

NORTH TEXAS TOLLWAY AUTHORITY

RECORD CONTROL SCHEDULE

08/25/08
09/10/10
12/01/10
03/01/11
06/01/11
02/07/12
03/01/13
10/26/15
05/05/17

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INTRODUCTION

This *Record Control Schedule* indicates the length of time listed record series must be retained by the North Texas Tollway Authority (“NTTA”) before destruction. Though the NTTA is not subject to the schedules developed by the Texas State Library and Archiving Commission (“Commission”), this control schedule was developed to be consistent with those schedules. Commission schedules relied upon in developing the NTTA’s Record Control Schedule include applicable portions of the following: Local Schedule GR (Retention Schedule for Records Common to All Local Governments), Local Schedule PW (Retention Schedule for Records of Public Works and Services), and Local Schedule UT (Retention Schedule for Records of Utility Services).

The retention periods used in this schedule apply to all NTTA records regardless of the medium in which they are maintained. Some records listed in this schedule are maintained electronically in many offices, but electronically stored data used to create in any manner a record or the functional equivalent of a record as described in this schedule must be retained, along with the hardware and software necessary to access the data, for the retention period assigned to the record, unless backup copies of the data generated from electronic storage are retained in paper or on microfilm for the retention period.

Unless otherwise stated, the retention period for a record is in calendar years from the date of its creation. For example, a Record created on June 1, 2008, which has a retention period of two years, is to be retained until June 1, 2010. The retention period applies only to an official record as distinct from convenience or working copies created for informational purposes.

A NTTA RECORD MAY NOT BE DESTROYED IF ANY LITIGATION, PUBLIC INFORMATION REQUEST, OR AGENCY AUDIT INVOLVING THAT RECORD IS INITIATED PRIOR TO THE DESTRUCTION OF THE RECORD UNTIL THE COMPLETION OF THE ACTION AND THE RESOLUTION OF ALL ISSUES THAT ARISE FROM IT OR UNTIL THE EXPIRATION OF THE RETENTION PERIOD OF THE RECORD, WHICHEVER IS LATER.

If a record described in this schedule is maintained in a bound volume of a type in which pages were not meant to be removed, the retention period, unless otherwise stated, dates from the date of last entry. If two or more records listed in this schedule are maintained together and are not severable, the combined record must be retained for the length of time of the component with the longest retention period. A record whose minimum retention period on this schedule has not yet expired and is less than permanent may be disposed of if (i) it has been so badly damaged by fire, water, or insect or rodent infestation as to render it unreadable; (ii) portions of the information in the record have been so badly damaged by fire, water, or insect or rodent infestation as to render it unreadable, or (iii) portions of the information in the record have been so thoroughly destroyed that remaining portions are unintelligible. If the retention period for the record is permanent in this schedule, authority to dispose of the damaged record must be obtained from the Records Management Officer.

Certain records listed in this schedule are assigned the retention period of AV (as long as administratively valuable). This retention period affords the maximum amount of discretion in determining a specific retention period for the record described. Careful attention needs to be given to the proper management of such records to avoid their accumulation.

EXPLANATION OF FIELDS

RECORD NUMBER – The record number is the unique identifier for that particular record type. Except for those record numbers which are followed by an asterisk (*), the record number was assigned by the Texas State Library and Archives Commission (“Commission”). For those record numbers that include an asterisk (*), the record number was assigned by the NTTA. Such record numbers are also preceded by a capital “N”.

RECORD TITLE – The record title is a general description of the records to be retained.

RECORD DESCRIPTION – The record description field provides a more detailed description of the record title.

RETENTION PERIOD – The retention period is divided into three separate subgroups: (i) Office, (ii) Storage, and (iii) Total. The information contained in the “Total” field is the length of time the record is to be retained by the NTTA. The “Office” and “Storage” fields indicate when a record is to be transferred from the office location and archived until the retention period has elapsed. Adding the retention period of the “Office” and “Storage” fields together equals the “Total” retention period. For example, if the “Total” retention period is 5 years, it may be advisable that after one year, the record should be moved from the record holder’s office to a central storage location for the remainder of the retention period. Thus, the “Office” field would contain the number 1, the “Storage” field would contain the number 4, and the “Total” field would contain the number 5.

REMARKS – The remarks column contains citations to applicable federal or state laws or regulations and/or other information regarding the record’s retention requirements.

EXPLANATION OF CODES

AC	After Closed (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date.
AV	As Long as Administratively Valuable: The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the NTTA has been satisfied.
CE	Calendar Year End: December 31.
FE	Fiscal Year End: December 31.
LA	Life of Asset: The record is retained until the disposal of the asset.
US	Until Superseded: The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable. For example, an authorization for direct deposit would be superseded on the date the last deposit is made under the authorization.

PERMANENT: A record that possesses enduring legal, fiscal or administrative value and must be preserved permanently.

PART 1: ADMINISTRATIVE RECORDS

SECTION 1-1: RECORDS OF GOVERNING BODIES

RECORD NUMBER		RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
				OFFICE	STORAGE	TOTAL	
1000-01	AGENDAS		Open Meetings.			PERMANENT.	
1000-01a	AGENDAS		Closed Sessions.			2 years.	[By law - Government Code, Section 551.104(a).]
1000-02	DEDICATIONS					PERMANENT.	
1000-03	MINUTES (the use of the term audio tape in (c)-(e) includes videotapes with sound).						
1000-03a	MINUTES		Written minutes.			PERMANENT.	
1000-03b	MINUTES		Notes taken during meetings from which written minutes are prepared.			90 days after approval of minutes by the governing body	
1000-03c	MINUTES		Audio tapes of open meetings, except as described in (d), for which written minutes are not prepared.			PERMANENT.	
1000-03d	MINUTES		Audio tapes of workshop sessions of governing bodies in which votes are not made and written minutes are not required by law to be taken			AV.	
1000-03e	MINUTES		Audio tapes of open meetings for which written minutes are prepared.			90 days after approval of minutes by the governing body.	
1000-03f	MINUTES		Audio tapes of closed meetings.			2 years.	[By law - Government Code, Section 551.104(a).]

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1000-03g	MINUTES	Supporting documentation - One copy of each document of any type submitted to a meeting of the Board of Directors for consideration, approval, or other action; if such action is reflected in the minutes of the meeting.			2 years.	Retention Notes: a) The retention periods for many of the documents submitted to a governing body for action are established elsewhere in this schedule and are often longer than the 2-year retention period for supporting documentation set here. The 2-year retention requirement does not override a longer retention requirement set elsewhere, but rather is meant to ensure that all documents presented for action by a governing body are retained at least two years. This schedule does not require that supporting documentation be maintained together, but the retention by the clerk or secretary to the governing body of one set of the documents submitted at each meeting for two years would ensure satisfaction of the minimum retention requirement. Clerks or secretaries to governing bodies should exercise caution in disposing of supporting documentation to avoid destruction of the record copy of a document for which they are custodian before the expiration of its retention period. b) Review before disposal; some supporting documentation, not already required to be maintained permanently elsewhere in this schedule, may merit permanent retention for historical reasons.
1000-04	OPEN MEETING NOTICES				2 years.	
1000-05	ORDERS AND RESOLUTIONS (including those that have been repealed, revoked, or amended).				PERMANENT.	
1000-06	PETITIONS	Petitions from the public to the Board of Directors.			Consideration of the petition + 2 years.	
1000-07	PROCLAMATIONS				2 years.	

SECTION 1-2: GENERAL RECORDS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1000-21	AFFIDAVITS OF PUBLICATION (including any accompanying clipping proofs or tear sheets).					
1000-21c	AFFIDAVITS OF PUBLICATION	Published legal notices.			2 years.	
1000-24	COMPLAINTS	Complaints received from the public by the Board of Directors or any officer or employee of the NTTA relating to government policy.			Resolution or dismissal of complaint + 2 years.	Retention Note: The 2-year retention period applies only to complaints of a general nature that do not fall into a different category of complaint noted in this schedule.
1000-25	CONTRACTS, LEASES, AND AGREEMENTS	Contracts, leases, and agreements, including reports, correspondence, performance bonds, and similar records relating to their negotiation, administration, renewal, or termination, except construction contracts (see item number 1075-16).			7 years after the expiration or termination of the instrument according to its terms.	Retention Note: As set forth in S.B. 20, Sec. 441.1855 – Retention of contract and related documents by state agencies.

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1000-26	CORRESPONDENCE AND INTERNAL MEMORANDA					Retention Note: The minimum retention period for correspondence or internal memoranda in categories (a) and (b) directly linked to another record series or group listed in this schedule is that assigned to the other group or series. For example, a letter from an external auditor regarding an audit of a local government's financial records should be retained for the retention period given under item number 1025-01(e); a letter concerning a workers compensation claim should be retained for the period given under item number 1050-32, etc. The retention periods that follow are for correspondence and internal memoranda that do not readily fall within other record groups. Retention Note: Review before disposal; some correspondence of this type may merit permanent retention for historical reasons.
1000-26a	CORRESPONDENCE AND INTERNAL MEMORANDA	Administrative – Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, or modification, or redefinition of the programs, services, or projects of the NTTA and the administrative regulations, policies, and procedures that govern them.			3 years.	
1000-26b	CORRESPONDENCE AND INTERNAL MEMORANDA	General – Incoming/outgoing and internal correspondence pertaining to the regular and routine operation of the policies, programs, services, or projects of the NTTA.			1 year.	

RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL
1000-26c	CORRESPONDENCE AND INTERNAL MEMORANDA	Transitory - Records of temporary usefulness that are not an integral part of a records series of the NTTA, that are not regularly filed within the NTTA's record keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the NTTA or in the preparation of an ongoing records series.		AV.
1000-27	DEEDS (including title opinions, abstracts and certificates of title, title insurance, documentation concerning alteration or transfer of title, and similar records evidencing public ownership of real property).			Disposal of property + 5 years
1000-28	EASEMENTS	Documentation relating to easements and rights-of-way for public works or other purposes, including releases.		Expiration of easement + 5 years.
1000-29	INSURANCE POLICIES	Liability, theft, fire, health, life, automobile, and other policies for NTTA property and personnel, including supporting		4 years after expiration or termination of the policy according to its terms, or until

Retention Note: Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of the NTTA's functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communications, but not for the documentation, of a specific transaction.

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
		documentation relevant to the implementation, modification, renewal, or replacement of policies.			all outstanding claims are closed, whichever is longer.	
1000-30	LEGAL OPINIONS	Legal opinions rendered by counsel for the NTTA or the Attorney General, including any written requests for opinions, concerning the governance and administration of the NTTA.			3 years.	Retention Note: Review before disposal; some opinions may merit permanent retention for historical reasons.
1000-31	LITIGATION CASE FILES					
1000-31	LITIGATION CASE FILES (including all cases to which the NTTA is a party unless the case file is of a type noted elsewhere in this schedules).				AC after final disposition of the case + 1 year.	Retention Note: Review before disposal; some case files may merit permanent retention for historical reasons.
N1000-31a*	LITIGATION CASE FILES	Consent decrees, settlement agreements, and other releases or resolutions of liability.			PERMANENT	
1000-32	MINUTES (STAFF)	Minutes of internal staff meetings.			AV.	
1000-33	NEWS RELEASES				AV.	
1000-34	PUBLIC INFORMATION REQUESTS	Includes all correspondence and documentation relating to requests for records under the Public Information Act (Chapter 552, Government Code).				

