

RECORDS RETENTION AND DISPOSITION SCHEDULE  
VDOT Specific Schedule No. 501-036: Management Services

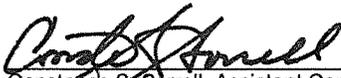
Agency: Department of Transportation  
Division: Management Services

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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 retention 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

  
\_\_\_\_\_  
Constance S. Sorrell, Assistant Commissioner for Administration

  
\_\_\_\_\_  
Larry D. Jones, Administrator, Management Services Division

  
\_\_\_\_\_  
Bruce L. White, CRM, Agency Records Manager

State Approval

  
\_\_\_\_\_  
C. Preston Huff, CRM, State Records Administrator

  
\_\_\_\_\_  
Comptroller or Deputy

Effective Date: NOV 13 2000

## RECORDS RETENTION AND DISPOSITION SCHEDULE VDOT Specific Schedule No. 501-036: Management Services

Effective Date: NOV 18 2000

Agency: Department of Transportation

25-Jul-00

Division: Management Services Division

Subunit: Central Office Management Services Division

Records Series Title and Description

RS# Scheduled Retention and Disposition

**Agency Strategic Plan**

4047 Retain permanently in agency.

Documents the Agency's biennial strategic plan. Includes goals, objectives, values, commitments, and measuring methods. Strategic plans are submitted to the Department of Planning and Budget division and the Commissioner's office. Used to demonstrate how the agency conducts business and how it serves its customers.

**Construction Claims Recommendation File**

4052 Retain for three (3) years after case closure, then destroy.

Documents the summary and recommendation submitted to the commissioner for claims filed against the Agency by construction contractors. Used to resolve claims, track trends, and may be used for litigation. May be subject to attorney client privilege.

**Construction Quality Improvement Program II - Database**

4042 Retain three (3) years or longer if administratively useful, then destroy entire file or individual records.

Database documents quality control monitoring of VDOT construction projects. Database is used to spot quality problems in the VDOT construction process and to recommend to appropriate divisions corrective action. Retained to show trending in the VDOT Construction Quality Improvement Program (CQIP II).

**Construction Quality Improvement Program (CQIP), Semi Annual Report**

4050 Retain for one (1) year, then destroy.

Documents a district's compliance with the Agency road and bridge specifications for construction and maintenance operations. Informs districts of their quality performance in following specifications, and how they compared statewide. These reports are generated from the CQIP II database. (See RS # 4042).

