

NTTA Projects	Original Issue Date: 06/05/2008	DM-02
Resource: Document Management	Revision 5 Issue Date: 04/28/2011	Page 1 of 5
Title: Project Delivery Records Management Requirements		

1.0 PURPOSE:

The purpose of this requirements document is to define the naming, filing, retention, destruction and permissions control of NTTA Project Delivery records.

2.0 RESPONSIBILITIES:

- 2.1 Project Delivery (PD) Document Control Staff – The PD Document Control staff shall be responsible for establishing the Project Delivery Electronics Record Repository (PDER²), also known as Content Management, coordinating access permissions with the EPDS Team, providing training and user support on the use of the system, performing periodic audits for compliance and coordinating the destruction of records after the retention period expires. The PD Document Control Staff shall also be responsible for scanning, user support and compliance auditing.
- 2.2 Consultants and Project Delivery staff – All Consultants (inclusive of, but not limited to Corridor/Project Management, Design Section Engineers, and Construction Managers) and Project Delivery staff shall be responsible for naming and uploading project records within their areas of responsibility in accordance with this requirements document.
- 2.3 NTTA Records Retention Manager – NTTA Records Retention Manager shall coordinate with the PD Document Control staff the destruction of records that have reached their expiration date.
- 2.4 NTTA EPDS Team – The NTTA EPDS Team shall be responsible for establishing security permissions and obtaining of approvals for access to each project or program within the Project Delivery Electronics Record Repository (PDER²).

3.0 SCOPE/APPLICABILITY:

This requirements document shall apply to all records generated on NTTA Project Delivery projects.

4.0 REFERENCES:

- [North Texas Tollway Authority Record Control Schedule](#)
- [North Texas Tollway Authority Record Management Program](#)
- [DM-01 Management of Controlled Documentation](#)

5.0 DEFINITIONS & ACRONYMS

NTTA Projects	Original Issue Date: 06/05/2008	DM-02
Resource: Document Management	Revision 5 Issue Date: 04/28/2011	Page 2 of 5
Title: Project Delivery Records Management Requirements		

6.0 PROCEDURES:

6.1 Access Permission to the Records Repository: Access permission to the Project Delivery Electronic Records Repository (PDER²) shall be determined and approved by the CM/Project Manager, NTTA EPDS Team and Project Delivery Management. Any user needing access to specific projects or programs shall submit a written request to the NTTA EPDS team (epdshelp@ntta.org). Upon receipt of this request, the NTTA EPDS team shall route the request for approval to the CM/Project Team coping the Project Delivery Contracts Manager. If all approve, the user will receive a notification via email with the necessary login information. If denied, the user will receive a notification indicating such status. Training is highly encouraged prior to use.

6.2 Filing, Storage, and Retrieval:

- 6.2.1 The Project Delivery Electronic Records Repository (PDER²), also known as “Content Management” is the official repository for all project delivery records.
- 6.2.2 All project participants that have been granted access shall use NTTA’s EPDS Content Management repository for upload, storage and subsequent retrieval of project records. Project records shall be scanned into Adobe PDF format (or left in their native format as applicable) and uploaded into the designated folder in accordance with *DM-02-A1, Content Management Uniform Filing System*.
- 6.2.3 All final versions of approved EPDS workflow documents shall be uploaded into the Project Delivery Electronic Records Repository (Content Management).
- 6.2.4 Where “wet signatures” and/or stamped documents are required by the NTTA or a Project Delivery business process, they shall be scanned and uploaded into Content Management in accordance with *DM-02-A1, Content Management Uniform Filing System* after all signatures have been obtained. The user may maintain hardcopies of the documents if desired or required by the NTTA.
- 6.2.5 The Content Management repository is split into two workspaces, Programs and Projects.
 - The “Programs” workspace shall be utilized for those records that are not project specific (typically used for global/system wide project information). Within the “Programs” workspace (Figure 1), there is a structure of folders and subfolders used to categorize record types in accordance with *DM-02-A1, Content Management Uniform Filing System*
 - The “Projects” workspace shall be utilized for those records that are project or corridor specific. Each Project Delivery project has been named. Within the “Project” workspace (Figure 1), there is a structure of folders and subfolders used to categorize record types in accordance with *DM-02-A1, Content Management Uniform Filing System*.

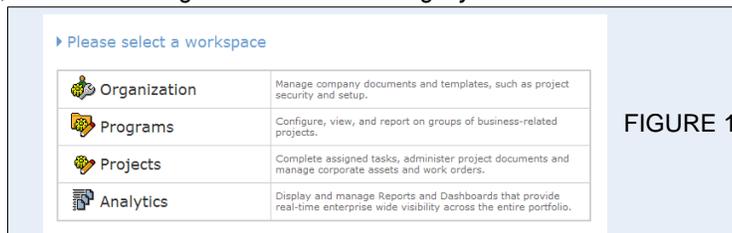


FIGURE 1

NTTA Projects	Original Issue Date: 06/05/2008	DM-02
Resource: Document Management	Revision 5 Issue Date: 04/28/2011	Page 3 of 5
Title: Project Delivery Records Management Requirements		

6.3 Folder Structure: The standard folder structure for all Projects is determined by document *DM-02-A1, Content Management Uniform Filing System*. Deviations from this structure to accommodate the specifics of a particular project or program must be approved in advance, and submitted with justification to Quality Management and the NTTA EPDS Team.

