



RECORDS RETENTION AND DISPOSITION SCHEDULE
 SPECIFIC SCHEDULE 510-026
 THE VIRGINIA DEPARTMENT OF TRANSPORTATION (VDOT)
 ADMINISTRATIVE SERVICES DIVISION

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

AGENCY APPROVALSTATE APPROVAL

AGENCY HEAD OR DEPUTY

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE

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CONDITIONS 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 before the Constitution of 1902 came into effect (January 1, 1904) 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."
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. 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.



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Capital Outlay

Capital Outlay – Budget Reports

Documents the preparation of budget forecasts. Includes Internal statistics and reports used to track and monitor expenditures.

3009

Retain for three (3) years after the biennium to which the records relate, then destroy.

Capital Outlay – Budget Request File

Documents VDOT's biennium capital outlay requests for new building construction, major renovations, or land purchases statewide. Includes budget requests submitted by the Districts. Used to create the official biennium funding request for submission to the General Assembly and the Department of Planning and Budget.

3044

Retain for three (3) years after the biennium to which the records relate, then destroy.

Capital Outlay – Plan Sheets, A- Builts, Specifications, Drawings

Documents the material, installation, and construction specifications for Capital Outlay projects. Files include plan sheets, shop drawings, and as-builts. Used to monitor work progress for new construction and renovations to VDOT buildings. File includes microfilm and hard copy records.

3014

Retain permanently. Refer to Capital Outlay Manual, Department of General Services, for records to be submitted to that agency.


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Capital Outlay – Project File

3024

Retain for two (2) years on site after construction complete according to as-built plans and then send to storage in Library of Virginia Records Center. Destroy one (1) year after final disposition of building,

Documents the request, approval, design, and construction of new buildings and renovations for existing buildings at VDOT locations. File is job specific, covering generally major projects, and is used for reference when ascertaining if contractor has built to code and VDOT specifications. Final disposition of building is documented by Permit to Demolish.

Capital Outlay – Project File Index

4154

Retain permanently within VDOT. Delete project file entries one (1) year after building is demolished.

Electronic index used to track records retention of Capital Outlay projects. The index contains a complete listing of projects sent to storage. When Permits to Demolish are received, the appropriate project is identified in the database and matched to permit in order to determine the destruction date.

Energy Management File

3016

Retain for as long as administratively useful, then destroy.

Documents the monthly electricity cost per kilowatt-hours for buildings occupied by VDOT which are listed on the Fixed Asset Accounting Control System (FAACS) inventory. Monthly reports are sent electronically to the Department of Mine, Minerals and Energy (DMME) for use in studies about reducing energy costs.



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<p><u>Facilities – Building and Land Disposal</u> Documents the demolition approval process for VDOT capital outlay buildings and land sales. Records verify the removal of buildings or real property from VDOT inventories.</p>	3011	Retain for three (3) years after final disposition of property, then destroy.
<p><u>Facilities – Building and Land Information</u> Documents detailed information on buildings and structures that are listed on the Fixed Asset Accounting Control System (FAACS). File shows parcel numbers, land and building description, square footage, and material used for construction. Information is retained as reference when reviewing the site for new construction or renovations. File does not apply to facilities covered under RS #3006.</p>	3007	Retain for three (3) years after building is demolished or building and land are no longer listed on the FAACS 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 destruction.
<p><u>Facilities – Building and Land Inventory</u> Documents VDOT's building and land inventory in both electronic and hard copy formats. Inventory includes Fixed Asset Accounting Control System (FAACS) Real Property Management System (RPMS) and VDOT's internal MS Access database. Hard copy printouts are retained for quick reference and to verify data.</p>	3021	Retain for two (2) years after next full inventory, then delete electronic copy and destroy hard copy.


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Facilities – Building Inspections, Lead and Asbestos
Documents inspections conducted on Capital Outlay buildings to determine the presence of asbestos or lead-based paint materials. Findings are used to initiate abatement projects when funding becomes available.

3006

Retain for thirty (30) years after abatement or last inspection, then destroy.

Facility Master Plan

Documents studies, recommendations and long-term planning for VDOT facilities throughout the state including Districts and Residencies. Studies are conducted to obtain an overall view of facility conditions for each District. Used to prioritize new construction and renovations when biennial budgets are requested.

3019

Retain for three (3) years, then destroy.

