

**RECORDS RETENTION AND DISPOSITION SCHEDULE
 VDOT Specific Schedule No. 501-008: Construction**

Agency: Department of Transportation
 Division: Construction 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

David R. Goh

Agency Head OR Deputy

Ruth Edmundson

Division Administrator

Bruce R. White

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State Approval

C. Prata Hoff, CRM

State Records Administrator

Comptroller or Deputy

APR 10 1998

Effective Date

RECORDS RETENTION AND DISPOSITION SCHEDULE VDOT Specific Schedule No. 501-008: Construction

Effective Date:

Agency: Department of Transportation

09-Apr-98

Division: Construction Division

Subunit: Central Office General

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Prequalification Card Files</u></p> <p>Background data supporting information input into the BAMS (Bidding, Analysis and Management System) Database. Card (Form #C-48) includes the following information: Vendor name and number, phone number, date application was received from the contractor, date application was returned to contractor for further information, date application was first evaluated, date application was sent to External Audit for financial assessment, date contractor was qualified, expiration date, debarred dates, rating factor, maximal capacity rating and classes the contractor is qualified for.</p>	1715	Retain for ten (10) years after last pre-qualification expiration date, then destroy.
<p><u>Prequalification Files</u></p> <p>Consists of applications and forms completed by contractors to be qualified to bid on work. VDOT issues a Certificate of Qualification annually to approved Contractors.</p>	1723	Retain for three (3) years after last pre-qualification expiration date, then destroy.
<p><u>Prequalification List - BAMS</u></p> <p>This list, generated monthly, is the final product of information gathered during the prequalification process. Includes contractor name, address, vendor identification, qualifications and date qualified.</p>	1718	Retain for two (2) years after prequalification, then destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Bid Analysis, Monthly</u></p> <p>Provides the Anti-Trust Section with information on market conditions which may lead to identifying unusual activities, bid rigging or other bid patterns. Statistical reports and analysis information is generated from Bidding, Analysis and Management System (BAMS).</p>	1738	Retain for three (3) years or until no longer needed, whichever is sooner, then destroy.
<p><u>Report, BAMS</u></p> <p>Provides current and historical contract statistical data to show authorized VDOT statistical information on contractor bid history. This information can also assist the Anti-Trust Section in identifying suspect activity from contractors.</p>	1713	Retain until no longer administratively useful, then destroy.
<p><u>Suspect Activity Case Study File</u></p> <p>Used to further evaluate suspect activity by contractors bidding on VDOT construction jobs. Each file generally contains a synopsis of the case, statistical BAMS report and other miscellaneous correspondence.</p>	1712	Retain 5 years after final disposition, and then for as long as administratively or legally required, then Destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Construction Claim Package</u></p> <p>Documents the settlement, if any, to a contractor. Contractors have 60 days after the final payment to file a claim. If there is disagreement, the contractor can schedule a hearing with the Commissioner. Information is accumulated from the residency, districts and the Chief Engineers analysis and is protected under the attorney/client privilege law.</p>	1714	Retain for three (3) years after final disposition, then destroy.
<p><u>FHWA Concurrence Claim File</u></p> <p>Documents the settlement of a contractor's claims against a federally-funded VDOT project for which Federal Highway Administration (FHWA) concurrence/approval is required before settlement can be made. Upon reaching a settlement with a project contractor, VDOT requests concurrence from the FHWA and approval of payment. Files are transferred to Central Files following reimbursement by the FHWA.</p>	1710	Retain for three (3) years after project is completed, then destroy.
<p><u>Manual, Construction and Maintenance Claims</u></p> <p>Serves as a guide for all VDOT department personnel who work with the documentation and administration of construction and maintenance claims. It provides terms and definitions and step-by-step instructions for analyzing claims.</p>	1708	Retain until superseded, then destroy.

