



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	601	3. Agency Name	Texas Department of Transportation						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
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The Records Retention Schedule is grouped by types of records common to most workgroups, followed by those records that are unique to specific divisions or district functions.

The destruction of all official TxDOT records must be documented on an approved Form 1420. Contact TxDOT Records Management for assistance.

The Texas State Archives does not accept electronic records subject to archival requirements. Agencies must either retain electronic records which are subject to State Archives review indefinitely or print the records out for submission to the State Archives before destroying the electronic records. Contact TxDOT Records Management for assistance.

A STATE RECORD WHOSE RETENTION PERIOD HAS EXPIRED MAY NOT BE DESTROYED IF ANY LITIGATION, CLAIM, NEGOTIATION, AUDIT, PUBLIC INFORMATION REQUEST, ADMINISTRATIVE REVIEW OR OTHER ACTION INVOLVING THE RECORD IS INITIATED; ITS DESTRUCTION SHALL NOT OCCUR UNTIL THE COMPLETION OF THE ACTION AND THE RESOLUTION OF ALL ISSUES THAT ARISE FROM IT.

A STATE RECORD WHOSE RETENTION PERIOD EXPIRES DURING ANY LITIGATION, CLAIM, NEGOTIATION, AUDIT, PUBLIC INFORMATION REQUEST, ADMINISTRATIVE REVIEW, OR OTHER ACTION INVOLVING THE RECORD MAY NOT BE DESTROYED UNTIL COMPLETION OF THE ACTION AND THE RESOLUTION OF ALL ISSUES THAT ARISE FROM IT.

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
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### COMMON AND DISTRICT OPERATIONS RECORDS

	ACF	ACCOUNTING, CONTRACTING AND FINANCIAL RECORDS						
4.5.	ACF01	Budget Files: Records related to development of periodic operating budgets. May include records or documentation in support of performance measures documentation submitted to Finance Division for required agency performance measures reporting.	FE+3		FE+3		Records related to biennial legislative appropriations request retained by Finance Division under 43FBF01. Agency performance measures documentation retained under 43FBF03.	
4.5.002	ACF02	Budget Monitoring and Management: Correspondence and documentation related to management of operating budget.	FE+3		FE+3		Department record copy of budget monitoring reports maintained by Finance Division under 43FBF02.	

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4.7.	ACF03	Accounting and Financial Files: Local office accounting and financial records, internal fiscal and asset management reports and related worksheets, ledgers, registers, statements, summaries, or adjustment documentation, petty cash and similar internal accounting records.	FE+3		FE+3	SEE ACF20 journal vouchers and supporting documentation that may be retained locally.		
4.2.	ACF04	Receipts: Cash receipts, warrant receipts, receipts for fees, permits, product sales, publications, subscriptions, copies of documents, and other monies coming into the department, deposits, including electronic fund transfers/registers, receipt logs and reconciliations, transmittal documentation.	FE+3		FE+3	Finance Division – Revenue Accounting is department office of record for revenue accounting records and reports managed on FIMS (Financial Management Information System). SEE 43ACM12 for records held by the Finance Division which document the receipt of bond proceeds or investment income.		

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3.4.006	ACF05	Employee Time Records.	FE+47		FE+47	40 TAC §815.106(i). Finance Division office of record for Austin headquarters division and office timesheets. SEE 43PEP15. SEE ALSO ACF21 for time sheet support documentation.		
3.3.	ACF06	Reimbursable Expense Records: Travel requests, statements, distributions or requests for reimbursable training or conferences.	AV		AV	Local copy may be destroyed after verification of payment in the Finance Division imaged voucher file (Department record copy). SEE 43PVP01.		
5.3.	ACF07	Delegated Purchasing Records: Records related to requests, purchases and receipt of goods and services.	FE+3		FE+3	Note: Order, Acknowledgments, Shipping Tickets and Packing Lists may be retained only as long as needed for verification. <a href="#">SEE ACF09 for retention of Term of Contract (TOC) purchasing records.</a>		

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5.3.007	ACF08	Bid Documentation: Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, <b>successful accepted</b> and unsuccessful <b>rejected</b> bids, and bid tabulations/evaluations.							
		a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE+3		FE+3				
		c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC+2		AC+2				
							(a) AC=Expiration of termination of the instrument according to its terms or decision not proceed with the bid.  <b>CAUTION: 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 ACF09.</b>  (c) AC=Date of notification of denial or date of withdrawal, as applicable.		

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5.1.001	ACF09	<p>Contracts: Records related to routine contracts for purchases, services, leases, consultants, IACs, Advanced Funding Agreements (AFAs), Memoranda of Agreement (MOAs), and any contracts and agreements related to the prosecution of projects and programs, and all records related to specifications, affidavits of publication of calls for bids, <a href="#">accepted proposal</a>, performance bonds, contracts, purchase orders, inspection reports, contractor performance reports and correspondence. <a href="#">May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.</a></p> <p>a) Executed, renewed, or amended on or after September 1, 2015.</p> <p>b) Executed, renewed, or amended on or before August 31, 2015.</p>	AC+7		AC+7		<p>AC = Completion, expiration, or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a></p> <p><a href="#">SEE related item numbers ACF10 Performance Bonds and ACF08 Bid Documentation.</a></p> <p>Files may also be managed on CE or FE basis as appropriate to nature of contract and local office filing practice.</p> <p>NOTE: Advanced Funding Agreements (AFAs) are not considered complete until the structure is removed, replaced or an original agreement is superseded by another agreement.</p> <p>IAC = Interagency Contract</p>		
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3.1.035	ACF10	Performance Bonds: Bonds posted by employees and individuals or entities under contract with TxDOT for the performance of duties of a position or the terms of a contract with the agency.					AC = Expiration or termination of the bond according to its terms. <a href="#">Government Code, 441.1855.</a> NOTE: Certain surety bonds may have specific retention requirements and are listed elsewhere in the department's schedule. Does not include construction or architectural surety bonds. SEE 46CCP01, 02. <a href="#">SEE ALSO related items ACF09 and 95CSO01 for Contracts and Leases.</a>		
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4				

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4.1.	ACF11	Billing Files: Form 132 Billing Statement supporting detail and related correspondence for goods and services, excluding telecommunications billing.	AV		AV	AV = Copies forwarded to Finance Division, Voucher Processing for payment and are scanned into record copy voucher files. SEE 43PVP01. Retain original documentation for a period sufficient to ensure that scanned record is accurate. SEE 59IMT series for telecommunications billing records.		
5.1.017	ACF12	Contract Logs: Lists of TxDOT contracts, leases and agreements, including general obligation, land lease, utilities and construction contracts.	FE+3		FE+3			

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4.7.008	ACF13	<p><del>Federal</del> Grant Records: Records related to federal grants, grant-funded projects.</p> <p><i>This series documents state and federal grant projects participated in or administrated by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.</i></p>	AC+3		AC+3	<p>AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule, 36 CFR §1207.42(b)). CAUTION: Retention requirements may vary depending on the specific <del>federal</del> funding agency.</p> <p>NOTE: Grant/project records requiring specific retention different from that indicated in this entry are listed separately in this records retention schedule.</p>		
5.2.	ACF14	Inventory Records: Including equipment inventory detail report forms, additions, adjustments, transfers, deletions, warehouse material issues and stock room inventory management records.	FE+3		FE+3	Department annual equipment inventory managed through General Services Division. SEE 38PMS08.		

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4.7.005	ACF15	Claim Files: Documentation, work orders and records of payment related to claims.	AC+3		AC+3	AC = Final resolution of claim. SEE DMT09 for retention of damage reports. Tort and liability claims addressed in SAF and Occupational Safety Division (60TOR) schedules.		
5.1.013	ACF16	Insurance policies.	a) Executed, renewed, or amended on or after September 1, 2015.	AC+7	AC+7	AC = Expiration or termination of the policy according to its terms. <a href="#">Government Code, 441.1855</a>		
			b) Executed, renewed, or amended on or before August 31, 2015.	AC+4	AC+4			
4.1.005	ACF17	Cost Files: Production, job, labor costs, labor pricing, costing specifications, etc.	FE+3		FE+3			
5.1.012	ACF18	Charge Schedules: Charges for services, lab tests, permits, copies of records, etc.	US+3		US+3			

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5.1.005	ACF19	Postage Records: Records and reports of postage and package express expenses, including postal meter usage.	FE+3		FE+3			
4.7.	ACF20	Journal Vouchers and supporting documentation.	FE+47		FE+47		Offices inputting adjustment vouchers may retain record copy of support documentation that is not included with records scanned by Finance Division for retention. SEE 43ACM10.	
3.4.007	ACF21	Time Off and/or Sick Leave Requests, including documentation related to jury duty, performance leave, etc.	FE+4		FE+4		Retained in originating district, division, office or region.	
3.4.004	ACF22	Overtime Authorizations	2		2			
4.7.003	ACF23	Returned Checks/Warrants/Drafts (Uncollectable)	AC+3		AC+3		AC = After deemed uncollectable.	