Project File – Historical Building Enhancement

Documents assistance provided by VDOT in obtaining state funding for the renovation of historical buildings.

3031

Retain for five (5) years after project is complete, then destroy.

Project File – Lead and Asbestos

Documents the demolition and hazardous abatement for Capital Outlay buildings. Used to track the inspection and abatement process and to ensure that VDOT specifications and Federal guidelines 40 CFS 745 and 40 CFR 61, 763, 84 are followed.

3026

Retain for thirty (30) years after abatement, then destroy.



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<u>Interior Renovation Project File</u> Documents the design, planning, and history of interior renovation work for VDOT Central Office Buildings.	2983	Retain for one (1) year after final disposition of property, then destroy.
<u>Project File – Maintenance Reserve</u> Documents the request and approval for maintenance and general upkeep projects on VDOT buildings. Used for cost analysis and to answer inquiries from Fiscal Division and the Department of Budget and Planning (DBP).	3023	Retain for three (3) years, then destroy.
<u>Term Contracts – Architectural</u> Documents contracts with architectural firms hired to perform specific tasks at VDOT. Projects generally do not involve construction and have limited budgets. File documents the contract approval process, monitors the budget, and tracks consultant or contractor payments.	3055	Retain for three (3) years after completion and/or termination of contract or agreement, or until audit, whichever is longer, then destroy.

Logistics and Program Management


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Credit Card – Application/Termination

2997

Documents the request, approval, rejection, and termination of employee use of corporate credit cards. Includes American Express Travel Card Accounts. Used to approve and terminate card use, and as a reference for approved cards.

Retain for one (1) year after termination of account. 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 destruction.

Credit Card – Delinquent Accounts

2995

Documents Agency billing of delinquent corporate credit card accounts, including American Express Travel Card accounts. Used to ensure that any unused advance money is repaid to VDOT.

Retain for three (3) years or until procurement review, then destroy.

Credit Card – Litigation

2998

Documents allegations concerning the misuse of corporate credit cards. Used to report card misuse to the Commissioner, Internal Audit, and law enforcement for litigation purposes. Includes American Express Travel Card accounts.

Retain for five (5) years after final disposition, and then destroy.



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<p><u>Credit Card – Reconciliation</u> Documents the reconciliation of VDOT employees' corporate credit card accounts. Used to ensure Agency records balance with the bank records for these accounts. File includes American Express Travel Card accounts.</p>	2994	Retain for three (3) years. 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 destruction.
<p><u>Credit Card – Reports</u> Computer printouts pertaining to activity connected with corporate credit card accounts. These reports are generated by credit card users. Used to monitor misuse of employee credit cards. File includes American Express Travel Card accounts.</p>	2996	Retain for one year, then destroy.
General Services		
<p><u>Employee Commuter Incentive Program</u> Documents employee enrollment and participation in the Commuter Incentive Program (CIP). CIP encourages employee use of mass transit, ridesharing, and carpooling. Used to track employee participation, and to verify agency compliance with the National Energy Policy Act of 1992.</p>	2965	Retain for three (3) years, then destroy. .


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Employee Suggestion Program Response

2979

Retain for three (3) years after review, then destroy.

Documents employee comments or suggestions that pertain to the Administrative Services Division (ASD). ASD reviews the comments and suggestions and forwards them to the Employee Suggestion Committee for review and/or implementation. Used as reference for inquiries from the committee and to ensure suggestions are not duplicated.

Policy and Procedure Manuals

2974

Retain one (1) year after superseded, then destroy.

Contains the master copy of Administrative Services Division (ASD) policy and procedure manuals. Manuals include but are not limited to, inventory, training, accounting, procurement, and Capital Outlay. Used as a reference for division policies and procedures.



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<p><u>Project File – Administrative Services</u> Documents projects such as IDMS and NAPA 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>	3028	Retain for five (5) years after project is completed, then destroy.
<p><u>Reproduction – Distribution of Cost Quarterly Report</u> Documents reproduction service charges for each District and Division located within the Agency. Used to verify reproduction service charges.</p>	2966	Retain for two (2) years, then destroy.
<p><u>Policy History File</u> Consists of the history of ASD policies and policy changes. Used as a reference for policy information and changes.</p>	2973	Retain permanently within VDOT.
<p><u>Reproduction – Maintenance History</u> Documents the cost history for maintaining and repairing reproduction equipment assigned to ASD. Used to evaluate equipment performance for future purchases and to answer billing inquiries from Fiscal Division.</p>	3018	Retain until disposition of equipment, then destroy.