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<p><b><u>Construction Quality Improvement Program (CQIP), Annual Report</u></b></p> <p>Documents the Construction Quality Improvement Program (CQIP) strategies and accomplishments for statewide compliance to VDOT's road and bridge specifications for construction and maintenance operations. Used to identify problems, and recommend changes to road and bridge specifications in order to improve road construction and maintenance quality. This report is generated from the CQIP II database (See RS # 4042).</p>	4051	Retain for five (5) years, then destroy.
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<p><b><u>Facilitation Files</u></b></p> <p>Documents the assistance provided by Management Services Division to other Agency divisions in the development of their strategic planning, surveys, and process improvements. Also used as reference to answer inquiries from other divisions.</p>	4053	Retain for three (3) years, then destroy.
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<p><b><u>Field Background Documentation, Construction Quality Improvement Program II</u></b></p> <p>Background material collected by field engineers for the use with the Construction Quality Improvement Program (CQIP II) database (see RS #4042, CQIP II - Database). File includes; input documentation, field notes, checklist, project reports, pictures and correspondence. Used for data input and for verification when answering inquiries.</p>	4043	Retain for three (3) years, then destroy.
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<p><b><u>General Assembly Tracking Reports</u></b></p> <p>Summarizes the assignment, status, and action required for transportation-related Generally Assembly legislative issues, to include the weekly Legislative Status Report, a monthly Legislative Commitments Report, an annual Legislative Studies Report, and an annual Legislative Implementation Plan Report. Used to inform VDOT of legislative issues, and to answer inquiries from VDOT personnel and outside entities.</p>	4057	Retain as long as administratively necessary, then destroy.
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<p><u>Hiring Requests</u></p> <p>Documents critical hiring requests from divisions and districts statewide. Requests are monitored to ensure agency does not exceed the maximum employment requirement set by the General Assembly. Retained to answer inquiries from internal and external entities.</p>	4040	Retain for three (3) years, then destroy.
<p><u>Legislative Impact Statements</u></p> <p>Documents VDOT's position and impact assessment of potential legislative issues relating to the operation of the agency. Statements are forwarded to appropriate personnel, including the Commissioner, the Secretary of Transportation, the Governor, and the General Assembly. Retain to answer inquiries from internal and/or external entities.</p>	4044	Retain one copy permanently within agency.
<p><u>Mandate Assessment Files</u></p> <p>Documents assessments made to ensure that departmental mandates are in compliance with state and federal laws and regulations. Used to notify the Commission of Local Government of mandate changes.</p>	4054	Retain for five (5) years, then destroy.
<p><u>Maximum Employment Level (MEL) File</u></p> <p>Documents the agency's monthly and bi-monthly management employment level (MEL). Reports include the category, location, ceilings, and strengths of agency employment. MEL's are tracked in compliance with Executive Order Twenty-six (1998). Also tracks agency employment trends.</p>	4060	Retain for twenty-five (25) years, then destroy.
<p><u>Organization Guide</u></p> <p>A biennial publication that provides an understanding of divisions and districts structure and activities. Guide is submitted to the VDOT Commissioner and is distributed throughout VDOT and other state agencies. Retained as a history of VDOT's structure.</p>	4046	Retain permanently within agency.

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Policy and Regulation Analysis File

4049

Retain for twenty-five (25) years, then destroy.

Documents the facilitation of the Agency policies in accordance with state and federal regulations. Used to show state and federal compliance. Also serves as a history to the development of the Agency's policies, guidelines, regulations, standards and instructional manuals.

Project Plan Sheets, copies

4039

Retain as long as administratively valuable, then destroy.

Copies of project plan sheets. Used when conducting value engineering studies for VDOT road projects. Retain to answer inquiries from internal and external entities.

Studies - General Assembly

4045

Retain for one copy permanently within the Agency.

Documents studies conducted by the agency for the General Assembly. Studies help identify problems and provide corrective options. File includes all background and supporting documentation. Retain for historical value to document the change in the direction of the department and/or implementation of new procedures, and may be use as reference when conducting similar studies.

Studies - Value Engineering

4036

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

Documents value engineering (VE) studies conducted by Management Services Division for VDOT road projects. The studies are conducted prior to the start of the construction phase. The purpose of the study is to maximize cost effectiveness, improve road design and accelerate incorporation of new materials and construction techniques. Value Engineering recommendations are for Location and Design and other preliminary engineering divisions for their review and possible incorporation into the project during the design phase. Retain to answer inquiries from L&D and other internal and external entities.

Studies - VDOT Internal

4063

Retain one copy permanently within the Agency.

Documents internal studies conducted on specific areas of VDOT. Areas of studies include; privatization, industrial engineering, process improvement, and organization structure. Studies help identify problems and evaluate corrective action options. Retain to document the change in the direction of the department, and as reference when conducting similar studies.

Commonwealth of Virginia  
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<u>Studies - VDOT Internal (Background Material)</u> Documents background material collected as part of agency internal studies. (See RS # 4063). Used as reference to support studies.	4058	Retain for five (5) years, then destroy by shredding and pulping.
<u>Workload Planning System (WPS), Liaison File</u> Documents the development and assignment of codes for the WPS reports. To include Activity and Sub-activity Tables, Workgroup Tables, and Organizational Tables. Monitors workload planning, and provides WPS information to management for operations and staffing. (See VDOT General Schedule RS# 3923).	4061	Retain for three (3) years, then destroy.