

**RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 501-006
VIRGINIA DEPARTMENT OF TRANSPORTATION
LOCATION AND DESIGNS**

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition policies listed below:

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE: AUG 9 2011

SUPERSEDES SCHEDULE DATED: October 7, 1997

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POLICIES FOR RECORDS RETENTION AND DISPOSITION

1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, § 42.1-76, et seq. of the *Code of Virginia* for the retention and disposition of the records as stated on the attached page(s).
2. This schedule supersedes previously approved applicable schedules.
3. This schedule is used in conjunction with the Certificate of Records Destruction (RM-3 Form). A signed RM-3 Form must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 Form must be sent to Library of Virginia (LVA).
4. Any records created prior to 1913 must be offered, in writing, to LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from LVA. A copy of the offer must be attached to the RM-3 Form when it is submitted to LVA.
5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
6. All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations, or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.
7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance with 17VAC15-20-10, et seq. of the *Virginia Administrative Code*, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency or locality to do so.
8. Custodians of records must ensure that information in confidential or privacy-protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Ultimate destruction is accomplished through shredding, pulping, burning, and overwriting or physically destroying media. Deletion of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Records containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
9. Under the *Virginia Public Records Act*, § 42.1-79, LVA is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. LVA may purge select records in accordance with professional archival practices in order to ensure efficient access.
10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.

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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Airport: Highway Clearance Files</u> This series documents investigations that determine whether highway projects interfere with airport operations. This series may include, but is not limited to: plan sheets, location map, Federal Aviation Administration (FAA) forms.	001260	Retain 20 years then destroy.
<u>Analytical Aerial Triangulations (AAT)</u> This series documents the calculation process including the errors, adjustment points, variances, strip and block adjustments, photo control points, and models. This series may include, but is not limited to: processed strips, and control point sheets.	001261	Retain as long as administratively necessary then destroy.
<u>Construction Final Page</u> This series documents the permanent project plans which are part of the official project file maintained in Central Files. This series may include, but is not limited to: designs and surveys, field inspections, and right of way documentation.	001336	Retain permanently in agency.
<u>Cost Estimates, Interstate, and Appalachia</u> This series documents construction cost development estimates for sections of the interstate highway system. The process is based on federal requirements to receive funding.	001228	Retain permanently in VDOT or may be offered to the Archives, Library of Virginia for permanent retention.
<u>Daily Production Log (Log- Out book)</u> This series documents the daily log of all work send out, verified, and all inquiries for aerial photographs.	001268	Retain until superseded or obsolete then destroy.

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<p><u>Database, Data Log Stream, Location and Design(L&D) Reference Index Database</u></p> <p>This series documents the File Express Database which contains reference indexes on large Virginia streams. It identifies data, the data's location (i.e. Central Files, District Office etc); generating office (VDOT); American Association of State Highway and Transportation Officials (AASHTO); Federal Emergency Management Agency (FEMA) availability; media; and type of data.</p>	001248	Retain until superseded or obsolete then destroy.
<p><u>Drawings, Shop: Miscellaneous Special Drawings (Paper)</u></p> <p>This series documents special design shop drawings and the review and approval of shops drawings of special designs for a particular project. This series may include, but is not limited to: calculations, explanations, drawings, sound walls, impact attenuators, and specifications.</p>	001219	Retain permanently in agency.
<p><u>Project Files: Photogrammetric</u></p> <p>This series documents the mapping process and status of aerial surveys. This series may include, but is not limited to: status sheets, photographs, correspondence, control point values, transmittals, flight charts, alignment information, and models.</p>	001264	Retain 10 years then destroy.
<p><u>Studies: Flood Insurance (FIS) Files</u></p> <p>This series documents revisions and updates made to previous flood insurance (FIS) Flood Insurance Rate Maps (FIRM) for specific counties in Virginia. This series may include, but is not limited to: information/data on gauging stations and stream gauges.</p>	001253	Retain permanently in agency.



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RECORDS SERIES AND DESCRIPTION

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Willingness Posting Files

001282

Retain 3 years after project is completed then destroy.

This series documents information that pertains to notices providing project descriptions, project numbers, and funding issues of proposed roadways and construction projects to ascertain whether a public hearing is needed.