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Work Orders

3052

Retain for three (3) years, then destroy.

Documents work orders for telephone installation, building maintenance, and reproduction assignments. File is used to schedule time with the requester, to answer inquiries about installation or repair work, and to verify billing charges.

Inventory and AccountingEquipment Lease Database

2971

Retain until disposition of equipment, then destroy.

Contains Agency leases for operating equipment, e.g., photocopiers. Used to track operating lease equipment and to notify the Department of Accounts (DOA) of operating equipment lease costs. This file is stored in a network database and in hard copy.

Facilities – Building Inspections, Safety

3046

Retain for three (3) years, then destroy.

Documents the annual warehouse safety inspection. Used to schedule preventive maintenance repair work and to identify and remove any safety or fire hazards.



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<p><u>Inter-Agency Transfer File (IAT)</u> Documents the reconciliation and solicitation of payments made to VDOT for stock items transferred to other state agencies. Used to ensure payments are collected. This process has been transferred to FMS11.</p>	2970	Retain for five (5) years or until audit is completed, whichever is longer, then destroy.
<p><u>Inventory – Physical Stock</u> Documents monthly physical inventory counts of warehouse stock items. Used to track warehouse stock and to correct discrepancies in the Purchasing and Inventory Management System (PIMS).</p>	2964	Retain for six (6) months after last entry or until audit, whichever is longer, then destroy.
<p><u>Inventory Cards</u> Documents the daily issuance and receipt of warehouse stock items. Used to identify missing items and to verify annual inventory counts. Provides quick reference for warehouse stock items, including name, description, and specifications. Records also called bin cards and stock index cards.</p>	3013	Destroy two (2) years after discontinuance of item; two (2) years after stock balance is transferred to new card or recorded under a new classification; or two (2) years after equipment is removed from VDOT control.
<p><u>Leases – Real Property</u> Contains VDOT leases for real property and rental space. Used to monitor and coordinate lease renewals.</p>	3042	Retain for five (5) years after expiration of lease, then destroy.



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Shipping Tickets

2963

Retain for six (6) months, then destroy.

Copies of shipping tickets and stock requisitions for warehouse stock items that are shipped to the Districts and other state agencies. Used as reference to track stock shipments.

Surplus Property

3048

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

Documents items for sale or surplus. Used to answer inquiries regarding the condition of the item and its dollar value. The information is useful when pricing future surplus items.

Major Equipment File

2993

Retain for three (3) years after disposition of equipment then destroy. Database records should be deleted when no longer needed.

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. File is retained as reference for tracking the purchase, location, and disposition of major equipment.



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Materials Lab Test File (Stock Items)

2962

Retain for one (1) year after test/receipt, then destroy.

Documents testing conducted by Material Division on stock items to ensure they need contractual specifications. File is also used to accept or deny stock shipment.

PIMS – Request for Access (ISD-35)

2972

Retain until employee 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 destruction.

Records created for security purposes to control or monitor individual access to the Purchasing and Inventory Management System (PIMS). Used to monitor system users.

PIMS Database

3003

Delete or destroy entire file or individual records when item no longer in inventory.

The Purchasing and Inventory Management System (PIMS) 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.


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PIMS Compliance Review File

2999

Retain until superseded or obsolete, then destroy.

Documents the history of test results and changes made to the Purchasing and Inventory Management System (PIMS) by ensuring forms are filled out correctly, turnover rates are appropriate, labels are correct and in place, training is conducted, and security is in effect

PIMS Reports (Annual/Monthly)

3000

Retain for three (3) years or until internal audit, then destroy.

Documents payment and receipts for inventory stock items statewide. Annual and monthly reports track Purchase and Inventory Management System (PIMS) inventory and cost balances. File is also used to monitor PIMS and to reconcile discrepancies with the Financial Management System (FMS) 11.

PIMS Reports (Daily/Weekly)

4029

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

Documents payment and receipts for inventory stock items statewide. Annual and monthly reports track Purchase and Inventory Management System (PIMS) inventory and cost balances. File is also used to monitor PIMS and to reconcile discrepancies with the Financial Management System (FMS) 11.



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Records and Information ManagementMicrographics – Equipment Repair Log

Documents the maintenance and repair of micrographic equipment.

