



LIBRARY OF VIRGINIA

Archives, Records, and Collections Services
800 E. Broad St., Richmond VA 23219
(804) 692-3600

**RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 501-026**
Transportation, Dept. of
Administrative Services Division

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 _____
AGENCY RECORDS OFFICER Lawrence K. Davis

STATE ARCHIVIST Sandra S. Trudewey
COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: JAN 05 2016

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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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Capital Outlay: Project File</u> This series documents the request, approval, design, and construction of new buildings and renovations for existing buildings at VDOT locations. This series may include, but is not limited to: requests, approvals, indexes, and supporting documentation.	003024	2 Years after equipment, facility, or property sold or no longer in use	Non-confidential Destruction
<u>Facilities: Building Inspections- Lead and Asbestos</u> This series documents building inspections conducted to determine the presence of asbestos or lead-based paint materials used to initiate abatement projects when funding becomes available. This series may include, but is not limited to: correspondence, reports, and forms.	003006	30 Years after last action	Non-confidential Destruction
<u>Facilities: Building Inspections- Safety</u> This series documents annual building safety inspections to identify and remove any safety or fire hazards. This series may include, but is not limited to: reports and supporting documentation.	003046	3 Years after end of calendar year	Non-confidential Destruction
<u>Facility Master Plan</u> This series documents long-term planning, construction, and renovations for VDOT facilities statewide. This series may include, but is not limited to: studies and recommendations.	003019	3 Years after end of calendar year	Non-confidential Destruction
<u>Injection Well Closure Files</u> This series documents the identification and closure of injection wells located on district property. This series may include, but is not limited to: reports and supporting documentation.	003132		Permanent, In Agency
<u>Inspection Files: Fresh Water Wells</u> This series documents site inspections of fresh water wells on district property, rest areas, VDOT area headquarters and residencies. This series may include, but is not limited to: reports and supporting documentation.	003134		Permanent, In Agency

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<u>Interior Renovation Project</u> This series documents the design, planning, and history of interior renovation work for VDOT buildings. This series may include, but is not limited to: plans and supporting documentation.	002983	1 Year after equipment, facility, or property sold or no longer in use	Non-confidential Destruction
<u>Lockout/Tagout File</u> This series documents approvals for live line work on machinery or equipment in the districts that have specific lockout/tagout procedures verifying that workers have been trained, acquired approval, and will follow specific procedures to lockout hazardous energy while working on electrical equipment. This series may include, but is not limited to: checklists and forms.	003140	3 Years after end of calendar year	Non-confidential Destruction
<u>Project Files: Historical Building Enhancement</u> This series documents assistance provided by VDOT in obtaining state funding for the renovation of historical buildings. This series may include, but is not limited to: correspondence and supporting documentation.	003031	5 Years after project completion	Non-confidential Destruction
<u>Project Files: Lead and Asbestos</u> This series documents demolition, and hazardous lead and asbestos abatement for Capital Outlay buildings. This series may include, but is not limited to: reports and supporting documentation	003026	30 Years after last action	Non-confidential Destruction
<u>Project Files: Maintenance Reserve</u> This series documents the request, approval, and cost analysis for maintenance and general upkeep projects on VDOT buildings. This series may include, but is not limited to: requests and supporting documentation.	003023	3 Years after project completion	Non-confidential Destruction



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<u>Records Management: Transfer Files (AS-94)</u> This series documents the transfer of boxes from VDOT to off-site storage. This series may include, but is not limited to: forms and supporting documentation.	002989	3 Years after expiration	Non-confidential Destruction
<u>Surface Water Discharge Files</u> This series documents the identification and closure of surface water discharge drains located on district property. This series may include, but is not limited to: reports and supporting documentation.	003133		Permanent, In Agency
<u>Testing File: Wastewater</u> This series documents laboratory test results on district wastewater entering the county sewer system. This series may include, but is not limited to: worksheets, reports and forms.	003146		Permanent, In Agency