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	REMARKS
1000-34a	PUBLIC INFORMATION REQUESTS	Non-exempted records.		Date request for records fulfilled + 1 year.	
1000-34b	PUBLIC INFORMATION REQUESTS	Exempted records.		Date of notification that records requested are exempt from disclosure + 2 years.	
1000-35	ORGANIZATIONAL CHARTS			Until superseded.	
1000-36	PERMITS AND LICENSES	Records documenting the application for and the issuance of permits and licenses by the NTTA for sales, solicitation, facility usage, and similar activities. Does not include permits and licenses issued for the construction of or alterations to real property, for those relating to health and sanitation, or for those issued by police or fire departments listed in other commission schedules.		Expiration, cancellation, revocation, or denial + 2 years.	
1000-37	PHOTOGRAPHS, RECORDINGS, AND OTHER NON-TEXTUAL MEDIA	Photographs, photographic scrapbooks, slides, sound recordings, videotapes, posters, and other non-textual media that document the		PERMANENT, but see retention note.	Retention Note: Most photographs and other non-textual media of the types described must be retained permanently for historical reasons, but latitude is allowed to the records management officer and the custodians of records to determine to what extent a particular photograph, for example, documents the history and activities of the local government. If it is

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
		history and activities of a local government or any of its departments, programs, or projects except such records noted elsewhere in this or other commission schedules.				determined that it does not, it need be kept only as long as administratively valuable.
1000-38	POLICY AND PROCEDURE DOCUMENTATION	Executive orders, directives, manuals, and similar documents that establish and define the policies, procedures, rules, and regulations governing the operations or activities of the NTTA as a whole or any of its departments, programs, services, or projects.			Until superseded + 5 years.	Retention Note: Review before disposal; some documentation of this type may merit permanent or long-term retention for historical or legal reasons.
5825-07	DISASTER PREPAREDNESS AND RECOVERY PLANS	Records related to the protection and reestablishment of data processing services and equipment in case of a disaster.			One copy of each PERMANENT	
1000-39	PUBLICATIONS	Pamphlets, reports, studies, proposals, and similar material printed by or for the NTTA or any of its departments, subdivisions, or programs and distributed to or intended for distribution to the public on request and departmental or program newsletters			One copy of each PERMANENT.	Retention Note: The following categories of printed material, whether distributed publicly or internally, are exempted from the retention period and may be disposed of at option; (a) educational or solicitation matter provided by charitable or public awareness organizations (e.g., United Way, American Heart Association); and (b) public service leaflets or flyers whose contents are of a general nature and not specific to the government distributing them, beyond the inclusion of an address, telephone number, office hours, and similar information (e.g., a flyer detailing tips on preventing storm water contamination).

		RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	REMARKS
		designed for internal distribution.				
1000-40	RECORDS MANAGEMENT RECORDS					
1000-40a	RECORDS MANAGEMENT RECORDS	Records control schedules (including all successive versions of and amendments to schedules).			US + 10 years.	
1000-40b	RECORDS MANAGEMENT RECORDS	Records documenting the destruction of records under records control schedules.			10 years.	
1000-40c	RECORDS MANAGEMENT RECORDS	Lists or inventories of the active and inactive records created or received by a local government.			US.	
1000-40d	RECORDS MANAGEMENT RECORDS	Plans and similar documents establishing the policies and procedures under which a records management program operates, including records protection and disaster and preparedness recovery plans.			Us. + 5 years.	
1000-41	REPORTS AND STUDIES (NON-FISCAL)					

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1000-41a	REPORTS AND STUDIES (NON- FISCAL)	Annual, sub-annual, or irregularly prepared reports, performance audits, or planning studies submitted to the Board of Directors or Executive Director or by the NTTA to a state agency, as may be required by law or regulation, on the non-fiscal performance of a department, program, or project or for planning purposes, including those prepared by consultants under contract with the NTTA, except documents of similar types noted in this schedule. (1) Annual reports. (2) Special reports or studies prepared by order or request of the Board of Directors or considered by the Board (as reflected in its minutes) or ordered or requested by a state agency or a court. (3) Special reports or studies prepared by order or request of the Executive Director. (4) Monthly, bimonthly, quarterly, or semiannual reports.				Retention Note: Review before disposal; many records of this type may merit permanent retention for historical reasons.
					(1) PERM. (2) PERM.	
					(3) 5 years.	
					(4) 3 years.	

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1000-41b	REPORTS AND STUDIES (NON-FISCAL)	Activity reports compiled on a daily or other periodic basis pertaining to workload measures, time studies, number of public contacts, etc., except reports of similar types noted in this schedule.			1 year.	
1000-42	WAIVERS OF LIABILITY (including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by NTTA policies, etc.).				2 years from date of cessation of activity for which the waiver was signed.	Retention Note: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See item number 1000-20 in this schedule.
1000-43	CONFLICTS DISCLOSURE STATEMENTS AND CONFLICT OF INTEREST QUESTIONNAIRES	Conflicts disclosure statements and conflict of interest questionnaires submitted by NTTA officers or vendors and other persons for filing with the NTTA in accordance with the requirements of Chapter 176, Local Government Code.			Date of filing + 3 years.	
1000-44	LOCAL GOVERNMENT OFFICERS, LISTS OF	Lists of NTTA officers prepared and made available to the public with whom conflicts disclosure statements and conflict of interest questionnaires are filed in accordance with the requirements of Chapter			Until superseded + 3 years.	

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1000-45	CALENDARS, APPOINTMENT AND ITINERARY RECORDS	176, Local Government Code. Calendars, appointment books or programs, and scheduling or itinerary records, purchased with NTTA funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.			CE + 1 year.	Retention Note: A record of this type purchased with personal funds, but used by a public official or employee to document his or her work activities may be a local government record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.
1000-46	INSURANCE CLAIMS	Claims related to liability, theft, fire, health, life, automobile, and other insurance policies.			AC – after resolution of claim + 3 years.	
1000-47	CUSTOMER SURVEYS	Surveys returned by the customers or clients of the NTTA, and the statistical data maintained rating a government's performance.			AC + 3 years.	
1000-48	CHARGE SCHEDULES/PRICE LISTS	Schedules of prices charged by the NTTA for services to the public or other governments, including any documentation used to determine the charges.			Until superseded + 3 years.	

PART 2: FINANCIAL RECORDS

SECTION 2-1: FISCAL ADMINISTRATION AND REPORTING

RECORD NUMBER		RETENTION PERIOD				REMARKS
		RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1025-01	AUDIT RECORDS (by both internal and external auditors)					
1025-01a	AUDIT RECORDS (by both internal and external auditors)	Annual or biennial cumulative audit.			PERMANENT.	
1025-01b	AUDIT RECORDS (by both internal and external auditors)	Annual, biennial, or other periodic audit of a department, program, fund, or account if included in a cumulative audit under (a).			2 years.	
1025-01c	AUDIT RECORDS (by both internal and external auditors)	Annual, biennial, or other periodic audit of a department, program, fund, or account if not included in a cumulative audit under (a).			PERMANENT.	
1025-01d	AUDIT RECORDS (by both internal and external auditors)	Special audits ordered by the Board of Directors, a court or grand jury, or mandated by administrative rules of a state or federal agency.			PERMANENT.	
1025-01e	AUDIT RECORDS (by both internal and external auditors)	Working papers, summaries, and similar records created for the purposes of conducting an audit.			AV.	

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1025-02	BANK SECURITY RECORDS	Records documenting the pledging of bonds or securities by banks serving as depositories for public funds including depository contracts, security pledges and statements, surety bonds, and similar records.			4 years after termination, expiration, or release of contractual obligations.	
1025-03	BOND RECORDS (see retention note to item number 1025-09)					[TxDOT reference 86FIN01 and 86FIN03.]
1025-03a	BOND RECORDS	Bond administrative records consisting of preliminary studies, proposals and prospectuses, authorizations and certifications for issuance or cancellation, and related policy correspondence.			PERMANENT.	
1025-03b	BOND RECORDS	Bond certificates and redeemed coupons. Also includes Bond Proceeds bank statements and reconciliations; Bond Proceeds Expenditure Records; Capital Improvement and Feasibility Study Funds Expenditure Records in the event they are part of future bond issues.			3 years after debt is retired.	
1025-03c	BOND RECORDS	Bond registers.			PERMANENT.	

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL REMARKS
1025-03d	BOND RECORDS	Records relating to the exchange, conversion, or replacement of bonds by bondholders.			1 year and exempt from destruction request requirement if information is contained in a bond register; PERMANENT, if information is not contained in a bond register.
1025-04	BUDGETS AND BUDGET DOCUMENTATION				
1025-04a	BUDGETS AND BUDGET DOCUMENTATION	Annual budgets (including amendments).			PERMANENT.
1025-04b	BUDGETS AND BUDGET DOCUMENTATION	Special budgets (includes budgets for capital improvement projects, grant-funded projects, or other projects prepared on a special or emergency basis and not included in an annual budget).			PERMANENT.
1025-04c	BUDGETS AND BUDGET DOCUMENTATION	Working papers created exclusively for the preparation of budgets, including budget requests, justification statements, and similar documents.			2 years.
1025-04d	BUDGETS AND BUDGET DOCUMENTATION	Encumbrance and expenditure reports (status reports showing expenditures and			2 years.

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL REMARKS
		encumbrances against a budget).			
1025-04e	BUDGETS AND BUDGET DOCUMENTATION	Budget change documentation, including line item or contingency/reserve fund transfers and supplemental budget requests.			2 years.
1025-05	CAPITAL ASSETS RECORDS	Documentation relating to the capital and fixed assets of the NTTA.			
1025-05a	CAPITAL ASSETS RECORDS	Equipment or property history cards or similar records containing data on initial cost, including disposal authorizations when disposed of.			FE + 3 years
1025-05b	CAPITAL ASSETS RECORDS	Equipment or property cost and depreciation schedules or summaries used for capital outlay budgeting or other financial or budget control purposes.			FE + 3 years
1025-05c	CAPITAL ASSETS RECORDS	Equipment or property inventories (including sequential number property logs).			Until superseded + 3 years.
1025-05d	CAPITAL ASSETS RECORDS	Property sale, auction, or disposal records of government-owned equipment or property.			1 year.
1025-06	FEDERAL REVENUE SHARING RECORDS	Records concerning the use of federal revenue sharing funds, including revenue and			5 years. [By regulation - 31 CFR §103.38(d).]

		RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	REMARKS
		expenditure summaries; status, budget, and audit reports; and other reports or documentation required by federal law or regulation.				
1025-07	FINANCIAL REPORTS	Annual, sub-annual, or irregularly prepared financial reports or statements on the accounts, funds, or projects created either for internal use or for submission to state agencies as may be required by law or regulation, except reports of similar types noted in this or other commission schedules.				
1025-07a	FINANCIAL REPORTS	Monthly, bimonthly, quarterly, or semi-annual reports.			FE + 3 years.	
1025-07b	FINANCIAL REPORTS	Annual reports.			PERMANENT.	
1025-07c	FINANCIAL REPORTS	Long range fiscal planning reports.			PERMANENT.	
1025-07d	FINANCIAL REPORTS	Capital improvement reports.			PERMANENT.	
1025-08	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS					
1025-08a	GRANT DEVELOPMENT AND	Successful grant applications and proposals and any			FE + 3, 5, or 7 years.	Retention Note: The federal grant will generally contain a retention period which should be followed for this type of record.

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
	ADMINISTRATIVE RECORDS	documentation that modifies the terms of a grant.				
1025-08b	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS	Financial, performance, and compliance reports submitted to grantor or subgrantor agencies.			FE + 3, 5, or 7 years.	Retention Note: The federal grant will generally contain a retention period which should be followed for this type of record.
1025-08c	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS	Reports, planning memoranda, studies, correspondence, and similar records created for and used in the development of successful grant proposals.			3 years.	
1025-08d	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS	Any records of the type noted in (a) or (b) relating to unsuccessful grant proposals.			AV.	
1025-09	INVESTMENT TRANSACTION RECORDS	Documentation relating to the investment of public funds (e.g., certificates of deposit) that evidences the investment of funds, the performance or return of investments, the cancellation or withdrawal of investments, and similar activity.			FE + 5 years.	Retention Note: It is an exception to the retention period for this item that records of investments and the calculation of arbitrage rebate amounts (if any) on proceeds from the sale of tax exempt bonds must be retained for 3 years after the retirement of the last obligation of the bond issue.

SECTION 2-2: ACCOUNTING RECORDS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1025-25	ACCOUNTING POLICIES AND PROCEDURES DOCUMENTATION	Policy and procedure directives and similar records documenting accounting methodology.			Until superseded + 5 years.	
1025-26	ACCOUNTS PAYABLE AND DISBURSEMENT RECORDS	Claims, invoices, statements, copies of checks and purchase orders, expenditure authorizations, and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other employment-related expenses.			FE + 3 years.	Retention Note: It is an exception to the retention period for this item that records of payments from bond proceeds must be retained for 3 years after the retirement of the debt.
1025-26a	ACCOUNTS PAYABLE AND DISBURSEMENT RECORDS	Accounts payable records sufficient to document the purchase costs of capital equipment or other fixed assets if capital asset documentation of the type noted under item number 1025-05(a) is not created.			FE + 3 years.	
1025-26b	ACCOUNTS PAYABLE AND DISBURSEMENT RECORDS	Fund transmittal reports accompanying the transmittal of funds to federal, state, or other local government agencies (e.g., sales tax to the State Comptroller of Public			FE of period covered by report + 3 years.	

		RETENTION PERIOD			
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL
					REMARKS
		Accounts), to retirement systems, or to other entities if the funds are collected in whole or in part on behalf of other agencies or individuals (e.g., retirement deductions of employees), except those accompanying the transmittal of federal and state payroll and unemployment taxes [see item number 1050-53(b)].			
1025-27	ACCOUNTS RECEIVABLE RECORDS	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, receipt books, cash transfers, daily cash reports, cash drawer reconciliations, and similar records that serve to document money owed to or received by a local government and its collection or receipt.			FE + 3 years.
1025-27a	ACCOUNTS RECEIVABLE RECORDS	Accounts receivable records documenting the receipt of any monies by any local government that are remittable to the State Comptroller of Public Accounts (e.g., court			Remittance due date + 5 years.

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL REMARKS
1025-27b	ACCOUNTS RECEIVABLE RECORDS	costs in criminal cases, sales tax). Account card or similar record documenting payments to the NTTA in which the government holds a property lien until the debt is satisfied (e.g., liens arising from demolition, lot cleaning), including original liens and lien releases.			FE of date of final payment and release of lien + 3 years.
1025-27c	ACCOUNTS RECEIVABLE RECORDS	Account card or similar record relating to the receipt of cash deposits as sureties for the delivery of services (e.g., water and wastewater).			FE of termination of service or refund of deposit + 3 years.
1025-27d	ACCOUNTS RECEIVABLE RECORDS	Records of accounts deemed uncollectible, including write-off authorizations.			FE + 3 years.
1025-28	BANKING RECORDS	Bank statements, canceled checks, check registers, deposit slips, debit and credit notices, reconciliations, notices of interest earned, etc.			FE + 5 years

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	REMARKS
1025-29	COST ALLOCATION AND DISTRIBUTION RECORDS	Records created to document the allocation of costs among accounts and funds of a local government, including records relating to chargebacks and other interdepartmental or interfund accounting transactions.		FE + 3 years.	Retention Note: If any of the records in this group are used as ledger and journal entry documentation, they must be retained for FE + 5 years (see item number 1025-30).
1025-30	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION				Retention Note: Be certain to verify before the disposal of any ledger or journal under this item number that the ledger or journal does not serve to document financial activities that require a longer retention period (e.g. investment documentation of proceeds of tax exempt bonds under item number 1025-09).
1025-30a	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	General ledger showing receipts and expenditures from all accounts and funds of a local government. (1) For fiscal years for which an annual audit report (see item number 1025-01) exists. (2) For fiscal years for which an annual audit report (see item number 1025-01) does not exist.		(1) FE + 5 years. (2) PERMANENT.	Retention Note: Review before disposal; some ledgers may merit permanent retention for historical reasons.
1025-30b	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	Subsidiary ledgers.		FE + 5 years.	Retention Note: Review before disposal; some ledgers may merit permanent retention for historical reasons.

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1025-30c	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	Receipt, disbursement, general, or subsidiary journals.			FE + 5 years.	Retention Note: Review before disposal; some journals may merit permanent retention for historical reasons.
1025-30d	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	Journal vouchers and entries or similar posting control forms (including supporting documentation such as correspondence and auditor adjustments that evidence journal entries and amendments).			FE + 5 years.	Retention Note: If bill stubs (see item number 1025-27) are used as entry documentation for account journals, they must be retained for FE + 5 years rather than the FE + 3 year retention period for accounts receivable records.
1025-31	TRANSACTION SUMMARIES	Periodic summaries or reports of accounting transactions or activity by department, budget code, program, account, fund, or type of activity, including trial balances, unless the summary is of a type noted elsewhere in this part.				
1025-31a	TRANSACTION SUMMARIES	Daily.			30 days.	
1025-31b	TRANSACTION SUMMARIES	Weekly.			90 days.	
1025-31c	TRANSACTION SUMMARIES	Monthly, bimonthly, quarterly, or semi-annual.			2 years.	
1025-31d	TRANSACTION SUMMARIES	Annual.			FE + 3 years.	Retention Note: If an annual trial balance is not maintained, then the least frequent sub-yearly trial balance must be retained for FE + 3 years.
1025-32	UNCLAIMED PROPERTY DOCUMENTATION	Any form of record sufficient to verify information on unclaimed property			Date on which property is reportable + 10 years.	[By law - Property Code, Section 74.103(b).]

PART 3: PERSONNEL AND PAYROLL RECORDS

SECTION 3-1: PERSONNEL RECORDS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1050-01	AFFIRMATIVE ACTION PLANS					
1050-01a	AFFIRMATIVE ACTION PLANS	Reports, analyses, and statistical data compiled from source documentation used to develop, implement, and monitor affirmative action plans.			5 years.	[By regulation - 29 CFR 30.8(e).]
1050-01b	AFFIRMATIVE ACTION PLANS	Affirmative action plans.			Until superseded + 5 years.	[By regulation - 29 CFR 30.8(e).]
1050-02	APTITUDE AND SKILLS TEST RECORDS	Records relating to aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer, including civil service examinations.				
1050-02a	APTITUDE AND SKILL TEST RECORDS	Validation studies.			Life of test + 2 years.	
1050-02b	APTITUDE AND SKILLS TEST RECORDS	Tests.			Until superseded + 2 years.	[By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.] Retention Note: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.
1050-02c	APTITUDE AND SKILLS TEST RECORDS	Test papers of persons taking tests.			2 years.	[By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	REMARKS
1050-02d	APTITUDE AND SKILLS TEST RECORDS	Records, other than those noted (a)-(c), relating to the planning and administration of tests.		3 years.	
1050-03	AWARDS AND COMMENDATIONS			Date of separation + 5 years.	[TxDOT reference SAF13.]
1050-04	CERTIFICATES AND LICENSES	Certificates, licenses, or permits required of employees to qualify for or remain eligible to hold a position requiring certification or licensing.		Until superseded or separation of employee + 5 years.	Retention Note: If the submission of copies of certificates, licenses, or permits is required of all applicants for a position, those of applicants not hired must be retained for 2 years under item number 1050-14.
1050-05	CONFLICT OF INTEREST AFFIDAVITS			5 years after leaving position for which the affidavit was filed.	
1050-06	COUNSELING PROGRAM FILES				
1050-06a	COUNSELING PROGRAM FILES	Reports of interviews, analyses, and similar records relating to the counseling of an employee for work-related, personal, or substance abuse problems.		3 years after termination of counseling.	[TxDOT reference SAF10.]
1050-06b	COUNSELING PROGRAM FILES	Records relating to the planning, coordination, implementation, direction, and evaluation of an employee counseling program.		3 years.	

		RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	REMARKS
1050-07	DISCIPLINARY AND ADVERSE ACTION RECORDS	Records created by civil service boards or by personnel or supervisory officers in considering, or reconsidering on appeal, an adverse action (e.g., demotion, probation, termination, suspension, leave without pay) against an employee, including, as applicable, witness and employee statements, interview reports, exhibits, reports of findings, and decisions and judgments.			2 years after case closed or action taken, as applicable.	[By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]
1050-08	EMPLOYEE PENSION AND BENEFITS RECORDS					For records of pension and deferred compensation deductions from payroll see 1050-52(b).
1050-08a	EMPLOYEE PENSION AND BENEFITS RECORDS	Employee benefit plans such as pension; life, health, and disability insurance; seniority and merit systems; and deferred compensation plans, including amendments.			Termination of plan + 4 years.	[By regulation - 29 CFR 1627.3(b)(2).] Retention Note: If the plan or system is not in writing, a memorandum fully outlining the terms of the plan or system and the manner in which it has been communicated to affected employees, together with notations relating to any changes or revisions, must be retained for the same period as written plans.

		RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	REMARKS
1050-08b	EMPLOYEE PENSION AND BENEFITS RECORDS	Enrollment forms providing personal identifying data, beneficiary information, option selection, and similar information. (1) If the official record is maintained by the retirement system of which the NTTA is a member or by the service provider. (2) If the official record is maintained by the NTTA. (A) Pension and deferred compensation. (B) Life, accidental death, and disability insurance.			(1) AV. (2)(A) PERMANENT. (2)(B) Termination of coverage + 4 years.	
1050-08c	EMPLOYEE PENSION AND BENEFITS RECORDS	Annual reports from a pension system or fund.			PERMANENT.	
1050-09	EMPLOYEE RECOGNITION RECORDS	Award committee reports, selection criteria, nomination, and similar administrative records of employee award or incentive programs.			2 years.	
1050-10	EMPLOYEE SECURITY RECORDS					

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	REMARKS
1050-10a	EMPLOYEE SECURITY RECORDS	Records created to control and monitor the issuance of keys, identification cards, passes, or similar instruments of identification and access.		Until superseded, date of expiration, or date of separation + 2 years, as applicable.	
1050-10b	EMPLOYEE SECURITY RECORDS	Records relating to the issuance of parking permits.		Until superseded.	
1050-11	EMPLOYEE SELECTION RECORDS	Notes of interviews with candidates; audio and videotapes of job interviews; applicant rosters; eligibility lists; test ranking sheets; justification statements for violating eligibility or ranking sequence; background, criminal history, and previous injury checks; polygraph examination results; offers of employment letters; and similar records documenting the filling of a vacant position.		2 years from the creation (or receipt) of the record or the personnel action involved, whichever later.	[By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1050-12	EMPLOYEE SERVICE RECORD	Summary employment history record for each employee maintained on one or more forms, containing the following minimum information: name; sex; date of birth; social security number; positions held with dates of hire, promotion, transfer, or demotion; dates of leaves of absence or suspension that affect computation of length of service; wage or salary rate for each position held, including step or merit increases within grades; most recent public access option form; and date of separation.			AC + 75 years.	For other information on employees that must also be retained permanently either as part of this record or in another form, see item numbers 1050- 52(b) and 1050-54(a). Retention Notes: a) This schedule does not require the creation of an employee service record of the type described, but the creation of the record is strongly recommended to allow frequent disposal of documents from which information has been summarized. If an employee service record is not maintained, documents (e.g., employment applications, personnel action forms) containing the prescribed information must be retained permanently. More than one document providing the same element of required information need not be retained. b) The Teacher Service Record containing information required by statute or regulation, shall be considered an employee service record of the type described and must be retained AC + 75 years. c) Salary or wage data on an employee service record may be indicated by grade and step numbers if all corresponding wage rate tables (see item number 1050-59) applicable to a person's employment history are retained permanently. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]
1050-13	EMPLOYMENT ADVERTISEMENTS OR ANNOUNCEMENTS	Advertisements or postings relating to job openings, promotions, training programs, or overtime opportunities, including jobs orders submitted to employment agencies.			2 years.	

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1050-14	EMPLOYMENT APPLICATIONS	Applications, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions (both hired and not hired) or for promotion, transfer, or training opportunity (both selected and not selected) is required on the application form, by application procedures, or in the employment advertisement.			2 years from the creation (or receipt) of the record or the personnel action involved, whichever is later.	[By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]
1050-14a	EMPLOYMENT APPLICATIONS	Samples of publications, artwork, or other products of prior achievement not returned to applicants.			AV.	
1050-14b	EMPLOYMENT APPLICATIONS	Transcripts of persons hired if state or federal law or regulation mandates a level of education needed to qualify for employment (e.g., school district professional and paraprofessional personnel). See also item number 1050-28(a).			Date of separation + 5 years.	Retention Note: If applicant screening or hiring decisions are based on resumes, with only successful or interviewed candidates completing employment applications, then resumes of persons not hired must be kept for the same period as employment applications. If resumes are supplemental to employment application forms, they need only be retained as long as administratively valuable.
1050-15	EMPLOYMENT CONTRACT/ COLLECTIVE					

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
	BARGAINING RECORDS					
1050-15a	EMPLOYMENT CONTRACT/ COLLECTIVE BARGAINING RECORDS	Contracts and agreements, including collective bargaining agreements, between a local government and an employee or a group of employees, including written acceptances of such contracts.			Last effective date of contract + 4 years.	
1050-15b	EMPLOYMENT CONTRACT/ COLLECTIVE BARGAINING RECORDS	Records relating to the negotiation of collective bargaining agreements or similar group contracts, including reports; correspondence; mediation or arbitration agreements; the proceedings, findings, and awards of arbitration boards; and similar records.			Last effective date of contract + 4 years or, if no agreement or contract results, 4 years.	
1050-16	EQUAL EMPLOYMENT OPPORTUNITY RECORDS AND REPORTS					
1050-16a	EQUAL EMPLOYMENT OPPORTUNITY RECORDS AND REPORTS	Reports, analyses, or statistical data compiled from source documentation used to complete EEO reports.			3 years.	[By regulation - 29 CFR 1602.30, 1602.39, and 1602.48.]
1050-16b	EQUAL EMPLOYMENT OPPORTUNITY	EE0-1, EE0-4, EE0-5, and EE0-6 reports.			3 years.	[By regulation - 29 CFR 1602.32, 1602.41; and 1602.50.]

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
	RECORDS AND REPORTS					
1050-16c	EQUAL EMPLOYMENT OPPORTUNITY RECORDS AND REPORTS	Case files relating to discrimination complaints, including complaints, legal and investigative documents, exhibits, related correspondence, withdrawal notices, and decisions or judgments.			Resolution of case + 3 years.	
1050-17	EQUAL PAY RECORDS	Reports, studies, aggregated or summarized data, and similar documentation compiled to monitor and demonstrate compliance with the Equal Pay Act.			2 years.	[By regulation - 29 CFR 1620.32(c).]
1050-18	FIDELITY BONDS				Effective life of bond + 5 years.	Retention Note: Does not include the Official Bond Record maintained by county clerks, which must be retained permanently.
1050-19	FINGERPRINT CARDS				Date of separation + 5 years.	Retention Note: If fingerprint cards are created for all applicants for a position, those of persons not hired must be retained 2 years under item number 1050-14.
1050-20	GRIEVANCE RECORDS	Records relating to the review of employee grievances against personnel policies, working conditions, etc.			2 years.	Retention Note: Do not confuse these records with those involving EEO complaints [see item number 1050-16(c)].
1050-21	JOB EVALUATIONS (PERFORMANCE APPRAISALS)					

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL REMARKS
1050-21b	JOB EVALUATIONS (PERFORMANCE APPRAISALS)	Evaluations of employees.			Until superseded + 2 years. [By regulation - 29 CFR 1602.32(c).]
1050-22	MEDICAL AND EXPOSURE REPORTS				
1050-22a	MEDICAL AND EXPOSURE REPORTS	Health, physical or psychological examination reports or certificates of all job applicants if physical or psychological condition is a factor in hiring decisions, including the promotion, transfer or selection for training of current personnel.			2 years. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]
1050-22b	MEDICAL AND EXPOSURE REPORTS	Health or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required. (1) For employees exposed in the course of their work to toxic substances, harmful physical agents, or bloodborne pathogens. (2) For all other employees.			[By regulation - 29 CFR 1910.1020(d)(1)(i), (ii), (iii).] (1) Date of separation + 30 years. (2) Until superseded + 2 years.
1050-22c	MEDICAL AND EXPOSURE REPORTS	Environmental, biological, and material safety monitoring reports concerning toxic substances and harmful			30 years. [By regulation - 29 CFR 1910.1020(d)(1)(ii).]

RECORD NUMBER		RETENTION PERIOD				REMARKS
		RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
		physical agents in the workplace, including analyses derived from such reports.				
1050-22d	MEDICAL AND EXPOSURE REPORTS	Controlled substances and alcohol use and testing documents, including documents relating to alcohol misuse and controlled substances prevention programs, driver alcohol test results indicating an alcohol concentration of 0.02 or greater; driver verified positive controlled substances test results, documentation of refusals to take required alcohol and/or controlled substances tests, driver evaluation and referrals, and calibration documentation.			5 years.	[By regulation – 49 CFR 382.401.]
1050-23	OATHS OF OFFICE				Until superseded + 5 years; or, 5 years after leaving position for which oath required, whichever applicable.	

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	REMARKS
1050-24	PERSONNEL ACTION OR INFORMATION NOTICES	Documents used by personnel officers to create or change information in the personnel records of individual employees concerning hiring, termination, transfer, pay grade, position or job title, leaves of absence, name changes, and similar personnel actions except those noted elsewhere in this part.		2 years.	[By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]
1050-25	PERSONNEL STUDIES AND SURVEYS	Studies, statistical reports, surveys, cost analyses and projections, and similar records, except those noted elsewhere in this part, on any aspect of the personnel management or administration of the NTTA.		3 years.	Retention Note: Review before disposal; some documents may merit permanent retention for historical reasons.
1050-26	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS				
1050-26a	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS	Job descriptions, including any associated task or skill statements.		Until superseded or position abolished + 4 years.	[By regulation - 40 TAC 815.106(i).]

RECORD NUMBER		RETENTION PERIOD				REMARKS
		RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1050-26b	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS	Documentation concerning the development and analysis of job descriptions and classification systems, including survey, review and audit reports; classification standards and guidelines; selection criteria, determination of classification appeals, etc., as follows: (1) Documents linked to a specific position. (2) Survey, audit, or other reports issued on a regular basis. (3) Other documentation not included in (b)(1) or (b)(2).			(1) Dispose with job description under 26(a). (2) Until superseded + 4 years. (3) 4 years.	
1050-26c	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS	Position staffing and vacancy reports.			Until superseded.	
1050-26d	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS	Personnel requisitions.			2 years.	

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL
1050-27	REDUCTION IN FORCE PLANS (including any related implementation documentation).				Until superseded, or if implemented, 2 years from date of last RIF action under the plan.
1050-28	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS				For other records relating to aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer, see item number 1050-02.
1050-28a	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee if such training or testing is required for the position held or if the educational or skill attainment or enhancement affects or could affect career advancement in the NTTA or, in the case of licensed or certified personnel (e.g., school professionals, firefighters, police officers, health care professionals), in other governments or the private sector.			Retention Note: If information concerning training or testing (e.g., test scores) is transferred to an Employee Service Record (item number 1050-12), the document from which the information is taken need be retained for only 2 years. Date of separation + 5 years.

RETENTION PERIOD					REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	
1050-28b	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs.		2 years.	
1050-28c	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	Training manuals, syllabuses, course outlines, and similar training aids used in in-house training programs.		Until superseded + 2 years.	
1050-28d	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	Skill or achievement measurement records of a training group or class as a whole (e.g., rosters with scores).		2 years.	Retention Note: If the only information documenting the in-house training of an employee of the types described in 28(a) is contained in the measurement records of a group or class as a whole, the group records must be retained for the date of separation + 5 years for all employees included in the group records.
1050-29	UNEMPLOYMENT COMPENSATION CLAIMS	Unemployment claims, pertinent correspondence, and similar records documenting unemployment compensation cases.		After closed + 5 years.	
1050-30	VERIFICATION OF EMPLOYMENT ELIGIBILITY (INS Form I-9)			3 years from hire or 1 year after separation, whichever later.	[By regulation – 8 CFR 1274a.2(b)(2)(i)(A) and (c)(2).] Retention Note: If a former employee is rehired and an INS Form I-9 is still on file for the employee, the 3 year retention period dates from date of first hire.
1050-31	WORK SCHEDULES	Work, duty, shift, crew, or case schedules, rosters, or assignments except work schedules includable in item number 1050-56.		2 year.	