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<p><u>Bid Tabulation File</u></p> <p>Provides information regarding the publication and sale of Bid Tabulations to Contractors. Documentation of the money collected is in the Cash/Check/Credit Card Report File.</p>	1754	Retain for two (2) years, then destroy.
<p><u>Daily Inventory</u></p> <p>Documents the daily inventory of project plans and plan sheets received, the amount shipped, the recipient and the price. Plans are sold to interested contractors bidding on projects.</p>	1717	Retain for three (3) years, then destroy.
<p><u>Daily Record of Copies Sold</u></p> <p>A hard copy of spread sheets showing the daily transactions of bid proposal contracts sold from the Plan Room. The spreadsheets contain the following information: date, purchaser, and the contract identification number. These are maintained for audit purposes. Includes a copy of the Cash/Check/Credit Card Report showing the plan holder list and verification that cash receipts were sent to Fiscal, Central Office.</p>	1751	Retain for three (3) years or until audit is completed, whichever is longer, then destroy.
<p><u>Debt Collections (Contracts)</u></p> <p>Documents items such as: collections demands on contracts, contract overpayments, payments for damages, non-payments, liens against contractors, and removing contractor's names from the Pre-qualification list.</p>	1755	Retain for three (3) years after resolution or closure, then destroy.
<p><u>Sale and Distribution of Publications</u></p> <p>Documents the sale or distribution of publications such as the Road and Bridge Specification Books and Standards and Specification Books.</p>	1752	Retain for one (1) year, then destroy.

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<u>Vendor Order Forms</u>	1730	Retain for three (3) years, then destroy.

Outside contractors, who are prequalified or have paid a fee to get on VDOT's mailing list for projects going to bid, can order plans and proposals. These order forms serve as backup data for orders shipped from the Stock Room.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Accounts Payable - Copies</u></p> <p>Reference copy showing office administrative costs.</p>	1768	Retain for three (3) years, then destroy.
<p><u>Budget Records, Work Papers/Reports</u></p> <p>Work papers and reports used to prepare budget forecasts and to control expenditures of budgeted funds.</p>	1732	Retain 3 years after the biennium to which the records relate, then Destroy.
<p><u>District Monthly Construction Cost File</u></p> <p>Tracks, by District and month, total construction costs. Shows total dollar amount of all projects located in a District. This information is used by the Chief Engineer and the Commissioner to make decisions about the 6 Year Plan.</p>	1765	Retain for five (5) years, then destroy.
<p><u>Final Estimate Log</u></p> <p>Provides quick reference to the date and processes used during finalization of a project. Used as a management tracking tool.</p>	1766	Retain 5 years after last entry is made in Log Book, then destroy.
<p><u>Inspector's Project Report, Semi-monthly</u></p> <p>Monitors projects to ensure they are on schedule and within budget. The Inspectors send reports to the Districts and the information is used to prepare a report for the individual Project Engineers.</p>	1767	Retain for one (1) year after final payment, then destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Library File</u></p> <p>Copies of documents and manuals that are used in the daily operation of VDOT Construction. Examples of information maintained are: Federal Directives, Central Office Construction to the Districts Directives, Specification Manuals, Code of Federal Regulations, Test Methods Manual, Road Design Manual, Highway Laws of Virginia, 6 Year Plan and Road and Bridge Standards.</p>	1764	Retain until outdated or superseded or no longer needed for administrative purposes, then destroy.
<p><u>Payroll Changes, Semi-Monthly (FD-57) - Copy</u></p> <p>Reference copies of changes to an employee's payroll earnings or information.</p>	1725	Retain for three (3) years or until audit is completed, whichever is longer, then destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Advertisements</u></p> <p>Notices of Advertisement showing the date bids are to be received. Provides information to contractors wishing to order copies of the proposals, specifications and plans.</p>	1722	Retain for three (3) years after the advertisement date, then Destroy.
<p><u>Bid Correspondence File</u></p> <p>Correspondence to and from bidders relating to construction bids. These files are used for reference by the Construction Section.</p>	1701	Retain for three (3) years after advertisement, then destroy.
<p><u>Bid Results Worksheets</u></p> <p>Lists the lowest bids for specific projects by month. Documents if the lowest bids were awarded or rejected. The Worksheets also document that the lowest bidder was notified and if the contract award had been recommended to VDOT Transportation Board; the date bond is required and when the bond is received.</p>	1702	Retain for three (3) years after award to successful bidder, closure, cancellation, then destroy.
<p><u>Certificate of Insurance File</u></p> <p>Documents that Contractors bidding on work have workmen's compensation and general liability insurance. Insurance coverage is generally obtained on a yearly basis, not on a per project basis. If a contractor is not insured they can not be awarded a contract. Information regarding the contractor's insurance is placed in the contract file regardless of whether it is yearly or project based coverage.</p>	1739	Retain for the life of the certificate or date of expiration, then destroy.
<p><u>Contract Project File - Award</u></p> <p>Documents the progress of various projects. Includes a copy of the contract and all information sent from the district pertaining to the progress of the project. These files are used by many VDOT Divisions (Traffic Engineering, L&D, S&B, etc.) as reference.</p>	1734	Retain until final disposition.

