



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. 501-059

Transportation, Dept. of
Civil Rights Division

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 _____

AGENCY RECORDS OFFICER Lawrence K. Davis

STATE APPROVAL

STATE ARCHIVIST Sandra J. Truesdell

COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: DEC 08 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>C-57 Project Employment Data Reports</u> This series documents the sex, race, and job classification of contracted employees working on state or federal road projects. This series may include, but is not limited to: C-57 Forms.	000194	3 Years after submission	Confidential Destruction
<u>Contractor Equal Employment Profiles</u> This series documents the Equal Employment Opportunity (EEO) profile of all contractors working with a district. This series may include, but is not limited to: forms and compliance documentation.	000195	3 Years after end of calendar year	Confidential Destruction
<u>DBE Certification File Disadvantaged Business Enterprises</u> This series documents the goals and the processes for certifying and prequalifying Disadvantaged Business Enterprises (DBE) for eligibility to contract with the department and its primary contractors. This series may include, but is not limited to: working papers, forms, and correspondence.	002562	3 Years after end of calendar year	Non-confidential Destruction
<u>DBE Compliance Review File</u> This series documents the formal review of DBE contractors to verify compliance with the program. This series may include, but is not limited to: forms and evaluations.	000197	3 Years after end of calendar year	Non-confidential Destruction
<u>Disadvantaged Business Enterprise (DBE) and Women Business Enterprise (WBE) C-63 Files</u> This series documents minority participation in each project by actual amounts paid to minority contractors. This series may include, but is not limited to: activity reports, quarterly DBE/SWAM payments and C-63 forms.	000196	3 Years after final payment	Non-confidential Destruction
<u>Equal Employment Opportunity (EEO) Construction Compliance Files</u> This series documents Equal Employment Opportunity (EEO) compliance for road construction and maintenance projects in each district. This series may include, but is not limited to: reviews, reports, forms and correspondence.	002555	3 Years after project completion	Non-confidential Destruction



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<u>Federal Highway Administration (FHWA) Supportive Services Files</u> This series documents services, conferences and reports that monitor and coordinate supportive FHWA programs. This series may include, but is not limited to: requests and approval documentation.	002581	3 Years after end of calendar year	Non-confidential Destruction
<u>Panel Hearings</u> This series documents information gathered and decisions made at primary contractor panel hearings. This series may include, but is not limited to: transcripts.	002556	5 Years after end of calendar year	Non-confidential Destruction
<u>Public Hearings - Transcript Reviews</u> This series documents public hearing reviews concerning VDOT projects to detect any racial or minority discrimination. This series may include, but is not limited to: transcripts and findings.	002558	3 Years after end of calendar year	Non-confidential Destruction
<u>Reports: Award, and Activity- Monthly and Year- End</u> This series documents a contractor's minority participation on awarded contracts completed prior to the contractor starting the project. This series may include, but is not limited to: reports and correspondence.	000198	5 Years after end of calendar year	Non-confidential Destruction
<u>Reports: Disadvantaged Business Enterprise (DBE) Award and Commitment</u> This series documents the distribution, monitoring, and trending of federal funds awarded to DBE's selected for state highway projects. This series may include, but is not limited to: reports	002547	3 Years after decision	Non-confidential Destruction
<u>Title VI Compliance Files</u> This series documents VDOT's District, Central Office, Sub-recipients (i.e., cities, counties, colleges, universities) and Metropolitan Planning Organization's compliance with Title VI of the Civil Rights Act of 1964 (42 USC 2000e) and other non-discrimination provisions. This series may include, but is not limited to: reports, forms, and correspondence.	002559	3 Years after end of calendar year	Non-confidential Destruction



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<u>Title VI Consultant Compliance Files</u> This series documents a consultant firm's compliance with Title VI of the Civil Rights Act of 1964 (42 USC 2000e) and other non-discrimination provisions of contracts with VDOT. This series may include, but is not limited to: reports, forms, and correspondence.	002557	5 Years after end of calendar year	Non-confidential Destruction
<u>Title VI Environmental Justice Review File</u> This series documents district and Metropolitan Planning Organization (MPO) compliance with Title VI of the Civil Rights Act of 1964 and Executive Order 12898, 11 Feb 1994. This series may include, but is not limited to: forms and correspondence.	000199	3 Years after project completion	Non-confidential Destruction