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	ADM	ADMINISTRATIVE RECORDS						
1.1.007	ADM01	Administrative Correspondence: Incoming/outgoing and internal correspondence in any media pertaining to the formulation, planning, implementation, interpretation, modification or redefinition of the programs, services or projects of an agency and the administrative regulations, policies and procedures that govern them.	4		4	R	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, district engineers, division directors and program heads require archival review. The State Archives currently cannot accept electronic records. At end of retention, contact TxDOT Records Management, for assistance.</p> <p>CAUTION: This record series and item ADM02 should be used only for correspondence that is not included in or directly related to another record series in this schedule.</p> <p>Records may be managed on AV, CE or FE basis.</p>	

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1.1.008	ADM02	General Correspondence and Memoranda in any media related to routine operations: Requests for information or services; interoffice memoranda; telephone reports, internal meeting notes, District/Division Announcements, etc.	2		2		SEE Remarks to ADM01, above. May be managed on AV, CE or FE basis.		
1.1.011	ADM03	Executive Orders: Any document that initiates, rescinds, or amends a regulation, policy or procedure that governs the programs, services, or projects of an agency.	US+3		US+3	A	Originating office responsible for related administrative correspondence.		
1.1.010	ADM04	Directives or Internal Procedures: Any document that officially initiates, rescinds, or amends general office procedures.	US+1		US+1				

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1.1.057	ADM05	<p>Transitory Information: Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency'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 agency or in the preparation of an on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc), are routine messages, fax transmittal verification printouts, telephone message notifications, internal meeting notices, routing slips, incoming letters or memoranda of transmittal that add nothing of substance to enclosures, and similar routine information used for communication, but not for the documentation of a specific agency transaction.</p>	AC		AC	<p>AC = Purpose of the record has been fulfilled.</p> <p>CAUTION: Record owners must make certain that these records are not part of another record series listed in this schedule or part of a TxDOT records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorizations or in records destruction logs,</p>		
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Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
 AV – Administrative Value

CE – Calendar Year End  
 FE – Fiscal Year End

LA – Life of Asset  
 MO – Months

PM – Permanent  
 US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives  
 R – Review by State Archivist



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	601	3. Agency Name	Texas Department of Transportation						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.006	ADM06	Complaint Files. Complaints received from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2	AC = Final disposition of complaint. Individual offices are responsible for files related to their operations. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number ADM33.		
1.1.020	ADM07	Public information (open records) requests- Not Exempted: Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1		AC+1	AC = Date request fulfilled.		
1.1.021	ADM08	Public Information Requests – Exempted: Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2		AC+2	AC = Date of notification that records are exempt.		

**Retention Codes (Field 7)**

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**Archival Codes (Field 8)**

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.069	ADM09	Operations Reports: Operations, activity and/or performance reports used for workload measures, time studies or funding; technical operations, production or service reports, objectives-related progress reports, etc.	1		1	May be managed on AC, CE or FE basis.		
1.1.063	ADM10	Staff Meeting Minutes and Notes: Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1		1			
1.1.	ADM11	Records related to internal department committees, task forces, work groups, teams etc.	AV		AV	AV = Many committees are ongoing.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.024.	ADM12	Plans and Planning Records: Plans and records relating to the process of planning new or redefined programs, services, or projects of the agency that are not included in or directly related to other records series in this schedule.	AC+3		AC+3	R	AC = Decision made to implement or not to implement result of planning process. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.  ARCHIVES NOTE: Data processing planning records are not archival. Planning records for routine internal operations are not archival.		
1.1.	ADM13	Program/Project files: Records and documentation related to development and management of programs or projects other than construction or maintenance projects.	3		3				
1.1.	ADM14	Subject Reference Files: Case, project, technical or other records of continuing value. Records may include selected documents or parts of original records retained by offices beyond minimum retention requirements.	AV		AV				

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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.067	ADM15	Reports and Studies (Non-Fiscal): Annual, sub-annual, or special reports or studies on non-fiscal aspects of TxDOT programs, services or projects, compiled by agency personnel, by advisory committees, or by consultants under contract that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3		3	R	Retain raw data and working papers only as long as administratively valuable. <b>Forward one copy</b> of completed report or study upon issuance or publication to TxDOT Records Management for State Archives review.  NOTE: Internal reports related to routine agency operations are not archival		
1.1.065	ADM16	Working papers for non-fiscal reports and studies: surveys, raw data, notes, calculations, etc. for technical/program and/or project operations, photographic, video, publications resource and working files.	AV		AV		Some records may be designated vital by offices. Materials not used in final reports may be purged.  CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.066	ADM17	District, Division or Office records related to biennial narrative reports to the governor and legislature as required by the agency's enabling statutes, including annual narrative reports, if they are required by statute.	AC+6		AC+6	A	AC= September 1 of odd-numbered calendar years. ARCHIVES NOTE: Archival requirement met by sending required copies to the Texas State Publications Depository Program.		
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.3.001	ADM18	<p>State Publications: One copy of each state publication, (as defined in Chapter 7 of the <i>Printing and Document Services Manual</i>, except a publication that is subject to a different retention period in this schedule. For example News Releases meet the definition of a state publication, but require only a 2 year retention; Commission Meeting Agendas and Minutes, also meet the definition but must be retained permanently.</p> <p>Reports or studies are retained for 3 years. The Legislative Appropriations Request and the Annual Financial Report which also meet the definition are closely associated with the appropriations process and are retained AC+6.</p>	AC+2		AC+2	<p>AC = Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program by law (Government Code §441.101). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. NOTE: Publications on the Internet must remain accessible on the Internet for two years after they are released or last modified.</p> <p>For deposit information, procedures and requirements see Chapter 7 of the <i>Printing and Document Services Manual</i>.</p>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.3.002	ADM19	Publications Development Files: Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV		AV	R	<p><b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review when no longer of administrative value.</p> <p>Requirement does not apply to drafts of text, production paste-ups or production materials for routinely distributed publications or brochures.</p>		
1.3.	ADM20	Internal newsletters, publications, General Warehouse Catalog, Materials Sources Catalog, etc.	AV		AV				
1.1.019	ADM21	Public Relations Records: News, press releases, or any public relations files maintained or issued by individual department offices. Includes print, electronic, audio and audiovisual records.	2		2	R	<p><b>Do not destroy these records locally.</b> Forward one paper copy of each release or copy of audio or video to TxDOT Records Management for State Archives review.</p> <p>SEE 75CMD schedule for Public Information Records.</p>		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.040	ADM22	Speeches, Papers and Presentations: Notes or text of speeches, papers, presentations or reports delivered in conjunction with agency work.	AC		AC	R	AC = End of term in office or termination of service in a state position. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.		
1.1.	ADM23	Records Related to Meetings, Conferences and Observances: Announcements, meeting arrangements, programs, committees for associations, internal agency, and affiliated organizations, dedications, memorials, anniversaries, retirements, etc.	1		1				
1.1.023	ADM24	Organization Charts	US		US	A	Publication of agency organization charts in Legislative Appropriations Request or Strategic Plans satisfies archival requirement.  Organization charts of districts, divisions, offices, regions or individual work units not subject to archival requirement.		