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<p><u>FHWA (Federal Highway Administration) Notice Distribution List</u></p> <p>Documents distribution of information received from the Federal Highway Administration to appropriate sections in VDOT. The original notice is maintained along with documentation as to who received a copy.</p>	1735	Retain for two (2) years or when no longer needed for reference purposes, then destroy.
<p><u>General File - Payment</u></p> <p>Serves as a Reference File for information such as: fuel prices for a specific month, monthly construction claims and current state-wide construction rates.</p>	1740	Retain for five (5) years, then destroy.
<p><u>Manual, Emergency Contract</u></p> <p>Contains general guidelines and instructions on forming a contract for emergency repairs and permanent restoration to Virginia's roadways.</p>	1700	Retain until superseded, then destroy.
<p><u>Plan File, Half size</u></p> <p>Copies of half-size plans, housed in the Contract Section, used as reference by any section. The originals go to the Design File Plan Room.</p>	1737	Retain for two (2) years after final disposition, then destroy.
<p><u>Project Progress File</u></p> <p>Used to track the progress of projects. This index card file was started in 1950 and was used until 1989 when an ACCESS Database was developed. All Contract Project information is contained in these index cards and the Project Progress Tracking Database.</p>	1736	Retain for five (5) years after final disposition, then destroy.

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Work Assessment File

1711

Retain for three (3) years after completion of the final program, then destroy.

Reflects hours and units for functions within sections to accomplish mission, goals and objectives. Used for the evaluation of future person-hour requirements and payroll allocations for Construction Section, Central Office.

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Bid Review File

1744 Retain for three (3) years, then destroy.

Documents the findings of the Estimating Staff related to the post-bid review on a monthly basis and consists of information such as: bid tabulations, estimators bid review, percent deviation report, project description and related work papers.

Emergency Contract File

1746 Retain for three (3) years after final disposition, then destroy.

Emergency Contracts are generally administered at the District level. This file contains all information and documentation needed to put together an Emergency contract for the Chief Engineer.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Contract File - Pre-Construction</u></p> <p>Documents authorization from the FHWA to advertise, receive Federal aid and coordinate the bid process and award.</p>	1724	Retain for three (3) years after final disposition of project, then destroy.
<p><u>Current Cost of Asphalt Cement (C-16)</u></p> <p>Tracks the current cost of asphalt cement and is used to adjust the cost of the project, if necessary.</p>	1748	Retain for one (1) year, then destroy.
<p><u>Project File - By Others</u></p> <p>Ensures that the project adheres to Federal and State specifications and to coordinate the project for construction authorization and award. These projects are created and administered by entities other than VDOT.</p>	1750	Retain for three (3) years after Federal Project agreement, then Destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Compliance Review File - Copies</u></p> <p>Documents that minority firms complete the work according to their contract with the primary contractor. VDOT EEO monitors the job sites to confirm that the minority firms are on the job site and performing the work as agreed.</p>	1705	Retain for one (1) year after final disposition, then destroy.
<p><u>DBE/WBE Activity Report (C-63 File)</u></p> <p>Tracks the minority participation for each project by actual amounts paid to minority contractors, use of minority participants and ensuring that the contractor follows the commitment contained in the contract. This information is required by the state and federal government.</p>	1760	Retain for three (3) years after final payment, then destroy.
<p><u>Disadvantaged Business Enterprise (DBE) Reference File</u></p> <p>This file is used as reference to monitor and track minority contractor contract participation.</p>	1761	Retain for two (2) years or until no longer administratively useful, whichever is longer, then destroy.
<p><u>Job Ad Files</u></p> <p>Documents the process for Labor Compliance as it relates to minority participant percentage goals for all bid proposals.</p>	1703	Retain for one (1) year after final disposition, then destroy.
<p><u>Minority Contractor Certification List</u></p> <p>Reference copy of a monthly list compiled by EEO to show the names of minority businesses who are certified by the State of Virginia. This list is used by contractors.</p>	1758	Destroy superseded lists when no longer needed for administrative purposes.
<p><u>Panel Hearing Files</u></p> <p>Document decisions made during a Panel Hearing. Panel Hearings are held if a primary contractor does not meet the project's minority participation goal on federally funded projects. The Hearing Panel is made up of VDOT-appointed members. This is not a legal hearing.</p>	1704	Retain for fifteen (15) years after panel hearing, then destroy.

