

**RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 501-007
DEPARTMENT OF TRANSPORTATION
FISCAL RECORDS**

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

AGENCY APPROVAL

AGENCY HEAD OR DEPUTY

Margaret A. Whaley

AGENCY RECORDS OFFICER

John Brent

STATE APPROVAL

STATE RECORDS ADMINISTRATOR

Conley A. Edwards

COMPTROLLER OR DEPUTY

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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 Disposal* (Form RM-3). A signed RM-3 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 must be sent to Library of Virginia (LVA).
4. Any records created prior to 1913 must be offered, in writing, to the LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from the LVA. A copy of the offer must be attached to the RM-3 form when it is submitted to the 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 insure that information in confidential or privacy protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Normally, destruction of confidential or privacy-protected records will be done by shredding or pulping. "Deletion" of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Electronic records must be "wiped" clean or the storage media physically destroyed.
9. Under the *Virginia Public Records Act*, (§ 42.1-79) the Library of Virginia is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. The Library 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
<p><u>Accounts Payable, Checks, Void</u> This series consists of information substantiating checks that have been voided and the actual voided checks.</p>	001483	Retain five (5) years then destroy by shredding.
<p><u>Accounts Payable, Construction - Maintenance Vouchers/Payments</u> This series consists of a monthly detailed estimate, code sheet, and work orders for projects used to review the numbers on the estimate. They provide supporting documentation for C-21 Contract payments.</p>	001466	Retain fifteen (15) years after final payment, then destroy.
<p>ACCOUNTS RECEIVABLE – ALL DISTRICTS & CENTRAL OFFICE</p>		
<p><u>Accounts Receivable Litigation (Collection Files)</u> This series documents legal efforts by VDOT to recover and collect payment for property damage, to include “Paid-in-Full” or deemed Uncollectible/Written-off. All the information is forwarded to Fiscal Central Office for processing (i.e. billing to, and payment from responsible parties) and retention of the record copy.</p>	001479	Retain three (3) years once Paid-in-Full, or Written-off, then destroy.
<p><u>Accounts Receivable – Permits and Bonds</u> This series documents and tracks money due to be paid to VDOT for land-use; utility permits; guarantee deposits/fees; and bonds. This information is received from the Residencies and forwarded to Central Office for processing into FMS, receipt/disbursement of monies involved, and retention of the record copies. This series is in the Districts only and supersedes series #1554 on schedule #501-003.</p>	000116	Retain three (3) years, then destroy.
<p><u>Accounts Receivable Property Damage and other Miscellaneous Receivables [Paid-in-Full files]</u> This series documents amounts owed by individuals who damage VDOT property, usually by traffic accident. This series consists of information originated at the residencies where the damage occurred, and may include photographs, State Police reports, estimates for repairs, etc.</p>	001480	Retain three (3) years after Final payment to VDOT then shred.

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GENERAL ACCOUNTING – ALL DISTRICTS & CENTRAL OFFICE		
<u>Cash Receipts Daily Log and Supporting Documentation[Districts Only]</u> This series documents receipt, logging, and copying of checks in the Cash Receipts section. This is used to control receipts and verify daily receipt of checks and deposits.	001431	Retain five (5) years, then destroy by shredding.
<u>Journal Voucher and Supporting Documentation</u> This series documents transaction requests for Journal Vouchers and Correction Vouchers and supporting back-up with authorizing signatures.	001473	Retain fifteen (15) years, then destroy.
PAYROLL – ALL DISTRICTS & CENTRAL OFFICE		
<u>Payroll Employee Changes/Status</u> This series documents changes, Form FD-TE-01, and status of employee payroll information and Worker’s Compensation cases. Changes are initiated for a variety of reasons (e.g., salary increase, tax withholding, change of address, new hire, termination, direct bank deposits etc., etc.), and FD204.	001413	Retain seven (7) years after employee separation then destroy by shredding.
<u>Payroll, W2 Forms</u> This series consists of year-end tax and wage statements for employees.	001565	Retain seven (7) years, then destroy by shredding.
<u>Payroll Processing File</u> This series consists of form FD-57, Semi-Monthly Employee Payroll Changes, payroll batches processed, pre- and post-audits, and various forms to support payroll.	000117	Retain three (3) fiscal years, then destroy by shredding.

