

Texas Department of Transportation  
IH 635 Managed Lanes Project  
Technical Provisions

**Attachment 02-4A**

Toll Operations Document Retention Schedule

## Toll Operations Document Retention Schedule

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
<b>Bank Deposit Slips (copies)</b>	Used by the Operations/Accounting Deposit Clerk to denote the amounts, dates, and times of deposits taken to the bank (one copy goes to Mgr.)	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
<b>Batch Control Log</b>	Used by the Operations staff to log daily tracking forms. (10 - 2" binders for one year)	1 Year	86ADO09--Logs/Log Books
<b>Batch Tracking Form</b>	Used by the Operations Supervisors and staff to track batches as they go through the fulfillment process.	1 Year	86ADO09--Logs/Log Books
<b>Call Monitoring Form</b>	Used by Operations Supervisors	1 Year	86IRM05--Activity Monitoring
<b>Call Classification Form</b>	Used by Operations Supervisors and Managers to develop call statistics and report upon them daily. (Recommend destroying hard copies after entering into Daily Report)	1 Year	86ADM08--Operations Reports
<b>Card Testing Log</b>	Used by the Operations Supervisors and staff to track the testing of account management cards. (Recommend destroying hard copies)	1 Year	86ADO09--Logs/Log Books
<b>Card Type Summary Report</b>	Used by the Operations/Accounting Auditors to reconcile credit card totals with the Account Management System reports.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
<b>Change Fund Sheet</b>	Used by Operations Storefront Supervisor to track change requests for available Storefront funds	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
<b>Credit Card Reconciliation Worksheet (Account Management System to Credit Card Processor)</b>	Used by the Operations/Accounting Auditor to reconcile credit card payments from Account Management System to the bank.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
<b>Operations Daily Report</b>	Used by the Operations Management team to report call center and storefront statistics..	1 Year	86ADM08--Operations Reports
<b>Summary of Fulfilled Tag Requests Report</b>	Account Management System report used by Operations Manager to identify number of tag fulfillment requests processed for the day.	1 Year	86ADM08--Operations Reports

## Toll Operations Document Retention Schedule

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
<b>Phone System (Queue) Activity Report</b>	Phone system report used by Call Center Supervisor to identify activity for each call center queue.	1 Year	86ADM08--Operations Reports
<b>Phone System Activity Report by Interval</b>	Phone system report used by Call Center Supervisor to identify activity for each call center queue in 30 minute intervals.	1 Year	86IRM05--Activity Monitoring
<b>Phone System Agent Summary Report</b>	Phone system report used by Call Center Supervisor to identify activity for each individual agent.	1 Year	86IRM05--Activity Monitoring
<b>CSR Daily Reconciliation Form</b>	Used by the Operations Storefront Supervisor and storefront staff to reconcile all walk-in transactions with their tag fulfillment and the funds taken for the transactions on a daily basis.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
<b>CSR Transaction Qualification Form</b>	Used by the Operations Call Center CSRs to track call type statistics and then used by the Operations Managers and Supervisors for QA procedures. (One drawer for one year)	1 Year	86IRM05--Activity Monitoring
<b>Daily Activity Report</b>	Used by Operations staff to document activity and tasks completed each day. (each supervisor maintains workgroups' logs) 10 - 12 Binders	1 Year	86ADM08--Operations Reports
<b>Daily Bank Deposit Log</b>	Used by the Operations/Accounting Clerk to denote the amounts, dates, and times of deposits taken to the bank.	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
<b>Daily Cash Reconciliation Worksheet</b>	Used by the Operations/Accounting Clerk to reconcile cash transactions pre-deposit on a daily basis.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
<b>Daily Safe Log</b>	Used by the Operations Supervisor to determine the amount of funds that should be located in the Operations center safe at any time.	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
<b>Deposit Reconciliation Summary</b>	Used by Deposit clerk and Auditor to reconcile daily depository funds.	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
<b>Deposit Reconciliation Worksheet</b>	Used by the Operations/Accounting Auditor to reconcile deposits from Account Management System to the bank on a daily basis.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations

