This is a reference file that pertains to a wide range of subjects: general personnel issues; engineering matters and issues; seminars and conferences; exceptions to Accommodation Policy, etc.

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RS# Scheduled Retention and Disposition

Reference Files, Historical

1108 Replace materials as superseded. Review annually to identify and destroy material no longer administratively required.

Compilation of subject type files kept in the State Utilities Engineer's office. Includes: court/legal case with Potomac Electric Power Company (1960's) which dealt with prior rights and costs responsibility (copies of various documents pertaining to the case that VDOT won). Master Agreement with Utilities - 1960's - 1970's (current agreement is in General Reference File); selected polices for Utility section from the 1950's and 1960's which are still useful for costing information.

Utility Data Sheets

1109 Microfilm and destroy originals. Maintain one roll of microfilm in Central Office for reference and store the original (master) roll off-site. Destroy microfilm when outdated or superseded.

These files predate the current RUMS system.