

NTTA Projects	Original Issue Date: 06/05/2008	DM-03
Resource: Document Management	Revision 1 Issue Date: 07/21/2008	3 pages
Title: Administrative Record		

1.0 PURPOSE:

The purpose of this procedure is to define the process for the creation of formal Administrative Records on projects in compliance with statutory and regulatory requirements.

2.0 GUIDING PRINCIPLE:

All NTTA projects requiring environmental documentation shall comply with the administrative record procedures established herein.

3.0 RESPONSIBILITIES:

- 3.1 Document Control Manager– The DCM shall be responsible for overseeing the creation, formatting, indexing, and storage of the administrative record, and providing audit support.
- 3.2 Document Control Specialist – The document control specialist shall be responsible for comparing documents, completing the checklist, formatting administrative record, indexing the administrative record, removing privileged documents and records, storing the hard copy of the administrative record in PD files, and saving electronic copies of the administrative record on the NTTA network. The document control specialist shall be responsible for gathering and reviewing project files from the CM/Project Manager, environmental manager, and project/corridor consultants.
- 3.3 Environmental Manager and Corridor Manager (CM)/Project Manager – The environmental manager and CM/Project Manager shall be responsible for forwarding all approved documents to the document control staff.

4.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA projects and corridors.

5.0 REFERENCES:

- [DM-01 Document Control](#) procedure
- NTTA Environmental Manual
- AASHTO Practitioner’s Handbook. Maintaining a Project File and Preparing and Administrative Record for a NEPA Study. July 2006. <http://environment.transportation.org/pdf/PG01.pdf>.
- FHWA Order M 1324.1A. Files Management and Records Disposition Manual. November 1999. <http://www.fhwa.dot.gov/legsregs/directives/orders/m13241/m13241a.htm>.
- U.S. Department of Justice, Environment and Natural Resources Division. Guidance to Federal Agencies on Compiling the Administrative Record. January 1999. http://environment.transportation.org/pdf/programs/usdoj_guidance_re_admin_record_prep.pdf.
- National Park Service. Guidance on Administrative Records. Undated. <http://www.nature.nps.gov/protectingrestoring/DO12Site/tabs/tab5.htm>.

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6.0 DEFINITIONS & ACRONYMS

7.0 PROCEDURES:

All approved documents received from the environmental manager and CM shall be forwarded to the document control staff. All administrative record files must be reproducible from both the hard and electronic copies.

7.1 The document control specialist shall:

- 7.1.1 Compare forwarded documents with other documents received from NTTA, PD, TxDOT, FHWA, sub-consultants, resource agencies, and others;
- 7.1.2 Complete the checklist to ensure all necessary documents that comprise an administrative record are present;
- 7.1.3 Format administrative records in chronological order by document number, document title, subject and date;
- 7.1.4 Index the administrative record using the naming convention in accordance with *DM-01, Document Control* procedure;
- 7.1.5 Remove documents identified by NTTA legal counsel as privileged documents and records from the administrative record;
- 7.1.6 Store the hard copy of the administrative record in the PD files – separate from the privileged documents;
- 7.1.7 Save all electronic copies of the administrative record on the NTTA network.

8.0 REGULATORY REQUIREMENTS:

- Administrative Procedure Act (APA). 5 U.S.C. 706 (2)(A): http://www.patentofficelawsuit.info/apa_act.htm
- Freedom of Information Act (FOIA): <http://www.state.gov/m/a/lips/>
- National Environmental Policy Act of 1969 (as amended): <http://www.nepa.gov/nepa/regs/nepa/nepaegia.htm>
- FHWA Technical Advisory 6640.8A: <http://www.fhwa.dot.gov/legregs/directives/techadvs/t664008a.htm>

9.0 RELATED BOARD POLICY:

N/A

10.0 COMPONENT DOCUMENTS:

- [DM-03-F1](#) NEPA Compliance Documentation Checklist

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REVISION HISTORY:

Revision	Date Issued	Reason for Revision
0	06/05/2008	Original Issue
1	07/21/2008	Changed Document Control Administrator to Document Control Manager

11.0 FLOWCHART:

N/A