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<u>Accounts Payable, Project Escrow Letters File</u> This series documents bank deposits for projects and is used to disburse escrow money or needed for legal proceedings, retainage, and claim settlement.	001456	Retain fifteen (15) years after final payment, then destroy.
<u>Accounts Payable, Tax Information (W-9 File, 972CG Report, 1099 File)</u> This series documents tax information required by, and provided to, the IRS on federal identification numbers and reportable income payments of vendors. This series consists of W-9's, 1099's, and 972 CG Reports.	001465	Retain seven (7) years after filing with the IRS, then shred.
ACCOUNTS RECEIVABLE – CENTRAL OFFICE		
<u>Accounts Receivable, Enhancement Program Files</u> This series documents and tracks invoices submitted to the Federal government, on behalf of localities, for enhancement program projects (e.g., landscaping, bicycle trails, etc.).	001454	Retain fifteen (15) years, after final payment, then destroy.
<u>Accounts Receivable, Federal Final Vouchers and Federal Land Division of Federal Highway Administration (FHWA) Files</u> This series consists of documentation of federal highway projects that is used to review the final total of federal aid contributed to a project for Final Voucher, voucher documentation for road building or improvements on land owned by the Federal government, and C-21, Contractor Voucher.	001449	Retain five (5) years after approval of Final Federal Voucher by FHWA then destroy.
<u>Accounts Receivable Daily Federal Aid Billing and Reports</u> This series consists of information pertaining to invoices submitted to the federal government for projects that receive federal aid.	001446	Retain five (5) years after payment is received, then destroy.
<u>Accounts Receivable, FEMA Disaster Files</u> This series documents the costs related to disasters that is used for billing purposes.	001448	Retain fifteen (15) years after final billing, then destroy.



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<u>Accounts Receivable, Federal Grants – Miscellaneous</u> This series documents billing/invoicing of Federal Highway Administration of completed “one-time” special projects and other ‘pass-through” grants.	001452	Retain five (5) years after final billing, then destroy.
<u>Project Accounts Receivable</u> This series documents agreement and billing of projects for which the county, town, city, or utilities contribute money for construction, or road maintenance.	001487	Retain five (5) years after receipt of final payment from customer then destroy.
ADMINISTRATION – CENTRAL OFFICE		
<u>Audit Reports and Correspondence File</u> This series consists of copies of audit findings, reports and correspondence relating to audit points and responses.	001526	Retain five (5) years then destroy.
FINANCIAL REPORTING – CENTRAL OFFICE		
<u>Annual Financial Statements</u> This series consists of a report summarizing the financial operation of VDOT for a Fiscal year such as Cash Basic, GAAP and GASB 34 versions.	001507	Retain 30 years.
<u>Annual Financial Statements Work Papers File</u> This series consists of supporting documentation and schedules used in preparation of VDOT Financial reports.	001513	Retain five (5) years, then destroy.

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<p><u>Financial Reports</u> This series consists of reports and supporting documentation created and issued by Fiscal Division for management and outside customers. These reports include the Annual Highway Statistical, Federal Information Processing Standards, AR Quarterly Statements, Statement of Operations, Monthly Vending, Yearly Interest Calculation report (CMIA), and Year-end Attachments, and other reports.</p>	001506	Retain five (5) years then destroy.
<p>GENERAL ACCOUNTING – CENTRAL OFFICE</p>		
<p><u>General Accounting and supporting documentation</u> This series documents electronic transfer of funds between agencies that is used to verify reason for entry into CARS and to balance bank statements with VDOT accounts. This series consists of Agency Transaction Vouchers, CARS Batch Header with approvals and supporting documentation.</p>	001429	Retain three (3) years or until audited by the Auditor of Public Accounts then destroy.
<p><u>Federal Wire Deposits and related Federal Expenditure Transfer Documentation</u> This series documents the recording of payments received from the Federal Highway Administration (FHWA) for entry into both FMSII and CARS. The series consists of FMS Federal Deposit Transactions, to include Journal Vouchers and CARS Batch Headers along with respective supporting documentation.</p>	000118	Retain fifteen (15) years after verification of transaction then destroy.

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<p><u>Bond Section Journal Vouchers and Workpapers</u> This series documents bond transactions recorded into the Financial Management System (FMSII). Typical bond transactions are the recordation of new and refunding bond issues, bond proceeds, related cost of issuance, defeasance of debt, and debt service payments. Bond transactions require proper authorization and are supported by various authoritative documents (i.e. Official Bond Statement, Bond Closing Documents, Bond Indentures and Trust).</p>	001421	Retain until bond is paid in full or life of bond, then destroy.
<p><u>Bond Statements and Correspondence</u> This series documents bond statements, in bound form, that are used for reference when entering data in FMS and CARS, preparing financial reports, and auditing purposes. This series consists of miscellaneous information on bond issues (e.g., laws governing bonds, general information, etc.). The purpose of the file is for reference only.</p>	001419	Retain three (3) years after project completion or bond closure/cancellation, then destroy.
<p><u>Other Cash Receipts and supporting documents</u> This series documents non-federal cash receipts recorded into both FMSII and CARS. This series consists of mail and window receipts, interagency transfer (IAT) payments, non-federal incoming wire transfers, credit card payments, toll facilities deposits (Dulles, George Coleman, and Powhite), electronic data interchanges (EDI) payments, and Central Office EDI petty cash payments. Each respective deposit has supporting documentation</p>	001424	Retain five (5) years, then destroy.