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Archival Codes (Field 8)

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	ADM25	History Files: Records related to the history of the agency and its subdivisions, facilities or structures of potential historical significance.	AV		AV	R	<b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review if ever determined to be of no further value to TxDOT.		
1.1.027	ADM26	Proposed Legislation Files: Fiscal notes and related correspondence for bills affecting the agency and/or affected subdivisions during the legislative session, proposed legislation drafts, correspondence, impact statements, action plans.	AV		AV		SEE ALSO 76SLA02 for related legislative issues files. Action plans may become parts of other files.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.070	ADM27	Agency Rules, Policies, and Procedures -- Final: Manuals, guidelines, administrative rules or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3		AC+3	R	<p>AC = Completion, supersession or termination of program, rules, policies or procedures. Archival requirement met when rules are published in the <i>Texas Register</i> or TAC or when copies of externally distributed publications or brochures are deposited with the State Publications Clearinghouse.</p> <p>SEE ADM 18 for retention requirements related to manuals made available to the public as state publications.</p> <p>SEE ADM04 for retention requirements related to internal office procedures. Working files retained in specific offices responsible for individual manuals of parts of manuals subject to same requirement.</p> <p>SEE ALSO ADM01 and ADM03.</p>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.071	ADM28	Agency Rules, Policies, and Procedures – Working Files: Working files used in the development of manuals, guidelines, administrative rules or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out rules, policies, and procedures that govern an agency’s programs, services, or projects.	AC+3		AC+3	R	AC = Completion, supersession or termination of program, rules, policies or procedures. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review. Working files retained in specific offices responsible for individual manuals or parts of manuals subject to same requirement. SEE ALSO ADM01, ADM03. SEE ADM27 for retention of published rules. SEE 79OGC05 for office of record for TxDOT <i>Texas Register</i> submissions.		
1.1.002.	ADM29	Audits: Audits and reviews performed by TxDOT on external entities, on TxDOT by external entities or on the agency by internal auditors.	AC+7		AC+7		AC = Publication or release of final audit findings. The State Auditor’s Office retains any copies of its audits performed on Texas state agencies. Audit working papers and draft reports confidential per Government Code, § 552.116.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1	ADM30	Audit Response File: Action plans, progress reports, etc., related to resolution of audit findings when applicable.	AC+1		AC+1	AC = Resolution of findings		
1.1.074	ADM32	Sunset Review: Correspondence and files related to Sunset Review of the agency, including documentation prepared by the subdivisions of the agency.	AC+3		AC+3	R AC = After the subsequent Sunset Review. SEE ALSO 76SLA03 for listing related to agency report. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.048	ADM33	<p>Legal Case Files: Records related to specific cases retained in the district, division or office (D/D/O).</p> <p>NOTE: This item addresses records that may be retained by D/D/Os that may not be included in claim, litigation or administrative hearing case files managed for the department by the Office of the Attorney General, TxDOT's Office of General Counsel, private counsel, or in coordination with specific Austin headquarters offices (i.e., OCC, ROW, etc.).</p> <p>SEE ALSO 79OGC01.</p>	AC+3		AC+3	R	<p>The Office of General Counsel may forward case files to the district, division, or office from which the case originated, to maintain in accordance with this retention schedule. In every instance the Office of General Counsel will retain a copy of the final decision and memoranda from the Office of General Counsel according to the retention schedule.</p> <p>AC = After the decision is final under the Texas Administrative Procedure Act or other law, and any opportunity to appeal the decision to court has expired, or the case on appeal is completed and final. On the expiration of the retention period, the Office of General Counsel will contact TxDOT Records Management to coordinate a review by the State Archives to evaluate cases that set legal precedent or exhibit historical value.</p>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.073	ADM34	Administrative Hearings: Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be retained with related information including meeting notices, proofs of publication, and meeting minutes.	AC+3		AC+3	R	AC = Last action. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.		
1.1.075	ADM35	Alternative Dispute Resolutions – Final Agreement: Final agreement described by Government Code §2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which TxDOT personnel participate as a party on the agency's behalf.	AC+4		AC+4		AC = Date of final agreement. Texas Civil Practices and Remedies Code, Chapter 154.071.		
1.1.	ADM36	Contractor Sanctions: Records related to debarment and/or suspension of contractors.	AC+3		AC+3		AC = Completion of penalty period, cancellation of suspension, lifting, modification or suspension of department action.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.056	ADM37	ADA (Americans with Disabilities Act) records/documentation related to self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3		3	May be managed on AC, CE or FE basis. Per 29 CFR §35.105(c).		
1.2.013	ADM38	Records Control Materials: Office file plans, indexes for records, card files, shelf lists, claims registers, etc.	AC		AC	AC = When updated, revised, or no longer needed.		
5.1.004	ADM39	Listings/Rosters: Address/telephone numbers, mailing/document distribution lists, contact persons, projects/operations/activities, meeting attendance rosters, parking assignments/logs, listings of tasks, codes, assets, etc.	AV		AV	Employee home phone numbers are confidential; all others are open records.		
1.1.053	ADM40	Visitor Registration Reports.	AC		AC	AC = Quarterly submission to Texas Ethics Commission. Department locations retain copies as building entry/security logs per DMT04.		

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1.1.	ADM41	Records of Notarizations.	AC		AC	AC = Forward to County Clerk upon termination of notary commission.		
1.1.	ADM42	Releases/Authorizations: Releases of copyright.	AV		AV			
5.1.015	ADM43	Correspondence Tracking Records: Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1			
3.3.020	ADM44	Work Schedules/Assignments: Work, duty, shift, crew, or case schedules, rosters or assignments.	1		1			
5.5.	ADM45	Log books containing information related to operations and/or projects, including station activity reports, long distance telephone/fax logs, radio base station/tower logs.	AC+1		AC+1	AC = Date of last entry. Files may be managed on AC, CE or FE basis.		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
 AV – Administrative Value

CE – Calendar Year End  
 FE – Fiscal Year End

LA – Life of Asset  
 MO – Months

PM – Permanent  
 US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives  
 R – Review by State Archivist



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	601	3. Agency Name	Texas Department of Transportation						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.019	ADM46	Work Orders, Service Requests.	1		1	NOTE: These records may become part of another record series (Computer hardware maintenance records or job/project accounting files, for example) and require retention related to those files. Some offices may retain beyond minimum for reference.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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**SLR 105**

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2. Agency Code	601	3. Agency Name	Texas Department of Transportation						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.013	ADM47	Calendars, appointment books or programs, and scheduling or itinerary records purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE+1		CE+1	R	<p>ARCHIVES NOTE: Only the calendars, appointment and itinerary records of executive staff, board or commission members, district engineers, division and office directors, and program heads require archival review. TxDOT Records Management will collect applicable electronic calendars annually to retain and submit for State Archives review.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document work activities may be a state record and subject to this retention period.</p> <p>See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.010	ADM48	Licenses and permits (Non-Vehicle). (Does not include licenses and permits issued by an agency as part of its statutory responsibilities.)	AC+2		AC+2	AC = Expiration of license or permit. SEE ITM15 for Software licenses and DMT08 for Radio Base Station licenses.		
1.2.003	ADM49	Forms History File: Print masters of original version and all subsequent revisions to TxDOT forms, including any associated design or design modification requests.	AC+1		AC+1	AC = Discontinuance of use of form. Files retained by office of primary responsibility (OPR) for individual forms.		
1.1.041	ADM50	Suggestion System Records: Suggestions submitted by agency personnel and responses.	1		1			

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	ADM51	Signature Authority lists (Non-fiscal)	US+5		US+5	CAUTION: Retain superseded lists for a period consistent with the requirements for records signed in accordance with the list. For example, superseded lists related to contracting signature authority could be needed for legal support for up to <b>17</b> years for contracts lasting ten years. SEE 43PVP02 for department OPR for signature authority for financial transactions.		
1.1.038	ADM52	Customer Surveys: Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance	AC		AC	AC = Final disposition of summary report. SEE item number ADM15 for summary reports compiled from customer surveys.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

EQP	EQUIPMENT RECORDS						
2.2.012	EQP01	Minor Equipment: MES (Minor Equipment System) backend reports for entries related to specific items of equipment	AV		AV	SEE 38PMS schedules for records related to minor equipment inventory.	
5.4.003	EQP02	Equipment and Facility Inspection Records.	AC+3		AC+3	AC = Date of the correction of the deficiency, if the inspection report reveals a deficiency.	
5.2.005	EQP03	Equipment Calibration Records.	AC+10		AC+10	AC = Date of calibration. Files may be maintained on CE, FE, or as-completed basis.	
5.2.010	EQP04	Equipment Manuals: Operating information.	LA		LA		
5.2.	EQP05	Non-Vehicular Preventive Maintenance Records: Routine preventive maintenance files, logs, etc.	AV		AV	CAUTION: Status reports, summaries, problem records may be required to substantiate trustworthiness and accuracy of electronically stored records as evidence.	