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	REMARKS
1050-32	WORKERS COMPENSATION CLAIM FILES	Initial and supplemental reports of accidents to or job-related illnesses of employees and documentation relating to any subsequent filing of claims.		CE + 5 years.	[By regulation – 29 CFR 1904.33 for accident and illness reports.] [TxDOT reference SAF07.]
1050-33	FINANCIAL DISCLOSURE STATEMENTS	Financial disclosure statements of officers and/or employees of a local government.		2 years.	
1050-34	PUBLIC ACCESS OPTION FORM	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.04.		Until superseded.	Retention Note: The last public access option form completed by an employee prior to termination of employment must be retained as part of the Employee Service Record (see record number 1050-12 in this schedule).

SECTION 3-2: PAYROLL RECORDS

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1050-50	DEDUCTION AUTHORIZATIONS	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including orders of garnishment or other court-ordered attachments.			4 years after separation or 4 years after amendment, expiration, or termination of authorization, whichever sooner.	
1050-51	DIRECT DEPOSIT APPLICATIONS/ AUTHORIZATIONS				Until superseded.	
1050-52	EARNINGS AND DEDUCTION RECORDS					
1050-52a	EARNINGS AND DEDUCTION RECORDS	A record containing the following payroll information on each employee: name, last known address and social security number; amount of wages paid to the employee for each payroll period, including all deductions, and date of payment.			4 years	[By regulation - 20 CFR 404.1225(b)(3) and 40 TAC 815.106(i)] Retention Note: Retention of any of the following records will satisfy the retention requirement: 1) Individual employee earnings card or record that shows earnings and deductions for each pay period; or 2) Master payroll register which shows earnings and deductions for each pay period.

RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL
1050-52b	EARNINGS AND DEDUCTION RECORDS	A record containing the following minimum pension and deferred compensation information on each employee: name, date of birth, social security number, and amount of pension and deferred compensation deductions.		PERMANENT
				Retention Note: retention of any one of the following will satisfy the retention requirement: 1) Individual employee earnings card or record as in 52(a)(1); 2) Employee Service Record (see item number 1050-12) if it contains the prescribed pension and deferred compensation deduction data; 3) Master payroll register, or the final year-to-date register of each calendar year, if the register shows all persons employed during the year from whose wages pension and deferred compensation deductions were made; 4) Pension and deferred compensation deduction register, or the final year-to-date pension deduction register of each calendar year, if the register lists all persons employed during the year from whose wages pension and deferred compensation deductions were made; or 5) Copies of annual or other periodic statements furnished to each employee detailing the deductions and contributions to a pension or deferred compensation plan during the past year or period.
1050-52c	EARNINGS AND DEDUCTION RECORDS	Master payroll register, including year-to-date registers, if not used to satisfy either of the retention requirements set in (a) or (b).		FE + 3 years.
1050-52d	EARNINGS AND DEDUCTION RECORDS	Subsidiary payroll registers, if not used for retention requirements set in 52(a) or 52(b). (1) If data contained in the subsidiary payroll register is not contained in the master payroll register. (2) If data contained in the subsidiary payroll register is contained in		(1) FE + 3 years. (2) AV.

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
		the master payroll register				
1050-52e	EARNINGS AND DEDUCTION RECORDS	Copies of annual or other periodic statements furnished to each employee detailing the deductions and contributions to a pension or deferred compensation plan during the past year or period, if not used to satisfy the retention requirement set in (b).			2 years.	
1050-52f	EARNINGS AND DEDUCTION RECORDS	Payroll adjustment records, including transaction registers, authorizations, and similar records authorizing and detailing adjustments to payroll records because of overpayment, underpayment, etc.			FE + 3 years.	
1050-53	FEDERAL AND STATE TAX FORMS AND REPORTS					
1050-53a	FEDERAL AND STATE TAX FORMS AND REPORTS	Forms used to determine withholding from wages and salaries for payroll tax purposes.			4 years after separation or 4 years after form amended, whichever sooner.	[By regulation - 20 CFR 404.1225(b)(3), 26 CFR 31.6001-1(e)(2) for federal forms and by authority of this schedule for any state forms.]

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	REMARKS
1050-53b	FEDERAL AND STATE TAX FORMS AND REPORTS	Forms and reports used to report the collection, distribution, deposit, and transmittal of payroll or unemployment taxes.		4 years after tax due date or date tax paid, whichever later.	[By regulation - 20 CFR 404.1225(b)(3), 26 CFR 31.6001-1(e)(2) for federal forms and by authority of this schedule for state forms.]
1050-54	LEAVE RECORDS				
1050-54a	LEAVE RECORDS	A record containing a record of the unused accumulated sick leave of each employee if (1) all or a percentage of accumulated sick leave is used to calculate length of service and/or (2) accumulated sick leave is creditable to an employee if rehired.		PERMANENT	Retention Note: Retention of any one of the following will satisfy the retention requirement: 1) Individual employee earnings card or record as described in item number 1050-52(a) if it also contains accumulated sick leave data; 2) Employee Service Record (see item number 1050-12) if it contains the accumulated sick leave data prescribed; or 3) Copy of the final time summary or leave status report, as noted in 54(d), of each separated employee.
1050-54b	LEAVE RECORDS	Requests and authorizations for vacation, compensatory, sick, FMLA and other types of authorized leave.		FE + 3 years.	
1050-54c	LEAVE RECORDS	Leave or hours-to-date registers.		FE + 3 years.	
1050-54d	LEAVE RECORDS	Copies of periodic time summary or leave status reports furnished to each employee containing information on vacation, sick, compensatory, or other leave earned and used, including the final report of separated employees if they are not used to satisfy the		2 years.	

		RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	REMARKS
		retention requirement set in (a).				
1050-55	PAYROLL ACTION OR INFORMATION NOTICES	Documents used by payroll officers to create or change information in the payroll records of individual employees except deduction authorizations (see item number 1050-50) and federal tax forms [see item number 1050-53(a)].				
1050-55a	PAYROLL ACTION OR INFORMATION NOTICES	Documents concerning hiring, termination, transfer, pay grade, position or job title, name changes, etc.			2 years.	[By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]
1050-55b	PAYROLL ACTION OR INFORMATION NOTICES	Documents concerning adjustments to payroll and leave status.			FE + 3 years.	
1050-56	TIME AND ATTENDANCE REPORTS	Time cards or sheets, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.			4 years.	[By regulation - 40 TAC 815.106(i).]
1050-57	TIME CHANGE RECORDS	Requests and authorizations for overtime, time trading, and other actions that affect normal work time except leave requests [see item number 1050-54(c)].			2 years.	

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	REMARKS
1050-58	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS TO ENGAGE IN REIMBURSABLE ACTIVITIES	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other bona fide work-related activities in which the expenses of an employee are defrayed or reimbursed.		FE + 3 years.	
1050-59	WAGE AND SALARY RATE TABLES				
1050-59a	WAGE AND SALARY RATE TABLES	If wage or salary rate for each position listed on an Employee Service Record (see item number 1050-12) is expressed in dollars.		2 years after last effective date.	[By regulation - 29 CFR 516.6(a)(2).]
1050-59b	WAGE AND SALARY RATE TABLES	If wage or salary rate for each position listed on an Employee Service Record (see item number 1050-12) is indicated by grade or step number only.		PERMANENT.	

PART 4: SUPPORT SERVICES RECORDS

SECTION 4-1: PURCHASING RECORDS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1075-01	BIDS AND BID DOCUMENTATION					
1075-01a	BIDS AND BID DOCUMENTATION	Awarded bids and requests for proposals, including invitations to bid, bid bonds and affidavits, bid sheets, and similar supporting documentation.			FE + 3 years.	Retention Note: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. See item number 1000-25.
1075-01b	BIDS AND BID DOCUMENTATION	Not awarded bids.			2 years.	
1075-01c	BIDS AND BID DOCUMENTATION	Informal bid records, such as requests for quotations or estimates, for the procurement of goods or services for which state law or local policy does not require the formal letting of bids.			1 year.	
1075-01d	BIDS AND BID DOCUMENTATION	Requests for information (RFI) preliminary to the procurement of goods or services by direct purchase or bid.			AV after date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.	
1075-02	INVENTORY RECORDS (PARTS AND SUPPLIES)				1 year.	

		RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	REMARKS
1075-03	PURCHASE ORDER AND RECEIPT RECORDS					
1075-03a	PURCHASE ORDER AND RECEIPT RECORDS	Purchase orders, requisitions, and receiving reports.			FE + 3 years.	
1075-03b	PURCHASE ORDER AND RECEIPT RECORDS	Purchasing log, register, or similar record providing a chronological record of purchase orders issued, orders received, and similar data on procurement status.			FE + 3 years.	
1075-03c	PURCHASE ORDER AND RECEIPT RECORDS	Packing slips and order acknowledgments.			AV.	
1075-03d	PURCHASE ORDER AND RECEIPT RECORDS	Vendor and commodity lists.			Until superseded.	

SECTION 4-2: FACILITY, VEHICLE, AND EQUIPMENT MANAGEMENT RECORDS

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
1075-15	ACCIDENT AND DAMAGE REPORTS (PROPERTY)	Reports of accidents or damage to facilities, vehicles, or equipment if no personal injury is involved.			3 years.	Retention Note: For accident reports involving personal injury see item numbers 1000-20 and 1050-32.
1075-17	LOST AND STOLEN PROPERTY REPORTS				FE + 3 years.	
1075-18	MAINTENANCE, REPAIR, AND INSPECTION RECORDS	Records documenting the maintenance, repair, and inspection of facilities, vehicles, and equipment.				Retention Note: This record group schedules records of maintenance and repair to general-purpose vehicles, office equipment, and office facilities.
1075-18a	MAINTENANCE, REPAIR, AND INSPECTION RECORDS	Vehicles and equipment. (1) Routine inspection records. (2) Maintenance and repair records.			(1) 1 year. (2) Life of asset.	Retention Note: If a vehicle is salvaged as the result of an accident, the maintenance and repair records for the vehicle must be retained for LA + 3 years.
1075-18b	MAINTENANCE, REPAIR, AND INSPECTION RECORDS	Facilities. (1) Routine cleaning, janitorial, and inspection work. (2) All other facility maintenance, repair and inspection records (including those relating to plumbing, electrical, fire suppression, and other infrastructural systems).			(1) 1 year. (2) 3 years.	

