


**RECORDS RETENTION AND DISPOSITION SCHEDULE
 SPECIFIC SCHEDULE NO. 501-090
 VIRGINIA DEPARTMENT OF TRANSPORTATION
 SECURITY AND EMERGENCY MANAGEMENT**

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

AGENCY APPROVALSTATE APPROVAL

AGENCY HEAD OR DEPUTY

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

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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 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." 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 insure 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.
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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RECORDS SERIES AND DESCRIPTION

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Critical Infrastructure Information (CII) and Sensitive Security Information (SSI)

Continuity of Operations Plan (COOP)

This series is a single document containing detailed instructions for the restoration of VDOT's operations in case disaster makes it impossible to continue business as usual at normal locations in a normal manner. The COOP contains procedures for but is not limited to three basic steps: initiation and assessment, planning, and risk mitigation. The scope of a COOP may include but exceeds the content of basic disaster and vital records plans. The plan is issued in limited edition, marked copies.

000026

Retain documents or entire plan until superseded, obsolete or rescinded, then retrieve all existing copies, then destroy by shredding.

Non-Disclosure Forms – External to VDOT

This series consists of but not limited to the following forms: CII/SSI Review, Release of CII/SSI, CII/SSI Company Non-Disclosure Agreements, CII/SSI Individual Non-Disclosure Agreements, Agreement for Release of CII/SSI, and Contract Language Related to CII/SSI. Originals of nondisclosure agreements signed by non-VDOT individuals or companies with access to CII/SSI information classified under policies issued by the Security and Emergency Management Division on behalf of VDOT should be filed separately from project and procurement files. The original copy should be filed in a secure location by SEMD either in paper or microform media.

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Microfilm when five (5) years old. Destroy paper records after quality control inspection verifies images by shredding. Retain for fifty (50) years, then destroy by shredding.



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<p><u>Non-Disclosure Forms – Internal to VDOT</u> This series consists of but is not limited to the following forms: CII/SSI Review, Release of CII/SSI, CII/SSI Company Non-Disclosure Agreements, CII/SSI Individual Non-Disclosure Agreements, Agreement for Release of CII/SSI, and Contract Language Related to CII/SSI. Originals of nondisclosure agreements signed by VDOT personnel with access to CII/SSI information classified under policies issued by the Security and Emergency Management Division on behalf of VDOT should be maintained separately from personnel security clearance files. Agreements for VDOT personnel should be filed in the individual's personnel file.</p>	000028	Retain for five (5) years after separation or until closure of unresolved personnel issues, then destroy by shredding.
<p>Security and Emergency Management - General</p>		
<p><u>Management Reports</u> This series documents the internal control or management of a specific function of the agency.</p>	004140	Retain as long as administratively necessary, then destroy.
<p><u>Manuals – Policies, Procedures, Guidelines</u> This series consists of all Security and Emergency Management policies, procedures, standards, and levels of service that act as direction for program operations.</p>	004141	Retain until superseded then destroy by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.



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<p><u>Red Team Activity Files</u> This series consists of paper and digital files detailing and describing the activities of VDOT's initial security responses to the 9/11/01 terrorist attack. Files include training materials, databases, correspondence, security reports, etc. This will be a defunct records series after all the records have been superseded by those created under records series 004132, 004142, 004146, 004147, and 004151.</p>	000002	Retain until superseded by new materials, then destroy by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p>Transportation Emergency Operations Center (TEOC)</p>		
<p><u>Emergency Operations Center Journal</u> This series consists of electronic journal entries describing employees' on and off duty performance during disasters, traffic incidents, and inquiries, actions taken regarding telephone requests, i.e. paging Commissioner, reporting dead animals to residencies, etc. The journal also contains information providing further non-public details of VOIS events not contained in the database.</p>	000020	Retain five (5) years after last action. Destroy concurrently with VOIS related information.



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<p><u>Virginia Operational Information System (VOIS) Data System</u> This series consists of database records containing reports of declared disasters, road accident, special events, weather events, police activities, construction schedules and locations, maintenance schedules and locations, and other pertinent data having an impact on traffic flow requiring notification to the public or local, state, and federal agencies.</p>	000016	Retain as long as administratively necessary, then delete or wipe individual record or entire file.
<p>Transportation Protective Security</p> <p><u>Budget: Virginia Infrastructure Physical Security Enhancement Program (VIPSEP)</u> This series documents the budgeting procedure for VIPSEP. It consists of working papers relating to the preparation of the budget and reports that deal with the control of these specific expenditures.</p>	000007	Retain for as long as administratively necessary, then destroy by shredding.
<p><u>Buildings: Access Control Records</u> This series consists of the documents that control access to specific buildings, departments, rooms or areas. Includes, but is not limited to, access lists, sign-in sheets, logs, registers, instruction books or emergency contact records.</p>	004129	Retain six (6) months after last entry or use, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Buildings: Guard or Security Monitor Files</u> This series consists of records, other than personnel or payroll, which track daily assignment, duties, responsibilities, use or control of contract building/department guards or security monitors.</p>	004131	Retain two (2) years after last entry or action, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.