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<p><u>Daily Deposit Certificates and Supporting documents</u> This series documents daily bank deposits made to SunTrust Bank Account (CSTTR) for receipts from Central office and Districts' external and internal customers. Each deposit packet contains CARS Batch Header/FMS CSTTR Daily Deposit Summary form, Daily logs (Checks received via Mail, District deposits received via Mail, and Cash Office Window receipt log, FAD-9 reports, Daily DC Deposit Report, and screen prints of CARS View a Batch and Batch Balancing, screen print of FMS Deposit Regular entry, copies of checks, district's payment log report and backup documentation.</p>	001425	Retain five (5) years then shred.
<p><u>Returned Checks and Supporting Documentation</u> This series documents information regarding checks that could not be delivered by the Postal Service and were returned to the Treasury.</p>	001532	Retain five (5) years then shred.
<p><u>Letters of Credit</u> This series consists of Bank issued original Letters of Credit for Contractors doing work with VDOT that are held until satisfactory work completion, then returned to bank.</p>	001427	Retain original letters in Fiscal Vault until work is complete and is returned to bank. After completion and returned to bank retain copy in Fiscal Division for three (3) years then destroy.
<p><u>Trial Balance FMSI June Final</u> This series consists of summaries from the FMSI ledger code that identifies the ledger code (or account #), general description, and a dollar amount, used for information of each years June 30 final.</p>	001531	Retain 20 years then destroy.
<p>PAYROLL – CENTRAL OFFICE</p>		
<p><u>Payroll Certification File</u> This series consists of faxes from District Fiscal Managers certifying the accuracy of District payrolls, and Report 10 pay Register. Retained as a back-up for audits to justify what was released into the Commonwealth's Integrated Personnel and Payroll System (CIPPS).</p>	001493	Retain three (3) years then destroy by shredding.

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Major Equipment File

This series documents the type, cost, location, amount, and status of VDOT's major equipment. Information is stored in a network database and also on a hard copy form with an original signature. CO Fiscal Division retains records for Central Office Divisions with the exception of Materials Division and Research Council. File is retained as reference for tracking the purchase, location, and deposition of major equipment.

002993

Database (CO Fiscal Division only): Electronic copy saved as of fiscal year end and retained three (3) years, or until audit, whichever is longer. Hard Copy Documents (retained at CO Fiscal Division and Districts): Retain for one (1) year after the asset has been disposed, then destroy.

COMPLIANCE
CENTRAL OFFICE

Internal Compliance Reviews

This series consists of the following internal reviews conducted prior to official audits: IMS: Documents field offices (District, Residency and Area Headquarters) adherence to the IMS Polices and Procedures. ISSP Program: Documents the results of the District Integrated Supply Services Program (ISSP) adherence to the ISSP Contract. Capital Assets: Documents field offices adherence to Fixed Assets, Rental and Non-Rental Equipment, and Fuel Management Policies and Procedures.

002999

Retain for three (3) years, then destroy.



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<p><u>Inventory Management System (IMS) Database</u> This series consists of the Inventory Management System (IMS) that documents agency stock inventory. Road stock inventory includes, but is not limited to, gravel, sand, grass, seeds, guardrail, abrasives, etc. Used to track and monitor the purchase and use of stock inventory. Database backups are performed by the VDOT-VITA Operations Section, and occur on a nightly and weekly schedule.</p>	003003	Retain in database five (5) years, and then purge.
<p><u>IMS Reports - Annual/Monthly/Quarterly and Daily</u> This series consists of annual, monthly, and daily reports that track Inventory Management System (IMS) inventory and cost balances. Reports are also used to monitor IMS and to reconcile discrepancies with the Financial Management System (FMS).</p>	003000	VAX Reports: Retain for three (3) years, then destroy. WebIMS Reports: Selected reports that are printed in accordance with the IMS Policy & Procedures must be retained for three (3) years, then destroy.
<p><u>IMS - Request for Access (Forms ISD-35 and IMS-35)</u> This series consists of records created for security purpose to control or monitor individual access to the Inventory Management System (IMS). Used to monitor system users.</p>	002972	Retain for one (1) year after the individual no longer has access to the system, then destroy all tangible media by shredding or pulping. Electronic media copies should be retained only on network drives and must be deleted simultaneously with tangible media.
<p><u>IMS Test/Change File</u> This series documents the history of test results and changes made to the Inventory Management System (IMS) database. Used to track system testing and changes to ensure IMS will handle interaction with other systems.</p>	003004	Retain three (3) years, then destroy.
<p><u>IMS Transaction Documents</u> This series consists of original, signed documents for all transactions and updates to IMS inventory such as the VDOT-130 Stock Requisition/Issue Report.</p>	001624	Retain for three (3) years, then destroy.