6.4 Record File Naming Convention – All file names shall conform to the standard naming convention as described in Table 1 below and further detailed in *DM-02-A2, Content Management File Naming Convention*.

Field Number	Field ID	Field Description
1	File Type	Use abbreviations found in document <i>DM-02-A2, Content Management Naming Convention</i> – <i>Capital letters are required for this field</i>
2	Organization	Name of the originating organization/company (short name or initials is preferred)
3	Originators Initials	Two or Three characters representing the initials of the record creator – <i>Capital letters are required for this field</i>
4	Title	Description of the contents of the record inclusive of associated reference numbers (i.e., Contract, Work Authorization, Supplemental Agreement, Change Order, etc. – if applicable). The title should contain the name of the organization/company who is the service provider, if different from the originating organization Example “_SA12345 CON02323 KBR_”
5	Date	Date the record became effective (not the date the record was uploaded into CM) When the record has multiple dates, use the following priority <ul style="list-style-type: none"> • Effective Date • NTTA signature date (most recent date) • Most recent signature date (non NTTA signature) • Creation date Date format must be eight characters long Format: MMDDYYYY (March 6, 2010 is coded as 03062010)
NOTE 1	Special Characters	The use of the following special characters <u>shall not</u> be used in the file name: \\ / : ; * ? " < > # { } % ~ &
NOTE 2	Field Separators	Each field must be separated using the underscore “_” character Underscores are not be used within fields – see examples below: Correct: CON_NTTA_RW_CON2005 HNTB_06192005 Incorrect: CON_NTTA_RW_CON2005_HNTB_06192005 (no “_” between CON2005 & HNTB)
TABLE 1		

Examples:

1. Contract:	CON_NTTA_RW_CON02005 HNTB_06192005
2. Supplemental Agreement:	SA_NTTA_SW_SA0012 CON02323 ABC Inc_08122009
3. Geometric Design:	DE_PBSJ_PC_CON02067 Geometric Design_08302009

NTTA Projects	Original Issue Date: 06/05/2008	DM-02
Resource: Document Management	Revision 5 Issue Date: 04/28/2011	Page 4 of 5
Title: Project Delivery Records Management Requirements		

6.5 Records Retention and Destruction:

- 6.5.1 Record Identification and Retention – Records shall be retained in accordance with the North Texas Tollway Authority Record Control Schedule. Drafts and superseded versions shall be retained where there is a known possibility that the history of a particular record will need to be traced through successive versions or drafts (e.g. – when a draft contains any significant handwritten comments or notations). The retention period shall begin from the date a record was first created or received.
- 6.5.2 If there is any question as to a records relevance to past or anticipated future legal proceedings, the record shall be retained until such time the NTTA Records Retention Manager deems it unnecessary and can be destroyed.
- 6.5.3 Record Destruction – The PD Document Control Staff shall coordinate the destruction of records with the NTTA Records Retention Manager after the retention period has expired; shall protect confidentiality of records at destruction and shall not reuse media if confidential records could be compromised. Records shall not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated prior to the destruction of the record until the completion of the action and the resolution of all issues associated with it.
- 6.5.4 Duplicate files, duplicate copies, library materials, and stocks of obsolete forms or pamphlets originally intended for distribution are not considered to be official records or record copies and are not subject to the controls of this requirements document. Duplicate files or records shall be destroyed when they cease to be useful by the user.

7.0 REGULATORY REQUIREMENTS:

- Texas State Library and Archives Commission Local Schedule GR: Retention Schedule for Records Common to all Local Governments (Fourth Edition).
- Texas State Library (13 Texas Administrative Code Sections 6.91-6.99).
- Texas Government Code Section 441.188; 13 Texas Administrative Code Sections 6.21-6.35.
- Local Government Code, Chapter 204 or Chapter 205.

8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

- [DM-02-A1](#) Content Management Uniform Filing System
- [DM-02-A2](#) Content Management File Naming Convention

10.0 FLOWCHART:

N/A

NTTA Projects	Original Issue Date: 06/05/2008	DM-02
Resource: Document Management	Revision 5 Issue Date: 04/28/2011	Page 5 of 5
Title: Project Delivery Records Management Requirements		

11.0 REVISION HISTORY

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Faye Allen	06/05/2008		Original Issue
1	Faye Allen	07/21/2008		Modified Section 2.1
2	Faye Allen	09/22/2008		Added reference to NTTA Record Control Schedule and NTTA Record Management Program and deleted Decision Flowchart
3	Md Omar Faruk	04/07/2010	10118	Revised to include Project Communication, Permission Rights to Project Records, EPDS Content Management for Filing Storage and Retrieval, Document/File Naming Convention, and Content Management Uniform Filing System. Deleted Guiding Principle. Changed the title of the procedure.
4	Peter Claypool	04/22/2010	10132	Added in Table 1, notes 1 & 2 and clarified the use of capitals in fields 1 & 3
5	Md Omar Faruk	04/28/2011	10266	Revised to update 2.0 Responsibilities and 6.0 Procedures. Replaced PMO with PD.