Retention Codes (Field 7)

Archival Codes (Field 8)

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.008	EQP06	Equipment Service and Repair Records for Non-vehicular Equipment Maintained Under Vendor Service Agreements: repair report sheets, maintenance/service reports, warranties and related documentation.	LA+3		LA+3	NOTE: Retain service agreements or contracts related to equipment repairs and service in accordance with Agency Item Number ACF09 SEE EQP02, above, for vehicle records. SEE Remarks for ITM07 and EQP09 for records related to computer equipment.		
5.2.	EQP07	Equipment History Records for Non-vehicular Equipment Not on Vendor Service Contract: maintenance and repair records, location, etc.	LA		LA	Computer equipment maintenance logs and records may be required to substantiate trustworthiness and accuracy of electronically stored records as evidence.		
5.2.007	EQP08	Equipment damage reports, trouble logs, etc.	FE+3		FE+3	Records for information resources equipment may be required to substantiate trustworthiness and accuracy of electronically stored records as evidence. SEE Remarks for ITM05, EQP09.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.019	EQP09	Service Orders: Agency copy of forms completed by TxDOT service personnel or service personnel from outside the agency for installations or repairs. Includes billing code, service, labor, parts and remarks.	1		1	Files may be maintained on CE, FE, or as-completed basis.		
5.2.	EQP10	Equipment Receipt: Forms acknowledging employee receipt of and responsibility for items of state property.	US+1		US+1	US=Forms may include multiple items, which may be returned at different intervals. NOTE: Form to be retained FE+3 with other related records if an item of equipment is reported lost or stolen or if the employee is required to reimburse the department for expenses related to the equipment.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

	<b>PER</b>	<b>PERSONNEL ADMINISTRATION/ EMPLOYEE RECORDS</b>					NOTE: Employee Social Security Numbers are CONFIDENTIAL information and must be completely blacked out on copies of any records furnished in response to public information requests.  Charges may be imposed on the requester for copies made to delete SSN information.		
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.1.	PER01	Employee Records containing all documents related to application, employment, personnel data, education, training, recognition, awards, medical, substance abuse and actions for individual employees, as identified in Chapter 10, Section 1 – Personnel Files, TxDOT <i>Human Resources Officers Reference Guide.</i>	AC+5		AC+5	AC = Employee termination. Public inspection of certain records allowed by statute. Contact Office of General Counsel for guidance. SEE Agency Item Number 53CES02 for former employees verification file. Retain employee medical and/or substance abuse records under appropriate security per Health Insurance Portability and Accountability Act of 1996 (HIPAA). HR Online or another approved human resources management information system serves as the system of record for maintaining employee data and generating individual reports and records of employee's personnel data, employment, compensation, personnel actions, training, recognition and awards. Selected data elements from employee records may be retained for reporting purposes. See 53HCR06.		
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**Retention Codes (Field 7)**

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**Archival Codes (Field 8)**

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## Records Retention Schedule

**SLR 105**

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.1.029	PER02	District/Division/Office/Region INS Form I-9 and supporting documentation file. as identified in Chapter 10, TxDOT <i>Human Resources Officers Reference Guide</i> .	AC+1*		AC+1*	AC = Employee termination. * per 8 CFR § 274a,(2)(A), “three years after the date of the hire or one year after the date the individual's employment is terminated, <b>whichever is later.</b> ”		
3.1.012	PER03	Employment Opportunity Announcements: Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2	Files may be managed on CE, FE, or as-completed basis. 29 CFR §1602.31.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.1.014	PER04	Employment Application and Selection Documentation (not hired): Includes all documentation/records related to selection process for position.	AC+2		AC+2	AC = Position filled. 29 CFR §1602.31. NOTE: Form 4009E, "EEO Data Form," to be removed from submitted application and filed separately for one year per <i>Human Resource Manual</i> . (SEE PER13.) CAUTION: Does not include criminal history information, which must be destroyed after it is used for the immediate purpose for which it was obtained (SEE Subchapter F, Chapter 411, Government Code).		
3.1.001	PER05	Employment Applications (Not Hired): Non-specific applications for employment submitted.	AC+2		AC+2	AC = Date of submission. Retain unsolicited resumes 1 year if agency replies to sender that they will be kept on file should future job openings occur. 29 CFR §1602.31		

Retention Codes ( <i>Field 7</i> )	Archival Codes ( <i>Field 8</i> )
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# STATE OF TEXAS

## Records Retention Schedule

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2. Agency Code	601	3. Agency Name	Texas Department of Transportation					
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.3.	PER06	Form 1750 Training Request.	AV		AV	AV = 1750 used as input for employee training or conference records for courses that do not issue certificates. SEE ACF06 for Retention of Form 1750 as support documentation for reimbursable activities.		
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.3.027	PER07	Competencies or Skills Tests: Competencies or skills tests taken by current personnel to qualify for promotion, transfer or to complete a training course.	US+2		US+2	29 CFR §1602.31. CAUTION: One copy of each different test (different in terms of either questions, bank of questions, or administration procedures) should be retained for the period indicated. Human Resources Division (HRD) retains copy of tests used for training sponsored by HRD. Districts, divisions, offices or regions (D/D/O/Rs) retain copy of tests for their sponsored training. Tests that do not need to be completed to get credit for a training course are considered instructional material. SEE PER12. SEE 53WFD01 for tests that award CEUs.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.1.	PER08	Employee Medical Records Related to Blood Borne Pathogens: Including training, immunization/vaccination, inspection reports, incident investigation reports, physical exams after exposure, tests, treatments, physician reports, etc.	AC+30		AC+30	AC = Employee termination. 30 year retention requirement per Chapter 5, <i>Occupational Safety Manual</i> .		
3.3.	PER09	Employee notifications/ policy acknowledgements and agreements, such as periodic information security agreements, telecommuting, etc.	FE+1		FE+1	Latest version maintained in employee file. May be purged upon termination prior to retention of PER01.		
3.4.	PER10	Employee Leave Records monthly reports from HRMS.PER.516.	AV		AV	SSN# Confidential. Item included for informational purposes. Official department record retained FE+3. SEE 53HRC02.		
3.1.018	PER11	Grievance Records: Records related to employee complaints and measures taken to address them at the district/division/office/region level.	AC+2		AC+2	AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the EEO office of the Department of Labor SEE ADM33, 53EOR04 (re: facilitations).		

**Retention Codes (Field 7)**

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**Archival Codes (Field 8)**

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.3.030	PER12	Training Administration Records: Instructional materials and other records associated with in-house training that do not award CEUs to agency personnel.	7		7	Human Resources Division retains one copy each of instructor and student guide for department-wide training sponsored by HRD. SEE 53 WFD01 for instruction materials related to CEUs. D/D/O/Rs retain a copy of instructional material for their local sponsored training.  See SAF01 for requirements related to hazardous communication program files and SAF14 for safety instructional material.  See PER19 and 53WFD01 for sign-in training rosters.		
2.1.	PER13	Applicant Equal Employment Opportunity Data Form 4009E.	AC+1		AC+1	AC = Base retention on closing date of the job requisition, per Chapter 1, Section 8 of the TxDOT <i>Human Resources Manual</i> .		

Retention Codes (Field 7)	Archival Codes (Field 8)
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3.1.	PER14	Preparation Records for Employee Recognition: Documentation related to nominations for departmental and individual district, division, office and region award programs.	AV		AV	Note: Awards for individual employees retained AC+5 in Employee Record under PER01.		
3.2.010	PER15	Human Resources Information System (HRIS) Reports: Includes supporting documentation.	AC+4		AC+4	Social security numbers confidential.		
3.1.034	PER16	Resumes – Unsolicited: Retention period applies if TxDOT replies to the sender of a resume that it will be kept on file should future job openings occur.	AV		AV	SEE PER05 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.1.006	PER17	Employee Counseling Records: Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal or substance abuse problems. Usually maintained at the supervisor level except in those agencies with counseling staff.	AC+3		AC+3	AC = Termination of counseling.		