RECORD NUMBER		RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	REMARKS
1075-19		SERVICE REQUESTS/WORK ORDERS (for repairs and maintenance to facilities, vehicles, or equipment).				2 years.	Retention Note: If work orders serve as the only form of record documenting repairs to vehicles or equipment [see item number 1075-18(a)] they must be retained for the life of the vehicle or equipment.
1075-20		USAGE REPORTS	Reports of usage of facilities, vehicles, and equipment.				
1075-20a		USAGE REPORTS Reports of usage of facilities, vehicles, and equipment	Any type of usage report (e.g., mileage, fuel consumption, copies run) if such reports are the basis for allocating costs, for determining payment under rental or lease agreements, etc.			FE + 3 years.	
1075-20b		USAGE REPORTS Reports of usage of facilities, vehicles, and equipment	Reservation logs or similar records relating to the use of facilities such as meeting rooms, auditoriums, etc. by the public or other governmental agencies.			2 years.	
1075-20c		USAGE REPORTS Reports of usage of facilities, vehicles, and equipment	Usage reports compiled for purposes other than those noted in 20(a) or 20(b).			1 year.	
1075-21		VEHICLE ASSIGNMENT RECORDS	Assignment logs, authorizations, and similar records relating to the assignment and use of government-owned vehicles by employees.			2 years.	
1075-22		VISITOR CONTROL REGISTERS	Logs, registers, or similar records documenting visitors to limited access or restricted areas.			3 years.	

RECORD		RETENTION PERIOD			REMARKS
NUMBER	TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	
1075-23	WARRANTIES (for vehicles and equipment)				Expiration of warranty + 1 year.
1075-24	VEHICLE TITLES AND REGISTRATIONS				L.A.

SECTION 4-3: COMMUNICATIONS RECORDS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1075-40	POSTAL AND DELIVERY SERVICE RECORDS					
1075-40a	POSTAL AND DELIVERY SERVICE RECORDS	Meter and permit usage records.			1 year.	
1075-40b	POSTAL AND DELIVERY SERVICE RECORDS	Registered, certified, insured, and special delivery mail receipts and similar records of transmittal by express or delivery companies.			1 year.	
1075-41	TELEPHONE LOGS OR ACTIVITY REPORTS	Registers or logs of telephone calls and fax transmissions made and similar activity reports.				
1075-41a	TELEPHONE LOGS OR ACTIVITY REPORTS Registers or logs of telephone calls made and similar telephone activity reports	If the log, report, or similar record is used for cost allocation purposes.			3 years.	
1075-41b	TELEPHONE LOGS OR ACTIVITY REPORTS Registers or logs of telephone calls made and similar telephone activity reports	If the log, report, or similar record is used for internal control purposes other than cost allocation.			2 years.	

SECTION 4-4: CUSTOMER SERVICE RECORDS

		RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	RECORD NUMBER	RECORD TITLE	
4000-01	ACCOUNT UPDATES	Name changes to credit card or account information	Hard copy retained until imaged	Imaged	4 years after the expiration or termination of the instrument according to its terms	Retention Note: Hard copies will be shredded (destroyed) after imaging.	
4000-01a	VIOLATION ENFORCEMENT AGREEMENTS	Violation Enforcement			1 year	VEA enforces the registered owner must maintain a Tolltag account for six months in good standing for a specific license plate number.	
4000-02	TOLLTAG APPLICATIONS – NEW ACCOUNTS	Tolltag applications for new accounts				Hard copies and imaged copies create a liability to exposure in light of PCI compliance. All copies will be shredded or deleted when practicable after applicants' information is transferred to Customer Service systems.	
4000-04	CITATIONS	Citation Packets		Imaged.	7 years	Documents, evidence and other information related to the issuance of a citation through the DPS offices.	
4000-05	REASSIGNMENTS, RENTAL/LEASE AGREEMENTS	Rental agreements Lease vehicles		Hard copy maintained on site	AV	Documents used to reassign violations. Documents provided that show ownership changes or drivers responsibility for violations.	
4000-06	CUSTOMER CORRESPONDENCE	Documents regarding customers' issues with NTTA processes; Customer Complaints			AV	Documents to remove violations including: repossession, police reports, death certificates, bill of sale ending, divorce decree. Letters regarding accounts information.	
4000-08	CSC STATISTICAL REPORTS	Support Services Statistics Customer Center Statistics CSS tick sheets		Electronic spreadsheets only.	5 years	Statistics relating to every component of the NTTA system. Examples include traffic counts, the number of accounts opened, and the number customers served and the form of service (walk-in, phone, etc.).	

PART 5: ELECTRONIC DATA PROCESSING RECORDS

SECTION 5-1: RECORDS OF AUTOMATED APPLICATIONS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
5800-01	AUDIT TRAIL RECORDS	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.			Until audit requirements met.	
5800-02	FINDING AIDS, INDEXES, AND TRACKING SYSTEMS	Automated indexes, lists, registers, and other finding aids used to provide access to the hard copy and electronic records.			Until the related hard copy or electronic records have been destroyed.	
5800-03	HARDWARE DOCUMENTATION	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.			Until electronic records are transferred to and made usable in a new hardware environment.	Retention Note: If the retention period of electronic records is extended to meet requirements of an audit, litigation, open records action, etc. any hardware documentation required to retrieve and read the records must also be retained for the same period.

5800-04	MASTER FILES	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records.		Until completion of 3rd system backup cycle except for: a) Electronic file which replaces or serves in lieu of a textual record - Follow the retention period approved for the equivalent textual record; b) Electronic file containing fiscal information, for which an equivalent textual record exists, but which is also subject to audit - Dispose of after all audit questions have been resolved; c) Output data file extracted from system solely to distribute data to individuals or program units for reference and use or to produce printed reports or other publications - Dispose of after data is	Retention Note: The need to retain "snapshots" of some continuing master files should be carefully evaluated. For example, if a Geographic Information System has only current mapping information, historical versions of zoning changes would not be available even though these records have long-term legal and historical value.
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RETENTION PERIOD					REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	
					distributed or when no longer needed to create publication.

RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE STORAGE	TOTAL STORAGE
5800-05	PROCESSING FILES	Electronic files used to produce a master file, including, but not limited to, work files, maintenance and test files, print files, and intermediate input/output records.		Until completion of 3rd system backup cycle except for: a) Routine or benchmark file used to test system performance – AV; b) File which facilitates processing of a particular job or system run, but which does not add to, delete from, or substantially modify information in a master file – AV.
5800-06	SOFTWARE PROGRAMS	Automated software applications and operating system files including job control language, program listing/source code, etc.		Until electronic records are transferred to and made usable in a new software environment. Retention Note: If the retention period of electronic records is extended to meet requirements of an audit, litigation, open records action, etc. any software program required to retrieve and read the records must also be retained for the same period.
5800-07	CREDIT CARD DATA	Databases, file servers, email servers, and cloud-based systems		AV – allowing for current system limitations Retention Note: Per PCI (Payment Card Industry) standards, credit card information can be maintained as long as it's required to do business.

RECORD NUMBER	RECORD TITLE	RETENTION PERIOD			REMARKS
		RECORD DESCRIPTION	OFFICE STORAGE	TOTAL	
5800-08	TECHNICAL DOCUMENTATION	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.		Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.	Retention Note: If the retention period of electronic records is extended to meet requirements of an audit, litigation, open records action, etc. any technical documentation required to retrieve and read the records must also be retained for the same period.

SECTION 5-2: COMPUTER OPERATIONS AND TECHNICAL SUPPORT RECORDS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
5825-01	ACCESS SECURITY RECORDS	Records created for security purposes to control or monitor individual access to a system and its data, including but not limited to user account records, security login information, and password files.			Until the individual no longer has access to the system or audit requirements for the records modified by the individual have been met, whichever later.	
5825-02	BATCH DATA ENTRY CONTROL RECORDS	Forms and logs used to reconcile batches submitted for processing against batches received and processed.			AC when reconciliation confirmed.	
5825-03	CHARGEBACK RECORDS TO DATA PROCESSING SERVICES USERS	Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.			FE + 3 years.	
5825-04	COMPUTER JOB SCHEDULES AND REPORTS	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			90 days.	

RECORD NUMBER		RECORD DESCRIPTION		RETENTION PERIOD			REMARKS
		RECORD TITLE	DESCRIPTION	OFFICE	STORAGE	TOTAL	
5825-05		DATA PROCESSING POLICIES AND PROCEDURES	Records of data processing policies and procedures including those covering access and security, systems development, data retention and disposition, and data ownership. Records of procedures for data entry, operation of computer equipment, production control, system backup, compliance with electronic records rules, etc. Does not include technical documentation of procedures necessary for reading or processing of electronic records (see item number 5800-08).			3 years after policy or procedure is withdrawn, revised, updated, or superseded.	Retention Note: Review before disposal; some documentation of this type may merit permanent or long-term retention for historical or legal reasons.
5825-06		DATA PROCESSING PLANNING RECORDS	Reports, studies, analyses, projections, and similar records concerning the creation, development, or modification of data processing systems and services except for disaster recovery plans (see item number 5825-07).			5 years.	Retention Note: Before disposal appraise for continuing administrative usefulness and historical value. Those records relating to major development projects and other records considered of historical value should be retained permanently.

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
5825-08	ELECTRONIC MEDIA LIBRARY SYSTEM FILES	Records used to control the location, maintenance, and disposition of media in an electronic media library except for records destruction documentation that is maintained permanently (see item number 1000-40).			Until related records or media are destroyed or withdrawn from the library.	
5825-09	INPUT DOCUMENTS	Copies of records or forms designed and used solely for data input and control when the data processing unit provides centralized data input services and original records are maintained by the program unit except for data entry documents noted elsewhere in this schedule or other schedules adopted by the commission.			Until all data has been entered into the system and, if required, verified.	
5825-10	NETWORK IMPLEMENTATION FILES	Records containing information on network circuits used by the government including circuit number, vendor, type of connection, terminal series, software, contact person, and other relevant information about the circuit.			US.	
5825-11	NETWORK IMPLEMENTATION FILES	Records used to implement a computer network including reports, diagrams of			US.	

RECORD NUMBER		RETENTION PERIOD				REMARKS
		RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
		network, and wiring schematics.				
5825-12	OPERATING SYSTEM AND HARDWARE CONVERSION PLANS	Records relating to the replacement of equipment or computer operating systems not included elsewhere in this schedule.			1 year after completion of conversion.	
5825-13	OUTPUT RECORDS FOR COMPUTER PRODUCTION	Reports showing transactions that were accepted, rejected, suspended, and/or processed.			AV.	
5825-14	QUALITY ASSURANCE RECORDS	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.			Until no longer needed as an audit trail for records modified.	
5825-15	PROJECT FILES	Records created and used in the development, redesign, or modification of automated systems or applications.				Retention Note: Does not include purchasing records for computer software or hardware such as individual personal computers, which are covered by Part 4 of this schedule.
5825-15a	PROJECT FILES	Project management records, design documentation, feasibility			3 years after completion of project.	

RECORD NUMBER		RECORD DESCRIPTION		RETENTION PERIOD			REMARKS
				OFFICE	STORAGE	TOTAL	
			studies, justifications, user requirements, etc.				
5825-15b	PROJECT FILES		Routine status reports, memos, and correspondence.			AV.	
5825-16	SYSTEM ACTIVITY MONITORING RECORDS		Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.			AV.	
5825-17	ELECTRONIC RECORDS TRAINING RECORDS		Memoranda, flyers, catalogues, registration forms, rosters, and other records documenting training courses provided users of electronic records systems.			AV.	
5825-18	INTERNET COOKIES		Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.			AV.	
5825-19	HISTORY FILES – WEBSITES		A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of a user's progress			AV.	
5825-20	SOFTWARE REGISTRATIONS, WARRANTIES					LA + 3 years.	