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<p><u>Buildings: Personal Identification Records (Access and Security)</u> This series consists of records used to identify individuals having access to buildings, departments, rooms, or areas. Includes issue records, back-up photos and other supporting documentation.</p>	004132	Retain one (1) year after end of access or replacement of identification card, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Buildings: Security or Surveillance Recordings</u> This series consists of audiotapes, videotapes or digital video recordings (DVR) created during the monitoring of buildings or areas for security purposes.</p>	004133	If not required to support known investigations or litigation, reuse or destroy in thirty (30) days. Disposal reporting on Certificate of Records Disposal (RM-3 form) not required.
<p><u>Disaster Preparedness Exercises</u> This series documents security exercises held in conjunction with outside entities such as the National Guard, Homeland Security (National and Virginia), Federal Emergency Management Agency (FEMA), American Association of State Highway and Transportation Officials (AASHTO) Federal Highway Administration (FHWA), etc. Records include memoranda, training information, correspondence, scenarios, locations of safety related drills, time tables, response times, probable outcomes, areas of difficulties, descriptions of how difficulties were resolved, and areas for improvement.</p>	000008	Retain for three (3) years, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Emergency Planning and Related Records Master Copy</u> This series consists of the procedures for disaster, emergency action or contingency plans.</p>	004137	Retain two (2) years after superseded, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Emergency/Disaster Files - Declared, Undeclared, and Man Made</u> This series consists primarily of financial documents detailing the actions taken to maintain traffic flow and repair roads, bridges, etc. impaired by either natural causes (flood, fire, hurricane, etc.) or man (vandalism, intrusion, terrorism, etc.) whether the impairment is declared a disaster by the federal government, state, or local officials. 44CFR13.42</p>	004096	Retain for five (5) years from the date of final settlement of claim, and destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Employee Parking</u> This series consists of documents providing details regarding space assignments and employee authorizations for payroll deductions for parking. Used for reference during employee payroll audits and when space re-assignment is necessary.</p>	003041	Retain for as long as administratively necessary, then destroy.
<p><u>Fire Evacuation and other Evacuation Plans</u> This series consists of any fire or emergency evacuation plans for the building, office or department.</p>	000011	Retain as long as administratively necessary, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Grant Records (non-fiscal)</u> This series consists of all documents that are not of a fiscal nature, but relate to the acceptance of or approval of grants. Includes information concerning completion and conformance with grant stipulations.</p>	004139	Retain in accordance with terms of grant or three (3) years after termination, whichever is greater; then destroy.



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<p><u>Intelligence Documentation</u> This series consists of three types of intelligence reports: (1) Actionable intelligence received that requires a VDOT response; (2) General intelligence, which provides information that does not require a response; and (3) Terrorist-Related Activities Processing Procedure (TRAPP) information providing the details of specific potential or actual security problems and their resolution. Includes investigative files, including notes, statements, findings and recommendations.</p>	000014	Retain five (5) years after last action, then destroy by shredding.
<p><u>Mail: Delivery Verification File</u> This series consists of mail delivery verification to an employee for certified, registered, express or types of internal mail that require hand delivery and employee signature.</p>	003033	Retain for one (1) year after delivery, then destroy.
<p><u>Mail: UPS Pickup Record File</u> This series documents United Parcel Service (UPS) pickup of VDOT packages. The file includes shipping tickets and the daily shipping list used to track UPS deliveries.</p>	002980	Retain for one (1) year, then destroy.
<p><u>Mail: USPS Postage Permit File</u> This series documents VDOT's pre-paid postage account with the U.S. Postal Service (USPS) for first and third class mail. It is used as reference to monitor the account balance to ensure there are sufficient funds to cover mailing expenses.</p>	002981	Retain for three (3) years, then destroy.