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3.2.007	PER18	Applications for unemployment compensation, related documentation.	AC+5		AC+5	AC = Receipt of form. Retain same length of time as employee records under PER01.		
3.1.022	PER19	Personnel Information or Training Action Forms: Sign-in rosters, forms or similar records used to create or change information concerning the records of an employee, including training and employee personal data.	2		2	29 CFR § 1602.31. Retain for 2 years from the date of making of the record or the action involved whichever occurs later. Records may also be managed on a CE, FE or US, plus 2 years basis. Human Resources Division retains sign-in rosters for their sponsored training. See 53WFD01 for sign-in rosters of training that awards continuing education units CEUs. See PER01 for individual employee training records. See PER23 for personnel 102 action records.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.3.028	PER20	Competencies or Skill Test (Individual Scored Test Papers): Competencies or skills test papers of current personnel to qualify for promotion, transfer, or to complete a training program or course.	2		2	29 CFR § 1602.31. Retain for 2 years from date of test. Records may also be managed on a CE, FE or US, plus 2 years basis. Human Resources Division retains students' scored test papers for training sponsored by HRD. D/D/O/Rs retain scored test papers related to their local sponsored training. Tests that are not required to complete the training are considered instructional material, see PER12. See 53WFD02 for test papers related to CEU credits.		
3.3.	PER21	Employee Recognition Programs: Records and information related to the agency's various formal recognition programs.	AC+3		AC+3	AC=Until superseded or program termination. NOTE: Awards for individual employees retained AC+5 in Employee Record under PER01.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	601	3. Agency Name	Texas Department of Transportation						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

3.3.019	PER22	Performance Appraisals	AC+5		AC+5	AC=Employee Termination. 29 CFR § 1620.32(c). Public inspection of certain records allowed by statute. Contact Office of General Counsel for guidance.		
3.1.022	PER23	Personnel 102 Action Forms: 102 Forms or similar records used to create or change information concerning the records of an employee including hire, employment status, pay amounts, pay grade, position classification, employee number, evaluation date, disciplinary action, and termination of employment.	AC+5		AC+5	AC = Termination of employment. 29 CRF § 1602.31. Public inspection of certain records allowed by statute. Contact Office of General Counsel for guidance. SEE PER19 for sign-in roosters, training, and personal data action forms.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

SAF	SAFETY RECORDS						
5.4.008	SAF01	Hazard Communication Program Files, including Hazard/Hazmat materials locations, information on interpreting Materials Safety Data Sheets, proper use of protective equipment general safety information related to hazardous materials handling, cleanup and disposal and records of original and triennial refresher hazardous materials/Hazmat and worker protection training given employees in the TxDOT hazard communications program.	US+5		US+5	Work site notebooks updated on ongoing basis. Five-year retention by Hazardous Materials Coordinator at district/division/office work locations per Texas Health and Safety Code, § 502.009(g). Original Form 1812 Certification of Training retained in individual employee folders (PER01).	
5.4.	SAF02	Workplace Chemical Lists	CE+5		CE+5	Submit annual list to Occupational Safety Division (OCC) by January 31 following the reporting period. OCC retains original workplace chemical lists for the 30-year minimum retention required by Texas Health and Safety Code, §502.005(d).	

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.4.010	SAF03	Material Safety Data Sheets.	AC		AC	AC = After sheets are updated or hazardous material no longer stored, as applicable.		
5.4.	SAF04	Hazardous Materials reporting, Tier two reporting to Occupational Safety Division.	CE+5		CE+5	Per Texas Health and Safety Code, § 502.009(g).		
5.4.002	SAF05	Evacuation plans, emergency procedures.	US		US			
5.4.003	SAF06	Inspection Records: Safety and Hazardous Materials Survey records: Reviews, findings, reports and documentation of corrective action Safety inspection records for workplace facilities/ equipment, including fire protection systems and equipment. May also include safety procedures, and periodic procedural inspections and reviews.	AC+3		AC+3	AC = Inspection or date of the correction of the deficiency, if the inspection report reveals a deficiency. NOTE: Safety inspection records for individual construction projects may be consolidated with project records and retained in accordance with the minimum requirement described for the type of construction project in the DEC schedule.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.4.	SAF07	Incident or Occupational Disease Reports by supervisors and employees. Other associated incident reports re: state vehicles, individuals; fatality reports.	CE+5		CE+5	29 CFR 1904.33.		
5.4.	SAF08	Accident Reports at Construction Sites: Copy of DPS vehicle accident reports on accidents occurring at construction sites. (May be kept with project files at field office.)	AC+4		AC+4	AC = Records retained with construction project records under CON01 after project completion. Confidential because of possible tort claims.		
1.1.	SAF09	Potential tort claims files: Accident files which do not result in claims against the department, retained by districts/divisions/offices	AC+2		AC+2	AC = Six months after the date of the incident (per § 101.101 <i>Civil Practices and Remedies Code</i> ). SEE ADM33 for legal case records requirements.		
5.4.	SAF10	District/Division/Office substance abuse program records: coordination of substance testing and reporting with the D/D/O Substance Control Officer and the Occupational Safety Division.	AV		AV	Individual employee reports and records retained under PER01.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.063	SAF11	Safety Meetings: Safety committee meeting minutes and accident report reviews; safety meeting reports, documentation.	4		4	Files may be managed on CE, FE, or as-completed basis. Safety committee minutes and accident report reviews retained with specific project records under CON01.		
5.4.	SAF12	Confined space entry permit files.	1		1	Retain minimum one year per 29CFR §1910.146(e)(6) to facilitate the review of the permit-required confined space program required by paragraph (d)(14) of this section.		
3.1.	SAF13	Preparation Records for Employee Recognition: Preparation documents for safe drivers award/certificate awards, safety awards and related program documentation.	AV		AV	NOTE: Awards for individual employees retained AC+5 in Employee Folder (PER01).		
3.3.030	SAF14	Safety Training Administration Records: Instructional materials and other records related to driver training, first aid, fleet safety, radiological monitoring, safety training, etc.	US+2		US+2	May be managed on CE, FE, or US (Until Superseded) basis. CAUTION: Does not include hazardous materials training records. SEE SAF01 and 60HAZ01. NOTE: See PER19 for sign-in rosters and personnel information.		

Retention Codes (Field 7)

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 AV – Administrative Value

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 MO – Months

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 US – Until Superseded

Archival Codes (Field 8)

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

		<b>DISTRICT TRANSPORTATION PROGRAM AND PROJECT RECORDS</b>							
	<b>DEC</b>	<b>DESIGN, ENGINEERING AND CONSTRUCTION RECORDS</b>							

<p><b>Retention Codes (Field 7)</b></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled          AV – Administrative Value</p>	<p><b>Archival Codes (Field 8)</b></p> <p>A – Transfer to State Archives          R – Review by State Archivist</p>
<p>CE – Calendar Year End          FE – Fiscal Year End</p>	<p>LA – Life of Asset          MO – Months</p>
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.	DEC01	Construction Project Records: Records related to project planning, development, design and construction.	AC+4		AC+4	<p>AC = Project acceptance. Selected records may be retained for technical reference (DEC04). NOTE: Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.</p> <p>SEE ALSO:</p> <ul style="list-style-type: none"> <li>• 38OIS01 for final as-built plans.</li> <li>• 46MST01 for structural materials</li> <li>• DES08, 48FCS02 for design exceptions</li> <li>• DBR09, 88BPM03 for bridge design exceptions</li> <li>• DBR08 for bridge drilled shaft and pile records</li> <li>• 58RHS03 for railroad agreements</li> <li>• ACF09 and 95CSO03 for Advance Funding Agreements</li> </ul>		
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Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
 AV – Administrative Value

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 FE – Fiscal Year End

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 MO – Months

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Archival Codes (Field 8)

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 R – Review by State Archivist



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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.002	DEC02	Building Construction Project Files: Planning, design and construction records; accepted and rejected bids; and correspondence, etc., for state-owned architectural building facilities.	AC+10		AC+10	R	AC = Project acceptance. <b>Do not destroy these records locally.</b> Forward to SSD Records Management for State Archives review. TxDOT/State owned building project records retained under Agency Item Numbers 46CCP02 and 38FMS series.  NOTE: Unsuccessful bids excepted from Archival requirement per 12/21/11 communication from Texas State Archives.		
5.2.003	DEC03	Building Plans and Specifications: Includes architectural and engineering drawings, profiles and blueprints for state-owned architectural facilities.	LA		LA	R	<b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.  SEE 38FMS04 for TxDOT-owned buildings.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.	DEC04	Project Engineering Reference: Notes, calculations, plan or detail drawings, layouts, schematics or maps, structural or materials records, diaries, or other project records which may be retained at district discretion for reference.	AV		AV	AV = This entry addresses retention of selected project records beyond minimum required retentions described in DEC series. <b>Minimum retention requirements must be met.</b> NOTE: Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

	DBR	DISTRICT BRIDGE OPERATIONS						
1.1.	DBR01	District 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).	US		US		May retain as needed to support future UTP processes and project planning through letting. The UTP is a ten-year, annually updated plan.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.001	DBR02	Records related to development and execution of agreements with local participating agencies (LPAs) for off-system 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 = Completion, expiration or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a> NOTE: Advanced Funding Agreements are not considered complete until the structure is removed, replaced or an original agreement is superseded by another agreement. Vital while active. SEE 95CSO03 for office of record for retention of fully executed original agreements.		
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7			AC+7			
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4			AC+4			
5.1.	DBR03	Documentation and exhibits prepared in support of railroad agreements related to grade separation projects.	LA			LA	Traffic Operations Division office of record for executed railroad agreements. SEE 58RHS03.		