3034

Retain until disposition of equipment, then destroy.

Micrographics – Microfilm Delivery Verification

Documents the delivery and receipt of microfilm jobs to the requestor. Verifies receipt of order.

3035

Retain for one (1) year after delivery, then destroy.

Micrographics – Microfilm Index

Index of microform records stored in Central Files. File is used to retrieve appropriate roll, aperture card, jacket, or cartridge on request.

3037

Delete index entry when corresponding record is destroyed.

Micrographics – Microfilm Processor Test File

Documents the Methylene blue test results required to validate the quality of the processing and development of microfilm. Used to verify compliance with the Library of Virginia (LVA) standards.

3040

Send original to Library of Virginia (LVA). Retain one (1) copy until film is destroyed.


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Micrographics – Quality Control File

3038

Retain for three (3) years, then destroy.

Documents density and resolution readings for processed film. Inspections and readings are conducted to ensure readability and reproducibility in order to comply with ISO and the Library of Virginia (LVA) standards for processing film.

Micrographics – Request File

3039

Retain for one (1) year, then destroy.

Documents requests from clients who wish to obtain microform or scanning reformatting services. Used for quick reference to determine the requestor and the description of the job.

Records Management – Certificate of Record Disposal (RM-3)

2987

Retain for three (3) years, then destroy.

Documents the original requests for the authorization to destroy Agency Records. Retained as reference to verify records destruction and as backup documentation in case of litigation.



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<p><u>Records Management – Retention and Disposition Schedules</u> Contains approved records retention and disposition schedules, including inventory and research materials. Used to control Agency records.</p>	3045	Retain until superseded, then destroy.
<p><u>Records Management – Transfer Files (AS-94)</u> Documents the transfer of records from VDOT to off-site storage. Used as a reference for tracking stored records. Includes a database for tracking box locations and printing ad hoc reports.</p>	2989	Retain for three (3) years after records are destroyed..
<p><u>Records Management – Transfer List and Receipt File Archived Records (RM-17)</u> Agency copy of records transfer forms (RM-17s) used to transfer records to the Library of Virginia (LVA) for archival preservation. File documents the transmittal date and content of transferred records for future reference.</p>	2988	Retain permanently.


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Reproduction – Equipment Production Reports

3027

Retain for one (1) year, then destroy.

Documents monthly and annual microfilm and reprographic equipment usage. Includes production reports and supporting documentation. Used to develop production statistics and employee evaluations.

ProcurementProcurement – Bid Reviews

3012

Retain for three (3) years after award to successful bidder, closure, cancellation, or until audit, whichever is longer, then destroy.

Documents the review of bids by the end-user prior to bid award. Aids in the identification of suitable vendors.

Procurement – Bid Tabulations

3008

Retain for three (3) years after award to successful bidder, closure, cancellation, or until audit, whichever is longer, then destroy.

Documents bids or proposals received from contractors or suppliers. Retained as reference for compiling future bid invitation lists.

Procurement – Professional Services Contract

3015

Retain for three (3) years after award to successful bidder, closure, cancellation, or until audit, whichever is longer, then destroy.

Documents the procurement of professional services. Ensures that each bid is processed fairly to ensure equal treatment for all competing bidders.



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Procurement – Traveling Requisitions

3049

Retain for three (3) years or until internal audit, then destroy.

Documents the history of purchasing requests for warehouse stock items sent to an outside purchasing authority. This information is used to forecast the rate of usage for stock items.

Procurement File

3029

Retain for three (3) years after award to successful bidder, closure, cancellation, or until audit, whichever is longer, then destroy.

Documents the purchase of supplies or services through the bid process. File is used to track and monitor VDOT purchasing contracts or agreements. File also includes procurement for Capital Outlay projects. File may contain contractor/consultant insurance certification documentation.

Vendor Applications

2976

Retain for three (3) years after vendor ceases doing business with the Agency. 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 destruction.

Documents the applications of vendors who want to do business with VDOT. Used to ensure fair selection of vendors, and as backup documentation for FMS11.



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Vehicles – Purchase or Lease Passenger-Type Vehicle
(CP-15)

2977

Retain for three (3) years, then destroy.

Documents the request and approval to lease or purchase passenger vehicles or trucks from contracted vendors for VDOT and other state agencies. Used to monitor the purchase or lease of passenger vehicles and trucks. The original form is submitted to Fleet Management for approval.