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<u>Report, Award and Activity - Monthly and Year-End</u>	1759	Retain for fifteen (15) years after contract is awarded, then destroy.

Documents a contractor's minority participation on awarded contracts. This report is completed prior to the contractor starting the project. The year-end report lists the minority commitments and is sent to the Commissioner, the Governor, and federal and state government.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Contract File - Master</u></p> <p>Original Contracts are sent to the Plan Room for reproduction and assembly. Instructions are supplied by the Transportation Engineer responsible for the project. The Original Contracts are housed in the Plan Room before they are sent to the Central File.</p>	1743	Maintain until contract is executed, then Destroy.
<p><u>Plans and Proposals, Revisions</u></p> <p>Documents changes made to a proposal before bid and ensures that all contractors who received a proposal also receive revisions. It is important that contractors have the correct information to bid competitively.</p>	1719	Retain for three (3) years after final disposition, then destroy.
<p><u>Project Cards</u></p> <p>Tracks all phases of a construction project from First Submission to Completion. This documentation is used for reference. This same information is in an ACCESS database, however, the cards are used most often. The cards contain information on the route, county, project number, job designation number, designer, estimate number (assigned by ISD) and a completion date.</p>	1742	Retain for ten (10) years after completion of the project, then destroy.
<p><u>Project Showing Letter</u></p> <p>Information that is prepared and distributed either verbally or during a VDOT/Contractor Project Showing. For some projects, a mandatory showing is scheduled by VDOT and any contractor interested in bidding on the project may attend. This showing may consist of a meeting and/or site tour. Meeting minutes are prepared by the Residency Project Engineer and an attendance list is prepared and sent to Central Office Construction. Only contractors on the Attendance List may bid on the job.</p>	1709	Retain for three (3) years after final disposition, then destroy.

Commonwealth of Virginia
The Library of Virginia
Records Management and Imaging Services Division
(804) 692-3600

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><u>Construction Division Memorandum (CD)</u></p> <p>Documents Construction policy changes. The memorandums show new policies, procedures and instructional information which can become changes to the Construction Manual. Each CDS is assigned its own number by the Specification Section.</p>	1721	Retain until superseded, then destroy.
<p><u>Manual, Construction</u></p> <p>Serves as a guide to inform and assist construction inspection personnel in performing their duties and in the documentation of project activities. It is not a specification document and the content is not legally binding on any Department contract.</p>	1706	Retain until superseded, then destroy.
<p><u>Revision File, Project Specific</u></p> <p>Documents VDOT Road and Bridge Specifications revisions and project specific changes. Revisions are made when materials and/or procedures become obsolete or when a project has a specific need. This copy is maintained for reference.</p>	1757	Retain for two (2) after project is completed, then destroy.
<p><u>Road and Specifications</u></p> <p>Documents the guidelines established on what, where, when and how the types of materials and procedures are to be used in VDOT Construction Projects. The Specification Book is included in every contract that is awarded.</p>	1756	Offer one set of all books to the Archives. Destroy extra copies when no longer needed.