**Retention Codes (Field 7)**

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**Archival Codes (Field 8)**

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.001	DBR04	Records related to requests, agreements and fulfillment of Waiver of Local Match Fund Participation requirements (PWP/EMP) for off-system bridge projects.					AC = Completion, expiration or termination of the instrument according to its terms. Retained with project records per DEC series. Vital while active. <a href="#">Government Code, 441.1855</a>		
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Executed, renewed, or amended on or before August 31, 2015	AC+4		AC+4				
5.2.	DBR05	Historic bridge project records, including district coordination with the Environmental Affairs Division, Historic Bridge Team (HBT) evaluations, public involvement, local agreements for off-system bridges, adaptive use agreement amendments.	LA		LA	R	LA retention applies to HBT evaluations and related environmental, public involvement, historical and engineering information subject to archival review. SEE ADM25. <a href="#">SEE DRB02 for the retention of Agreements and project financial records</a>		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.	DBR06	District Standard Drawings	AV		AV			
5.2.	DBR07	Bridge Design and Engineering Records: Project records related to bridges and culverts, including geotechnical and hydrological notes, calculations, layouts, schematics, plans and detail.	AV		AV	AV = After PS&E submission documents become part of project file let to contract and retained in accordance with the DEC series.		
5.2.	DBR08	Bridge Foundation Records: Form 168 (Pile Record), Form 181 (Test Pile Data) and Form 1276 (Drilled Shaft Record)	LA		LA			
5.2.	DBR09	Design exception, variance or waiver records	PM		PM	Complete documentation retained in district files or may be forwarded to the Design Division for retention. SEE 48FCS02.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.2.	DBR10	Bridge Folders: Original bridge inventory report, map, sketches, initial and subsequent inspection reports, follow-up action worksheets, and appraisal worksheets, NBI printout, structural condition history for on- and off-system bridges and bridge-class culverts in the district.	LA+3		LA+3		Record contains confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.		
1.1.	DBR11	Consultant Qualification Files: Precertifications, questionnaires and other documentation related to consulting engineers, surveyors, etc. maintained in the Consultant Certification Information System (CCIS).	AV		AV				

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.1.001	DBR12	Consultant Contract files: Records related to procurement and management of consultant contracts for on- and off-system bridge inspections retained in district.					AC = Completion, expiration, or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a> SEE 95CSO01 for office of record for retention of original contracts.		
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4				

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.1.001	DBR13	Consultant contract procurement file: letters of interest, proposals, and all evaluation and summary forms for providers not selected to receive contracts.					AC = Completion, expiration, or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a> Original contract and records related to its fulfillment retained under 95CSO01.		
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4				
5.4	DBR14	Bridge inspection summary reports submitted to local jurisdictions, district records related to load zoning of off-system bridges.	LA		LA				

Retention Codes (Field 7)	Archival Codes (Field 8)
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1.1.006	DBR15	Drainage Complaint Files: Records related to drainage complaints, with district investigations, reports, recommendations and responses to complainant.	AC+2		AC+2	AC = Final disposition of complaint. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC. NOTE: Refer complaints requesting financial compensation to FIN. CAUTION: If a complaint becomes the subject of litigation, it is subject to retention requirements for litigation files under ADM33.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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	CON	DISTRICT CONSTRUCTION RECORDS					
5.2.	CON01	Construction Project Records: Records related to the administration of contracts, prosecution and management of individual construction projects.	AC+4		AC+4	AC = Project acceptance. May be consolidated with all related planning, development, design and environmental records for the project. Retain in accordance with the minimum requirement described for the type of construction project in the DEC schedule.	
5.4.003	CON02	Traffic Control Devices Inspection Checklist, Form 599	AC+3		AC+3	AC = Inspection, or date of correction of the deficiency, if the inspection report reveals a deficiency. NOTE: Excepted from disclosure by 23 USC 409. Forward request for copies to Office of General Counsel.	

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
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# STATE OF TEXAS

## Records Retention Schedule

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*Form SLR 105C must accompany this form.*

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2. Agency Code	601	3. Agency Name	Texas Department of Transportation						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

DES	DISTRICT DESIGN RECORDS						
5.2.	DES01	Project Development and Design Records: Records related to advance project development, preliminary engineering and design processes to develop Plans, Specifications and Estimates (PS&E) for specific projects.	AC+4		AC+4	AC = Project acceptance. May be consolidated with all related planning, environmental and construction records for the project after letting. Retain in accordance with the minimum requirement described for the type of construction project in the DEC retention schedule.	
1.1.	DES02	Consultant Qualification Files: Precertifications, questionnaires and other documentation related to consulting engineers, surveyors, etc. maintained in the Consultant Certification Information System (CCIS).	AV		AV		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.001	DES03	Consultant Contract files: Records related to procurement and management of consultant contracts retained in district, division or office managing project, including letters of interest, proposals, evaluation and summary forms for providers not selected to receive contracts.					AC = Completion, expiration, or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a> SEE 95CSO01 for office of record for retention of original contracts.		
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4				
5.2.	DES04	Standard Drawing or Plan Sheets	AV		AV				
1.1.	DES05	Public Hearing Data: Documentation used during the hearing process.	AV		AV				

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
1.1.	DES06	Pavement Evaluation System (PES) input and records.	US		US				
5.2.	DES07	Aerial photographs and negatives of locations in district.	AV		AV	R			
5.2.	DES08	Design exception//variance/waiver records.	PM		PM		Permanent retention per 05/12/98 memo from Design Division. Districts may elect to forward these records to Design Division for retention. (48FCS02).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.	ENV	DISTRICT ENVIRONMENTAL OPERATIONS RECORDS	AC+4	AC+4	AC = Clearance of evaluation or re-evaluation by appropriate environmental resource agencies. May be consolidated with all related planning, design and construction records for the project. Retain in accordance with the minimum requirement described for the type of construction project in the DEC retention schedule. NOTE: Cultural resource records confidential per 13 TAC §24.13. ALSO NOTE: Mitigation planning or implementation may be completed after the contract for the project is awarded.		
	ENV01	Project Environmental Records: Files and exhibits related to site assessments, traffic data input Storm Water Pollution Prevention Plan (SW3P) Folder, completion of Environmental documents, required environmental permits, coordination/review with environmental, natural resource, historical or archaeological agencies, mitigation plans*, public involvement, or other documents necessary to obtain environmental clearance for individual construction or maintenance projects.					
	ENV02	Environmental reviews studies and documentation submitted to districts for public transportation projects.	AV	AV	AV = Resulting environmental documentation may be incorporated into individual project records.		