## Toll Operations Document Retention Schedule

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
<b>Detailed Call, CSQ, Agent Report</b>	Phone System report used by Call Center Supervisor to identify activity for each individual agent, itemizing individual calls.	1 Year	86IRM05--Activity Monitoring
<b>E-Mail Tracking Log</b>	Used by Operations Storefront Supervisor to track number of incoming e-mails by type and resolution counts.	1 Year	86ADO07--Correspondence Tracking Record
<b>Enrollment Form</b>	Used by Operations CSRs to enroll new customers in the toll Account Management system. Contain credit card numbers and must be secured and destroyed accordingly.	AC (After Completion/ Account Closed)+3 years	86ACC21--Credit Card Account Record
<b>Escalation Log</b>	Used by Operations Call Center Supervisors to track escalated issues and whether or not they have been resolved.	1 Year	86ADO09--Logs/Log Books
<b>Incoming Mail Log</b>	Used by Operations Supervisors and Managers to track the collection, batching, and distribution of incoming mail.	1 Year	86ADO07--Correspondence Tracking Record
<b>Interim Bank Statement</b>	Used by the Operations/Accounting Auditor to reconcile deposits made to the bank.	Fiscal Year End +3 years	86ACC20--Bank Statements
<b>IOP Reconciliation Worksheet</b>	Used by the Operations Auditor to reconcile IOP transactions between Account Management System and the TTA IOP Module.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
<b>Kit Tracking Batch Transmittal</b>	Used by Operations staff to transmit a batch of kits to another Operations staff member.	Fiscal Year End +3 years	86ACC07--Inventory Records
<b>Monthly Bank Statement</b>	Used by the Operations/Accounting Auditor to verify all transactions to the bank on a monthly basis.	Fiscal Year End +3 years	86ACC20--Bank Statements
<b>Outgoing Mail Log</b>	Used by the Operations/Accounting Auditor and Management team to ensure that all outgoing mail is handled appropriately.	1 Year	86ADO07--Correspondence Tracking Record
<b>Postage Report</b>	Used by the Operations Auditor to compare to the Outgoing Mail Log and reconcile to two.	Fiscal Year End +3 years	86ADO10--Postage/Postage Expense Records

## Toll Operations Document Retention Schedule

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
<b>Special Events Request Form</b>	Used by the Operations Special Events Supervisor to request equipment for a special event.	1 Year	86ADO11--Work Orders, Service Requests
<b>Tag Inventory Sheet *</b>	Used to track tag kit bins as they are received into inventory. (Recommend destroying hard copies)	Fiscal Year End +3 years	86ACC07--Inventory Records
<b>Tag Testing Log *</b>	Used by the Operations Supervisor and staff to track the testing of tags. (Recommend destroying hard copies)	1 Year	86ADO09--Logs/Log Books
<b>Transaction Detail Report</b>	Used by the Operations/Accounting Auditor to reconcile any issues (including timing issues) that result from the daily credit card reconciliation.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
<b>IOP Module EFT Summary Report</b>	Used by the Operations/Accounting Auditor to track funds due to agency from away agencies and vice-versa.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
<b>IOP Module Transaction Reconciliation Detail Report</b>	Used by the Operations Auditor to reconcile interop issues (including rejected, but posted tolls) that result from monthly reconciliation.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
<b>Tag Sales Receipts</b>	Used by Operations Storefront Supervisor as receipt for single payment to multiple accounts.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
<b>Tag/Card Request Form</b>	Used by the Operations Special Events Supervisor to request equipment for a special event.	1 Year	86ADO11--Work Orders, Service Requests
<b>Transaction Summary Report</b>	Used by the Operations Auditor and Operations to track all transactions in the Account Management System by all clerks for an adjustable span of time.	1 Year	86ADM08--Operations Reports
<b>Clerk Transaction Summary</b>	Used by the Operations Auditor and Supervisors to reconcile all the transaction of a specific clerk for an adjustable span of time with Account Management System.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
<b>Transaction Type Detail Report</b>	Used by Operations and Auditors to reconcile transaction details in the Account Management System for a specific transaction type with their counterparts in other systems.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.

## Toll Operations Document Retention Schedule

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
<b>Deposit Summary</b>	Used by Walk-in Store Front Supervisor to document deposit totals in Account Management System.	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
<b>Credit Card Journal - Detail Report</b>	Used by the Operations Auditor to reconcile specific credit card transaction in the Account Management System for all card types to their Credit Card Processor counterparts..	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
<b>Transaction Control Summary by Agency</b>	Used by Auditors and Operations to deliver a big picture, large-scope review of all transactions in the Account Management System occurring for an adjustable span of time.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
<b>Follow-up Notes</b>	Used by Operations Call Center Supervisors to identify escalated issues from CSRs or customers that may require follow up by the Account Management System.	AC (After Completion/ Final Resolution)+2 years	86ADM06--Complaint Files (NOTE: Issues resulting in legal action retained AC+3 per 86ADM43, Legal Case Files.
<b>New Accounts Added Report</b>	Used by the Operations Call Center Supervisors to ensure that all newly enrolled accounts were properly enrolled with the correct funds posted to all new accounts.	AC (After Completion/ Account Closed)+3 years	86ACC21--Credit Card Account Record
<b>Account Management System-IP User Productivity Report</b>	Used by Image Review Supervisor to identify images reviewed by individual clerks.	1 Year	86IRM05--Activity Monitoring
<b>Toll Management (TMS) Traffic, Operator, Status, Revenue Reports</b>	Reports on revenue and traffic	Fiscal Year End +3 years	86ACC39—Internal Fiscal Reports (Using the longest retention requirement.)