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<p><u>Personnel Surety Criminal History Case Files - Contractors</u> This series consists of personnel security clearance records including background investigations, criminal history records, reports of investigating agencies, fingerprint files (paper and electronic forms), criminal history checks tracking databases, Authority for Release of Information forms, questionnaires, correspondence card indexes, and other records related to the issuance of a security clearance.</p>	000058	Retain for five (5) years after termination of contract, then destroy by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Personnel Surety Criminal History Case Files - Employees</u> This series consists of personnel security clearance records including background investigations, criminal history records, reports of investigating agencies, fingerprint files (paper and electronic forms), criminal history checks tracking databases, Authority for Release of Information forms, questionnaires, correspondence card indexes, and other records related to the issuance of a security clearance.</p>	004150	Retain for five (5) years after separation, retirement, or transfer for employees, then destroy by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Photographs and Negatives - Personnel Identification</u> This series consists of a collection of negatives, image files or photographs used for identification of employees, contractors or vendors and all associated paperwork and documentation.</p>	004143	Retain one (1) year after access terminated, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.



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<p><u>Photographs and Negatives Other Material</u> This series consists of a collection of photographs, negatives, image files, filmstrips and/or slides produced by the agency relating to physical security problems, security investigations, etc. These materials are not considered historically significant by the agency. The VDOT Public Affairs Office retains historically significant materials.</p>	004142	Retain as long as administratively necessary, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Physical Security: Audit and Compliance Reports</u> This series consists of several categories of reports including, but not limited to, documents recording the activity of VDOT security access cards (used to track card use for terminations and transfer.), incident reports for both normal security problems and those that may relate to possible or actual terrorist activity. The series provides documentation indicating compliance with all national, state, and internal physical security requirements.</p>	002957	Retain for one (1) year, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Physical Security: Incident Reports</u> This series consists of reports written by security personnel documenting security incidents within VDOT buildings and grounds. Includes, but is not limited to, suspicious persons, doors unsecured, elevator malfunctions, theft, or temperature fluctuations. The information is retained as backup documentation.</p>	003022	Retain for five (5) years after last action, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Physical Security: Surveys and Compliance Reviews</u> This series consists of survey results conducted within VDOT divisions, districts, and sections relating to facilities security awareness and preparedness. It also documents implementation of required changes in security processes, equipment, etc. The information is used to measure the need for and compliance of facilities in implementing security programs. The Security and Emergency Management Division audits the programs on an annual basis.</p>	004151	Retain as long as administratively necessary, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Procurement File (Copies) (Security Only)</u> This series consists of all documentation related to the purchase of supplies or services through the bid process including bid tabulation, Requests for Solicitation and Responses, minutes of bid conferences, etc. The documents are used to track and monitor VDOT purchasing contracts or agreements. The series may also, but is not required to, contain contractor/consultant insurance certification documents. Record copies of this documentation are retained in the Administrative Services Division, Procurement Group. See RS # 501-026-003015</p>	004146	Retain for three (3) years after award to successful bidder, cancellation, or until audit, whichever is longer, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Project Files: Security and Emergency Management (Copies)</u> This series consists of all documentation relating to Security and Emergency Management projects such as Access Control and installation of security equipment. The projects are large in scope and have substantial funding. Records include deliverables, committee meeting minutes, proof of concept, and background materials. Files are retained for organizational historical reference but have no historical value to individuals or agencies outside VDOT. Record copies of this documentation are retained in the Administrative Services Division, Procurement Group. See RS #s 501-000-4117 and 501-000-004071.</p>	004147	Retain for three (3) years after project is completed, then destroy all tangible media by shredding. Electronic media and copies should be retained only on network drives and must be deleted simultaneously with tangible media destruction.
<p><u>Security: Visitor Access File</u> This series documents the issuance of temporary identification badges granting visitors access to VDOT facilities. Vendors and other persons needing access to VDOT facilities for an extended period of time are provided VDOT Access Cards (See RS# 002959).</p>	002961	Retain for one (1) year, then destroy.
<p><u>Security: Visitor Parking</u> This series consists of contact information on visitors parking in VDOT parking areas. It is used to identify and monitor visitors and their vehicles visiting the Agency.</p>	003052	Retain for one (1) year after expiration, then destroy.



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RECORDS SERIES AND DESCRIPTION

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Training Materials

This series consists of all training materials developed internally, by other agencies, or by commercial firms that are used to provide knowledge and skills relating to the prevention of terrorism, mitigation of terrorist incidents, recovery from terrorist incidents at all levels of employment.

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Retain until superseded or discontinued, then destroy by shredding.