**Retention Codes (Field 7)**

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AV – Administrative Value

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FE – Fiscal Year End

LA – Life of Asset  
MO – Months

PM – Permanent  
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**Archival Codes (Field 8)**

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R – Review by State Archivist



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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.4.	ENV03	Records and documentation related to district environmental reviews of maintenance programs submitted to Environmental Affairs Division for coordination and review with state and federal environmental resource agencies.	US+5		US+5	US = Environmental reviews are reviewed, revised as appropriate and re-coordinated with resource agencies at least every five years.		
5.1.	ENV04	Records related to Statewide Consultant Services project management of individual work authorizations, including proposal review, project coordination and monitoring, payment, receipt of reports, closeout and evaluation.	AC+4		AC+4	AC = Completion of the work authorization according to its terms. Records related to specific construction project incorporated into individual project records retained per DEC 01 or the ROW series.		
2.1.	ENV05	Project/parcel hazardous materials file: district database	AV		AV			

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code	601	3. Agency Name	Texas Department of Transportation						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	ENV06	Records related to the coordination and compliance with cemetery guidelines with local and state authorities, associations and the Cultural Resources Management Section, documentation related to general archeological removal.	AV		AV	AV = Retention of records may depend on the category of cemetery. Category 1 and 2 cemeteries plotted on right of way and project maps. SEE 57CRM01 for handling of archaeological project records. Confidential per 13TAC §24.13(3).		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

	LAB	DISTRICT LABORATORY RECORDS						
5.2.	LAB01	Lab Project Files: Record sample test reports for state and federal projects, Daily construction reports, county test reports, work cards.	AV		AV		NOTE on AV: Construction project records to be retained for minimum AC+4 per DEC01. District labs may retain records for reference.	
1.1.	LAB02	Technical certification qualification memos and lists.	US		US			

**Retention Codes (Field 7)**

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LA – Life of Asset  
 MO – Months

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**Archival Codes (Field 8)**

A – Transfer to State Archives  
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

DMT	DISTRICT MAINTENANCE OFFICE						
5.1.001	DMT01	Agreements and Permits: Municipal Maintenance agreements, Utility Permits, Permits related to long-term and short-term use of right-of-way and related documentation  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7	AC+7	AC+4	AC+4	AC = Expiration or termination of the instrument according to its terms, modification or replacement of permitted structure or facility; completion of permitted activity. <a href="#">Government Code, 441.1855</a>  NOTE: Municipal Maintenance Agreements reviewed periodically to amend changes related to exhibits. Responsibilities of the state and municipalities are NOT revised.  NOTE: For Driveway Permits AC=Life of the asset. For Utility Permits AC = Lifetime of the active utility. Recommend indefinite retention of utility permits for reference in future project development.

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.	DMT02	Landscape Program Files: Vegetation management, herbicide, grass, wildflowers, mowing, beautification, and landscape information.	AV		AV				
5.2.003	DMT03	District Buildings: Plans and records related to buildings in the district, roadside parks, rest areas, etc.	LA		LA	R	LA retention and "R" archival code apply to state-owned buildings only. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review. Plans and records related to leased buildings/facilities need only be retained AC+2 without archival review requirement. Maintenance Division retains original building facility lease records. SEE 38FMS14.		

**Retention Codes (Field 7)**

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**Archival Codes (Field 8)**

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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.4.011	DMT04	Building Security Records: Badge and identification lists, documentation.	3		3	Certain security records may contain confidential information and may be protected as vital records. NOTE: Retain copies of Visitors Registration/Building Security forms to meet this requirement.		
5.4.	DMT05	Video surveillance records.	AV		AV	AV may be determined by capacity of digital recording system and should be documented locally. Retain records required as evidence for litigation or to satisfy a public information request in accordance with the requirements for those record series.		
5.2.	DMT06	Maintenance Operations Reports: Operations and cost reports generated from the MMIS (Maintenance Management Information System), clearances, rest areas, maintenance staffing, weather/road condition reports.	FE+3		FE+3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

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Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Remarks	106 No.	TSLAC ONLY Amend. No.
5.4.013	DMT07	Maintenance Safety: Local disaster plan.	US		US			
5.1.010	DMT08	Radio base station and mobile licenses.	AC+2		AC+2	AC = Expiration/Supersession of license. SEE ADM45 for requirements related to base station/communications tower logs.		
5.2.007	DMT09	Damage Reports and related documentation, estimates for state property, equipment, facilities, roadways, freeze damage, etc.	AC+3		AC+3	AC=Correction or repair of damage (Records may be retained by fiscal year) Retain damage reports related to damage claims AC+3 (AC=Settlement of claim) per retention requirement for Claim Files (ACF15) Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.001	DMT10	Adopt-a-Highway Agreements and related documentation.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7	AC+7	AC+4	AC+4	AC = Termination of agreement. <a href="#">Government Code, 441.1855</a>		
5.2.	DMT11	Traffic signal maintenance files on all signal and illumination installations in the district, including complaints, damage reports, logs and repair records.	LA+20		LA+20		Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.  Records retained for legal reference.  Records may be maintained in individual maintenance sections.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.013	DMT13	Certificates of insurance for district building maintenance.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7	AC+7	AC+4	AC+4	AC = Expiration or termination of policy according to its terms. <a href="#">Government Code, 441.1855</a>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.001	DMT14	<p>Maintenance project contract files managed in districts, including any agreements related to the prosecution of project, and all records related to specifications, affidavits or publication of calls for bids, <del>accepted bid proposal</del>, performance bonds, contracts, purchase orders, material weight verifications, copies of plans, certifications, permits, inspection reports, and correspondence.</p> <p>a) Executed, renewed, or amended on or after September 1, 2015.</p> <p>b) Executed, renewed, or amended on or before August 31, 2015.</p>	AC+7		AC+7		<p>AC = Project completion. <a href="#">Government Code, 441.1855</a></p> <p>File to include all applicable contract-related records as described in item ACF09.</p> <p>Retain <del>unsuccessful</del> bid documentation per ACF08.</p>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.4.	DMT15	Asbestos Abatement Program Files: Closeout documents for asbestos work done statewide, including TDH notification, respirator fit tests, air monitoring reports, areas where material was abated, licenses for workers and consultants, etc.	3		3	Retained in District Maintenance Office for 3 years, then forwarded to Support Services Division for assembly and further 27-year retention. SEE 38FMS08.		
5.4.	DMT16	Hazardous Materials: Records related to hazardous materials determination/ identification, transport, storage, disposals, inspections and reporting.	3		3	NOTE: Original records stored at the location the wastes are generated and stored but copies may be retained for auditing in a central location (District Maintenance Office or Hazmat coordinator).  TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.  SEE MNT11-17 for requirements related to petroleum storage tanks and substance waste, which may also apply to shop operations.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.4.	DMT17	Records related to the permanent removal of USTs or change to exempt or excluded status of underground or above ground storage tanks.	AC+5		AC+5	AC = Permanent removal of UST from service. Records shall be maintained for as long as any UST remains in service at the facility, or for five years after the UST system is permanently removed from service, whichever is longer. (30TAC §334.55(f)).  NOTE: Records retained at UST location(s), but Environmental Affairs division also recommends retention in a central location in the district. TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.		
4.7.	DMT18	Local Government Assistance Program Records.	FE+3		FE+3			

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4.7.	DMT19	Disaster Emergency Funding: Documentation related to emergency funding requests to federal agencies.	AC+3		AC+3	AC = Closeout of event or project per federal agency rules. NOTE: Related and/or additional records may be retained in individual Maintenance Sections		
5.2	DMT20	District Tire Management Files: Scrap tire disposal report, log book, manifests, bills of lading.	3		3	Files may be retained on CE, FE, or as-completed basis. Records may also be retained in Maintenance Sections and Shops.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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	MNT	DISTRICT MAINTENANCE SECTION OPERATIONS RECORDS						
5.1.001	MNT01	Maintenance Contract Records: Documentation related to the performance of maintenance contracts.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7		AC+7		AC = Completion of contract. <a href="#">Government Code, 441.1855</a> SEE 47MNT01 for office of record for statewide routine maintenance contracts.	
5.4.003	MNT02	Inspection Reports: Routine periodic (night, sign, delineation, center stripe, six-month bridge) inspections and maintenance needed/ proposed work reports.	AC+3		AC+3		AC = Inspection or date of correction of the deficiency, if the inspection report reveals a deficiency. Files may be managed on CE, FE, or as-completed basis. Confidential safety information not subject to release under 23 USC §409. Refer requests for information to OGC.	