RETENTION PERIOD						
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	REMARKS
	AND LICENSE AGREEMENTS					

PART 6: PUBLIC TRANSPORTATION AND ENGINEERING RECORDS

SECTION 6-1: TOLLWAY CONSTRUCTION, OPERATION, MAINTENANCE, AND REPAIR RECORDS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
1075-16	CONSTRUCTION PROJECT FILES	Records concerning the planning, design, construction, conversion, or modernization of NTTA-owned facilities, streets, structures, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; architectural and engineering drawings, elevations, profiles, blueprints, and as-builts; inspection and investigative reports; laboratory test reports; construction contracts and bonds; correspondence; and similar documentation.				Retention Note: Files relating to the construction of prefabricated storage sheds, bus shelters, parking lot kiosks, non-structural recreational facilities such as baseball diamonds and tennis courts, and similar structures and facilities need be retained for only 10 years after completion of the project.
1075-16a	CONSTRUCTION PROJECT FILES	Tollway Project Files. Records related to review and approval of the planning, design and construction of toll road improvements.			PERMANENT	[TxDOT reference 86CON01, 86CON04, and 86PLD06.]
N1075-16b*	CONSTRUCTION PROJECT FILES	Facility Construction Project Files: Records related to NTTA projects for the planning, design, and construction of non-toll road facilities.			PERMANENT	[TxDOT reference 86CON02.]
N1075-16c*	CONSTRUCTION PROJECT FILES	Financial Assistance Agreement Files: Documentation and records related to the evaluation of toll financing feasibility.			AC + 4	[TxDOT reference 86FIN02.]
N1075-16d*	CONSTRUCTION PROJECT FILES	Planning and technical studies, and engineering feasibility studies			AV	[TxDOT reference 86PLD02.]

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL REMARKS
N1075-16e*	CONSTRUCTION PROJECT FILES	Exclusive Development Agreement Files: All records, including RFPs, proposal and proposer reviews/evaluations, and documentation related to the negotiation, execution and management of an EDA for the acquisition, design, financing, construction, maintenance, operation, extension or expansion of a turnpike project.			AC + 4 [TxDOT reference 86PLD05.]
N1075-16f*	CONSTRUCTION PROJECT FILES	Documentation related to review and approval of project plans, specifications and estimates (PS&E) containing structural items.			AC + 4 [TxDOT reference 88BPR01 and 58TEN03.]
N1075-16g*	CONSTRUCTION PROJECT FILES	Transfer of Turnpike Projects: Records related to the transfer of all, or any portion of, a tollway project by lease, sale, or other conveyance from TxDOT to the NTTA.			AV [TxDOT reference 86ADI02.]
N1075-16h*	CONSTRUCTION PROJECT FILES	Conversion of Existing Public Highways: Agreements and records related to the conversion of existing public highways to turnpike projects and transferring responsibility to the NTTA.			AC + 4 [TxDOT reference 86ADI03.]
N1075-17*	RIGHT-OF-WAY (ROW) PROJECT FILES				
N1075-17a*	RIGHT-OF-WAY (ROW) PROJECT FILES	Final right-of-way (ROW) project files containing: • ROW conveyances and judgments; • Final ROW maps; • Title insurance policies; and • Other instruments pertaining to title to land or interests therein.			LA [TxDOT reference 55REM01, 55MSU02, and 86ROW01.]

RECORD NUMBER	RECORD TITLE	RETENTION PERIOD			REMARKS
		OFFICE	STORAGE	TOTAL	
N1075-17b*	RIGHT-OF-WAY (ROW) PROJECT FILES	Active right-of-way (ROW) project files, including ROW acquisitions, authorizations, releases, eminent domain proceedings, relocation assistance.		AC + 4	[TxDOT reference 55ACQ01.]
N1075-17c*	RIGHT-OF-WAY (ROW) PROJECT FILES	Utility Agreements: Agreements and related records pertaining to adjustment/relocation/accommodation/joint use of utility facilities on ROW projects.		AV	[TxDOT reference 55MSU01 and 86ROW04.]
N1075-17d*	RIGHT-OF-WAY (ROW) PROJECT FILES	Non-ROW Acquisitions: Records of acquisition of non-ROW real estate, including office/ building/ warehouse sites, maintenance facilities, dredge disposal sites.		LA	Retention Note: For deeds and other ownership information, see 1000-27. [TxDOT reference 55PMT01 and 86ROW02.]
N1075-17e*	RIGHT-OF-WAY (ROW) PROJECT FILES	ROW leasing files.		AC + 4	[TxDOT reference 55PMT02 and 86ROW03.]
N1075-17f*	RIGHT-OF-WAY (ROW) PROJECT FILES	Records related to disposal of surplus ROW, real property sites and improvements and exchanges of ROW interests.		AC + 4	[TxDOT reference 55PMT03 and 86ROW06.]
N1075-17g*	RIGHT-OF-WAY (ROW) PROJECT FILES	Temporary Easements: Records related to easements for a specified period of time acquired for parcels that are needed for construction purposes.		AC + 4.	[TxDOT reference 86ROW05.]
N1075-17h*	RIGHT-OF-WAY (ROW) PROJECT FILES	Outdoor Advertising: Records related to enforcement of outdoor advertising requirements in ROW.		AV	[TxDOT reference 55PMT04.]
N1075-17i*	RIGHT-OF-WAY (ROW) PROJECT FILES	Junkyard Records: Records relating to screening and enforcement of junkyards from highway ROW.		AV	[TxDOT reference 55PMT05.]
N1075-18*	CONSULTANT/ CONTRACTOR INFORMATION FILES				

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL
N1075-18a*	CONSULTANT/ CONTRACTOR INFORMATION FILES	Consultant Contract Files: Records related to procurement, evaluation, selection and management of individual, multiple or emergency consultant contracts.			AC + 4
N1075-18b*	CONSULTANT/ CONTRACTOR INFORMATION FILES	Consultant contract work file that may be used by state or federal auditors during a financials or performance audit.			AC
N1075-18c*	CONSULTANT/ CONTRACTOR INFORMATION FILES	Consultant Qualification Files: Precertifications, questionnaires and other documents related to consulting engineers, surveyors, etc.			AV
N1075-18d*	CONSULTANT/ CONTRACTOR INFORMATION FILES	Bid and Letting Records: Bid requisitions/ authorizations, invitations to bid, bid specifications, and bid tabulations/ evaluations, etc.			FE + 3
					Retention Note: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract (AC + 4) and should be integrated with the contract file.
N1075-18e*	CONSULTANT/ CONTRACTOR INFORMATION FILES	Consultant Contract Procurement files: letters of interest, proposals, and all evaluation and summary forms for providers <u>not</u> selected to receive contracts.			[TxDOT reference 86FIN09.] [TxDOT reference DBR12].
N1075-18f*	CONSULTANT/ CONTRACTOR INFORMATION FILES	Contractor claim and dispute records.			[TxDOT reference 86ADI06.]
N1075-18g*	CONSULTANT/ CONTRACTOR INFORMATION FILES	Prequalification and Bidder Records: Statements, questionnaires and related correspondence.			[TxDOT reference 86FIN05.]
N1075-18h*	CONSULTANT/ CONTRACTOR INFORMATION FILES	Accident Reports at Construction Sites: Copy of DPS vehicle accident reports on accidents occurring at construction sites.			[TxDOT reference SAF08 and SAF09.]

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL
5275-01	INSPECTION REPORTS	Reports of inspection of toll roads, streets, bridges, street lights, sidewalks, rights of way, etc.			
5275-01a	INSPECTION REPORTS	Toll roads, streets, street lights, sidewalks, rights of way, etc.			3 years.
5275-01b	INSPECTION REPORTS	Bridges and overpasses.			Life of structure + 5
5275-02	MAPS AND PLATS	Maps, plats, engineering and field notes, and profiles and cross-sections of toll roads, streets, bridges, etc.			PERMANENT.
5275-03	PERMITS	Applications for and copies of permits (or record of their issuance) for excavation and fill; alterations to toll roads, streets, sidewalks, and curbs; and for similar activities involving alteration of roads and ROW.			
5275-03a	PERMITS	Granted applications and permits.			5 years.
5275-03b	PERMITS	Denied applications and permits.			1 year.
5275-04	SERVICE AND REPAIR REQUESTS	Complaints from the public or from other local government departments on hazards, potholes, and other needed repairs on toll roads, streets, and rights of way and requests for traffic signs, lights, changes to traffic flow, etc.			2 years.
5275-05	STREET CLEANING RECORDS	Reports, logs, or similar records documenting street cleaning operations.			1 year.
5275-07	TOLLWAY AND STREET MAINTENANCE RECORDS	Reports, logs, or similar records, compiled on a daily, weekly, and/or monthly basis documenting repair and maintenance work on the following:			
5275-07a	TOLLWAY AND STREET MAINTENANCE RECORDS	Toll roads, streets, street lights, sidewalks, rights of way, etc.			3 years.

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL REMARKS
N5275-07a1*	TOLLWAY AND STREET MAINTENANCE RECORDS	Project Operating Agreements: Records related to agreements dealing with contracted toll road maintenance and operations, including RFPs, specifications, bids, bonds, payments, inspections, correspondence and audits.		AC + 4	[TxDOT reference 86CON03 and 86OPS01.]
5275-07b	BRIDGES AND OVERPASSES				
N5275-07b1*	BRIDGES AND OVERPASSES	Project Files: Half-scale plans, design notes, geometric calculations, and records related to coordination with outside agencies of projects under construction.		LA	[TxDOT reference 88BDS01.]
N5275-07b2*	BRIDGES AND OVERPASSES	Cost estimate data related to bridge and bridge-class culvert replacement based on costs for bridge work let to contract construction.		US	[TxDOT reference 88BPB02.]
N5275-07b3*	BRIDGES AND OVERPASSES	Records related to gauging stations and other similar instrumentation attached to bridges.		LA	[TxDOT reference 88BPM01.]
N5275-07b4*	BRIDGES AND OVERPASSES	Documentation related to review and approval of preliminary bridge and railroad overpass/underpass layouts, coordination with other divisions and external authorities for necessary agreements and permits, and bridge-related project information		AV	[TxDOT reference 88BPM04.]
N5275-07b5*	BRIDGES AND OVERPASSES	Bridge Design Exceptions: Documentation related to the approval or denial of design exceptions, variances, and waivers.		PERMANENT	[TxDOT reference 88BPM05.]
N5275-07b6*	BRIDGES AND OVERPASSES	Bridge overload analysis notes.		AV	[TxDOT reference 88CMT01.]
N5275-07b7*	BRIDGES AND OVERPASSES	Copies of certificates for certified welders.		US	[TxDOT reference 88CMT02.]
N5275-07b8*	BRIDGES AND OVERPASSES	Bridge Project Drilled Shaft and Pile driving records.		LA	[TxDOT reference 88TSG01.]