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<p><u>Integrated Services Supply Program (ISSP) Transaction Documents</u> This series documents all ISSP requisitions of stock such as the VDOT-330 Non-Work Order Stock Requisition/Issue Report.</p>	001626	Retain for five (5) years after project completion, then destroy.
<p><u>Project Files</u> This series documents non-road building projects such as the Integrated Supply Services Program (ISSP) that are large in scope and have substantial funding. Records include deliverables, committee meeting minutes, proof of concept, and background materials. Files are retained for historical reference.</p>	003028	Retain for five (5) years after contract termination, then destroy.
<p><u>Travel Charge Card Program - Applications/Termination Requests</u> This series documents the request, approval, rejection, changes, and termination of employees' travel charge cards. Used to approve and terminate travel card account, record of employee agreement, and as a reference for approved cards. File includes, but is not limited to, Application, Forms CAIC-105 Cash Advance Agreement; CAIC-107 Request for Card; CAIC-108 Cancel Request; and CAIC-109 Cash Increase.</p>	002997	Retain three (3) years after termination of account, then destroy all tangible media by shredding or pulping. Electronic media copies should be retained only on network hard drives and must be deleted simultaneously with tangible media destruction. All records shall be destroyed within six (6) months of the expiration of the retention period. (<i>Code of Virginia</i> §42.1-86.1.)
<p><u>Travel Charge Card Program - Delinquent Accounts Review</u> This series documents Agency review and resolution of delinquent travel charge card accounts. File includes completed Form CAIC-110, Delinquent Account Review, and related correspondence and is used to ensure transactions are legitimate travel expenses, that cash advances are repaid timely, and that the delinquent account is paid.</p>	002995	Retain three (3) years, or three (3) years after the delinquent account is resolved, whichever is longer, then destroy by shredding or pulping. Electronic media copies should be retained only on network hard drives and must be deleted simultaneously with tangible media destruction. All records shall be destroyed within six (6) months of the expiration of the retention period. (<i>Code of Virginia</i> §42.1-86.1.)

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<p><u>Travel Charge Card Program - Litigation</u> This series documents allegations concerning the misuse of travel charge cards. Used to report card misuse to the Commissioner, Internal Audit, and law enforcement for litigation purposes.</p>	002998	Retain for five (5) years after final disposition, then destroy by shredding or pulping. Electronic media copies should be retained only on network hard drives and must be deleted simultaneously with tangible media destruction. All records shall be destroyed within six (6) months of the expiration of the retention period. (<i>Code of Virginia §42.1-86.1.</i>)
<p><u>Travel Charge Card Program - Monthly Reports</u> This series consists of computer printouts and electronic files detailing the monthly activity connected with VDOT employees' travel charge card accounts. The reports are reviewed to monitor misuse of travel cards, and verify active accounts.</p>	002996	Retain for three (3) years after review, then destroy by shredding or pulping. Electronic media copies should be retained only on network hard drives and must be deleted simultaneously with tangible media destruction. All records shall be destroyed within six (6) months of the expiration of the retention period. (<i>Code of Virginia §42.1-86.1.</i>)
<p><u>Travel Charge Card Program - Reconciliation and Statements</u> This series documents the monthly reconciliation of VDOT employees' travel charge card ATM transactions (cash advances and payments) to ensure Agency records balance with the bank records. File includes bank statement, daily cash usage reports, deposits, and reconciliation.</p>	002994	Retain for three (3) years, then destroy all tangible media by shredding or pulping. Electronic media copies should be retained only on network hard drives and must be deleted simultaneously with tangible media destruction. All records shall be destroyed within six (6) months of the expiration of the retention period. (<i>Code of Virginia §42.1-86.1.</i>)