RETENTION PERIOD				
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	TOTAL
N5275-07b9*	BRIDGES AND OVERPASSES	Records related to the Highway Bridge Replacement and Rehabilitation Program (HBRRP) and the Railroad Grade Separation Program development process for the Unified Transportation Program (UTP).		AC
N5275-07b10*	BRIDGES AND OVERPASSES	Records related to development and execution of agreements with TxDOT and other local participating agencies for NTTA bridge projects, historic bridge replacement or rehabilitation projects, agreements and permits with federal agencies related to drainage, reservoir, engineering, bridge replacement, navigable stream and wetland crossings, etc.		AC + 4
N5275-07b11*	BRIDGES AND OVERPASSES	Documentation and exhibits prepared in support of railroad agreements related to grade separation projects.		LA
N5275-07b12*	BRIDGES AND OVERPASSES	Records related to requests, agreements and fulfillment of Waiver of Local Match Fund Participation requirements for NTTA bridge projects.		AC + 4
N5275-07b13*	BRIDGES AND OVERPASSES	Historic bridge project records, including documents indicating coordination with TxDOT, THC, and the public.		LA
N5275-07b14*	BRIDGES AND OVERPASSES	Standard drawings.		PERMANENT

REMARKS

Retention Note: Retain as needed to support the TxDOT UTP process.
[TxDOT reference DBR01 and 88BPPB01.]

[TxDOT reference DBR02.]

[TxDOT reference DBR03.]

[TxDOT reference DBR04.]

Retention Note: For agreements and project financial records, see N5275-07b4*.
[TxDOT reference DBR05.]

[TxDOT reference DBR06 and 88TSS01.]

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL
N5275-07b15*	BRIDGES AND OVERPASSES	Bridge design records for projects, including geotechnical and hydrological analyses, studies and surveys, layout development and approval, environmental and permitting coordination and all bridge-related records including construction plans and materials in support of letting the project.			AV
N5275-07b16*	BRIDGES AND OVERPASSES	Design waiver records.			PERMANENT
N5275-07b17*	BRIDGES AND OVERPASSES	Bridge folders, including the original bridge inventory report, maps, sketches, initial and subsequent inspection reports, follow-up action worksheets, appraisal worksheets, NBI printouts, structural condition history for on- and off-system bridges and bridge-class culverts.			LA + 3
N5275-07b18*	BRIDGES AND OVERPASSES	Bridge inspection summary reports and records related to load zoning of NTTA bridges.			LA
N5275-07b19*	BRIDGES AND OVERPASSES	Drainage Complaint files: records related to drainage complaints, with investigations, reports, recommendations and responses to the complaint.			AC + 2
N5275-07c*	RAILROADS				
N5275-07c1*	RAILROADS	Railroad Agreements and exhibits pertaining to specific crossing projects, and railroad spur tracks crossing toll roads.			PERMANENT
N5275-07c2*	RAILROADS	Right of entry, survey agreements, and related records.			AC + 4
N5275-07c3*	RAILROADS	Records related to replanking and funding.			FE + 3

Retention Note: Final as-built plans should be retained permanently in accordance with 5275-08.

[TxDOT reference DBR07.]

[TxDOT reference DBR08.]

[TxDOT reference DBR09.]

[TxDOT reference DBR014.]

[TxDOT reference DBR015.]

[TxDOT reference 58RRS01.]

[TxDOT reference 58RRS02.]

[TxDOT reference 58RRS04.]

RETENTION PERIOD					
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL REMARKS
N5275-07c4*	RAILROADS	Warning signal and device program management records related to the selection, prioritization and management of state and federally funded grade crossing and signal maintenance and upgrading programs and management.			FE + 3 [TxDOT reference 58RRRS05.]
N5275-07c5*	RAILROADS	Railroad crossing and signal project records: Includes records related to management and coordination of grade crossing maintenance, replanking, signal installation and maintenance, grade separation and drainage structure projects.			AC + 4 [TxDOT reference 58RRRS06.]
5275-08	TOLLWAY AND STREET MASTER RECORD	Master record in some form of every road and street providing a description, history, and classification of each.			PERMANENT.
5275-09	TOLLWAY MASTER PLANS	Planning survey of all existing roads and projected improvements and additions to toll road system.			PERMANENT.
5275-10	TREE AND PLANT FILES	Records relating to the planting, trimming, inspection, and removal of trees and shrubs along public streets, roads, and sidewalks.			2 years.
N5275-11*	SURVEILLANCE VIDEOS				AV

SECTION 6-2: TRAFFIC ENGINEERING RECORDS

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
N5300-01a*	TRAFFIC MANAGEMENT PROJECT FILES	Documentation related to specific traffic management projects.			AV	[TxDOT reference 58TRM01.]
5300-01	ACCIDENT REPORTS	Reports, usually supplied by the police department, of traffic accidents used to monitor, redevelop, or redesign streets, intersections, speed limits, signal timing, directional flow patterns, etc.			AV.	[TxDOT reference 58TEN07.]
N5300-02*	TRAFFIC STUDIES	Reports dealing with speed zone studies and other safety-related information.			US	[TxDOT reference 58TEN04.]
5300-03	TRAFFIC COUNT REPORTS	Reports of traffic passage on streets, roads, bridges, intersections, etc. or use of local government owned parking lots or structures.			1 year.	
5300-04b	TRAFFIC DEVICE INSTALLATION AND MAINTENANCE RECORDS	Reports, logs, or similar records documenting painting, inspection, or repainting of pavement and curb markings.			2 years.	
N5300-04c*	TRAFFIC HAZARDS	Documents in support of hazard elimination and safety improvements.			AC + 4	[TxDOT reference 58TEN01.]
N5300-04d*	TRAFFIC ENGINEERING AGREEMENTS	Documents related to the development, execution and management of traffic engineering agreements.			AC + 4	[TxDOT reference 58TEN02.]

N5300-04e*	STRIP MAPS	Original strip map file.			US	[TxDOT reference 58TEN05.]
N5300-04f*	TRAFFIC ENGINEERING SHEETS	Traffic engineering standard sheets.			AV	[TxDOT reference 58TEN06.]
N5300-05*	TRAFFIC RADIO OPERATIONS					
N5300-05a*	TRAFFIC RADIO OPERATIONS	Records related to coordination with the Federal Communications Commission for base station licenses and operation.			AV	[TxDOT reference 58RAD01.]
N5300-05b*	TRAFFIC RADIO OPERATIONS	Radio needs surveys.			5	[TxDOT reference 58RAD02.]
N5300-06*	TRAFFIC SAFETY					
N5300-06a*	TRAFFIC SAFETY	Documentation in support of TxDOT's highway safety plan.			AC + 10	[TxDOT reference 58TSS01.]
N5300-06b*	TRAFFIC SAFETY	Traffic safety project records.			AC + 4	[TxDOT reference 58TSS02.]
5300-07	TRAFFIC SIGNS AND SIGNALS INVENTORY RECORDS	Registers, index cards, or similar records providing an inventory of all installed traffic signs and signals showing type of equipment or sign, location, date of installation, and similar data.				
5300-07a	TRAFFIC SIGNS AND SIGNALS INVENTORY RECORDS	If a complete inventory is periodically revised and reprinted.			US + 1 year.	
5300-07b	TRAFFIC SIGNS AND SIGNALS	If an inventory is maintained on cards, databases, or similar			PERMANENT, but purge records relating	

	INVENTORY RECORDS	medium that permits purging.			to junked signs and signals.	
N5300-07c*	TRAFFIC SIGNS AND SIGNALS INVENTORY RECORDS	Traffic signal authorization request form files.			AV	[TxDOT reference 58TRM02.]
N5300-07d*	TRAFFIC SIGNS AND SIGNALS INVENTORY RECORDS	Traffic signal specifications.			US	[TxDOT reference 58TRM03.]

PART 7: ENVIRONMENTAL RECORDS

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
5450-03	ENVIRONMENTAL CLEARANCE DOCUMENTS	Documents and reports dealing with the National Environmental Policy Act.				
N5450-03a*	ENVIRONMENTAL CLEARANCE DOCUMENTS	Files and exhibits related to site assessments, environmental impact statements, mitigation plans, cultural resources, historical/archaeological information and other documentation necessary to obtain environmental clearance of a proposed project.			PERMANENT	[TxDOT reference 57PRO01, 57PRO02, 57PRO03, 57CRM01, 57CRM02, 86ADI01, and 86PNV01.]
N5450-03b*	ENVIRONMENTAL CLEARANCE	Documentation related to determination that a project is eligible for exclusion from environmental review.			AC + 4.	Retention Note: AC = project completion. [TxDOT reference 86PNV02.]
N5450-03c*	ENVIRONMENTAL CLEARANCE	Records related to early coordination with public agencies and public involvement in project development.			AC + 4	[TxDOT reference 86PLD03.]
N5450-04*	ENVIRONMENTAL COMPLIANCE AUDITS	Audits conducted to determine compliance with applicable environmental laws.			3 years	[TxDOT reference 57HMM01.]

RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD			REMARKS
			OFFICE	STORAGE	TOTAL	
5025-06a	OPERATIONAL PERMITS AND APPROVALS	Permits and approvals from the Texas Commission on Environmental Quality, the Environmental Protection Agency, and other county, state, and federal agencies as required by law or regulation concerning storm water, wastewater treatment and disposal, and water use; and any reports, correspondence, or other documentation bearing directly on the application for, the issuance of, or the renewal of the permit or approval.			Expiration, cancellation, or revocation, or denial + 5 years.	
5025-08	REPORTS TO REGULATORY AUTHORITIES	Periodic monitoring, financial, and operational reports submitted to the Texas Commission on Environmental Quality, the Environmental Protection Agency, or other agencies and local governments as required by law or regulation.				
5025-08a	REPORTS TO REGULATORY AUTHORITIES	Periodic reports compiled and submitted on less than an annual basis.			3 years.	

		RETENTION PERIOD				REMARKS
RECORD NUMBER	RECORD TITLE	RECORD DESCRIPTION	OFFICE	STORAGE	TOTAL	
5025-08b	REPORTS TO REGULATORY AUTHORITIES	Annual and biennial reports or special reports ordered or required by a regulatory authority.			PERMANENT.	
5025-11	VIOLATION REPORTS	Reports, correspondence, and similar records relating to actions taken to correct violations of federal, state, or local laws, ordinances, or regulations.			3 years after last action taken with respect to the particular violation.	
5450-01	ASBESTOS MANAGEMENT / DISPOSAL RECORDS					
5450-01a	ASBESTOS MANAGEMENT / DISPOSAL RECORDS	Records documenting asbestos abatement projects.			30 years from the date of project completion.	[By regulation - 25 TAC 295.62(a).] Retention Note: The regulation cited above only applies to "public buildings". However, for ease of retaining records, the 30 year period is used for all types of abatement projects.
5450-01b	ASBESTOS MANAGEMENT / DISPOSAL RECORDS	Records of asbestos inspections.			5 years.	
5050-02a	ASBESTOS MANAGEMENT / DISPOSAL RECORDS	Waste shipment record.			2 years.	[By regulation - 40 CFR 61.154(e)(4).]
5450-02	ENVIRONMENTAL PROTECTION AND NATURAL RESOURCES MANAGEMENT PLANS					