Retention Codes (Field 7)

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 AV – Administrative Value

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 FE – Fiscal Year End

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 MO – Months

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Archival Codes (Field 8)

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5.2.	MNT03	Herbicide/Pesticide Mixing and Application Records.	2		2	Files may be managed on CE, FE, or as-completed basis. 4 TAC §7.32(a).		
5.4.	MNT04	Documentation related to display of "Watch for Ice on Bridge" signs.	10		10	Files may be managed on CE, FE, or as-completed basis.		
5.1.001	MNT05	Records related to waste oil, used oil filter and scrap tire pick-up agreements from district shop by private businesses.				AC = Expiration or termination of the agreement according to its terms. <a href="#">Government Code, 441.1855</a> Other district offices (accounting, warehouses) may maintain record copy files related to this item.		
			a) Executed, renewed, or amended on or after September 1, 2015.	AC+7				
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4			

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.4.	MNT06	Release of Liability Files: Letters/forms releasing the department and its personnel in maintenance sections from liability when providing assistance to the public.	CE+5		CE+5			
1.1.	MNT07	Maintenance Section Diaries: Supervisor diaries, sign, rest area, etc., diaries.	AV		AV			
4.1.	MNT08	Maintenance Management Information System (MMIS) input documentation: Daily (Form 1757) and/or Weekly (Form 1784) Activity Reports used to input job costing information.	FE+47		FE+47		Retention based on requirements for employee time records per ACF05.	
5.4.	MNT09	Highway Condition Report Files: Reports and system input documentation.	CE+3		CE+3			

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5.4.	MNT10	Storage Tanks: Records related to Underground storage tank (UST) and Above ground storage tanks (AST) original and amended registration documents, certifications for UST installations and financial assurance, notification to UST purchaser, applications/ supporting documentation related to variances. Records related to compliance with technical and installation standards, upgrades of existing USTs, corrosion protection system installations, general information related to tank repair and relining, re-use of used tanks.	LA		LA	LA = Operational life of the UST. Retain records at the location of the UST. SEE MNT 16 for record keeping requirement related to permanent removal of PSTs. TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.		
5.4.	MNT11	UST subsystem (corrosion protection systems, leak detection systems , spill and overflow prevention and control equipment) records, including installation performance claims, schedules of required calibration and maintenance for leak detection systems,	LA		LA	LA = As long as system is used. SEE MNT14 for retention requirements related to system testing records. TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.4.	MNT12	Current registration and self-certification forms required to be filed annually with the TECQ, UST delivery certificates.	AC+5		AC+5	AC = Date of submittal to TCEQ.		
5.4.	MNT13	Storage tank operation and maintenance records. Records relating to the operation and maintenance of UST or AST systems/ subsystems (including inspection and testing results, servicing calibration and repair, inventory control reconciliation and/or temporary removal of a UST from service	5		5	NOTE: For moveable ASTs: continuously maintain complete and accurate records of the specific location, operational status, condition, and type of petroleum products stored at the owner's or operator's principal business address or location. At any given time, the records must include the required tank information for at least the preceding five years. 30TAC §334.127(f)(2).  TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.4.	MNT14	Records related to petroleum storage tank release determinations, coordination with TCEQ and Maintenance division for remediation and/or removals.	AC+5		AC+5	AC = Receipt of TCEQ closure letter in response to the certification of completion of corrective action requirements submitted by the owner or operator. SEE MNT16 for requirements related to the permanent removal of a UST.		
5.4.	MNT15	Records related to the permanent removal of USTs or change to exempt or excluded status of underground or above ground storage tanks.	AV+5		AV+5	AV = Records shall be maintained for as long as any UST remains in service at the facility, or for five years after the UST system is permanently removed from service, whichever is longer. 30TAC §334.55(f). TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.		

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5.4.	MNT17	Records of all petroleum-substance waste activities regarding the description of waste, quantities generated and shipped off-site for storage, treatment, or disposal, including waste manifests, test results, waste analyses, manifest exception reports (when applicable).	5		5	NOTE: TCEQ may extend the retention period during the course of any unresolved enforcement action regarding the regulated activity.		
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	MOP	DISTRICT MARINE OPERATIONS RECORDS						
5.4.003	MOP01	U.S. Coast Guard Boat Inspections Records, Certificates.	AC+3		AC+3		AC = Inspection or date of the correction of deficiencies, if the inspection report reveals a deficiency. Files may be managed on CE, FE, or as-completed basis.	
5.6.	MOP02	Operations Logs: Ferry operations logs; automobile/passenger statistics.	1		1		Files may be managed on CE, FE, or as-completed basis.	
5.6.	MOP03	Vessel blueprints, electrical diagrams, revisions.	AV		AV	R	<b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review when no longer of administrative or engineering value to TxDOT.	

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5.4.003	MOP04	Vessel Electrical Inspections: Surveys, reports, infrared survey reports, insulation test readings.	AC+3		AC+3	AC = Inspection or date of the correction of the deficiency, if the inspection report reveals a deficiency. Files may be managed on CE, FE, or as-completed basis. SEE ALSO EQP07 for retention of records related to vessel inspection, repair and maintenance.		
5.4.	MOP05	U.S. Coast Guard Report of Marine Accidents and Pollution Cases.	AV		AV	Retain indefinitely to support state in potential claims.		
5.6.	MOP06	Ferry Pilot's License Verification: documentation related to required crew certifications.	AC+5		AC+5	AC = Expiration/termination of license.		

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5.2.	TRF	DISTRICT TRAFFIC OPERATIONS RECORDS	AC+4	AC+4	8.	10.	11.
	TRF01	Traffic Management Agreements and documentation related to traffic signal, illumination, school flasher, signal, and sign installation projects.			AC = Completion, expiration or termination of the agreement according to its terms.  NOTE: Original signed agreements retained in district or Contract Services Office under 95CSO01, depending on the specific agreement. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.  SEE TRF03 and 04 for retention requirements for individual signal and illumination project records. SEE ALSO DMT11 for requirements for records related to sign and signal maintenance.		

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5.1.	TRF02	District traffic safety grant project development and management records.	AV		AV	SEE 58TSS02 for TxDOT office of record for Traffic safety grant project records as described in Chapter 5, Section 6 of the <i>Highway Traffic Safety</i> volume of the <i>Traffic Operations Manual</i> collection. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.		
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5.2.	TRF03	Records related to traffic engineering, illumination, control devices and intelligent transportation system planning and design for individual construction projects.	AC+4		AC+4	AC = Approval of PS&E and release for letting by appropriate authority. May be consolidated with all related records for the project. Retain in accordance with the minimum requirement described for the type of construction project in the DEC retention schedule. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.  SEE ALSO DMT11 for requirements for records related to sign and signal maintenance.		
5.2.	TRF04	District signals files: requests, studies, Traffic Signals Authorization Request Forms, records related to the decision to approve or disapprove installation of signals, signal removals, etc. Installation projects by state forces.	AV		AV	Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.  SEE ALSO DMT11 for requirements for records related to sign and signal maintenance.		

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5.4.	TRF05	Records related to coordination with local jurisdictions and the Traffic Operations division (TRF) in the development of the District Highway Safety Plan. (DHSP), local jurisdiction needs assessments, local jurisdiction proposals, district reviews recommendations to TRF.	AV		AV	The DHSP is a multi-year plan that is updated annually. Retain proposals for funded projects with the applicable project records per TRF01.		
5.2.	TRF06	Traffic Studies: Speed zone and intersection studies and engineering records, coordination with local governments for the development of ordinances, and/or with TRF for Commission action via Minute Order, municipal ordinances and associated strip maps, test records and calculations for the establishment of advisory speed zones and/or traffic signals.	US		US	US = Records supporting current speed zone. Periodic rechecks are desirable at three to five year intervals in urban areas five to ten years in rural areas. Intersection studies may occur at longer intervals.		

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5.2.	TRF07	Railroad Crossing Inventory: Records related to periodic reviews and district coordination with Transportation Planning and Programming Division and Rail Division of inventory updates submitted by railroad companies or local governments.	US+1		US+1	US = Periodic review. SEE 50DMS04 for department OPR for coordination with U.S. DOT and Association of American Railroads.		
5.2.	TRF08	District Railroad crossing and signal project planning and selection records: crossing surveys, replanking project submission requests,	FE+3		FE+3	Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC. SEE TRF09 for requirements related to individual project files.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.2.	TRF09	Railroad crossing and signal project records: District records related to management and coordination of grade crossing maintenance, replanking, signal installation and maintenance, grade separation and drainage structure projects with Rail Division, local governmental entities and railroad companies.	AC+4		AC+4	AC = Project completion in accordance with the terms of the agreement. Railroad agreements retained per 58RHS01 and 58RHS02.  NOTE: Records related to original highway construction projects with the project records per the DEC series. District may retain layouts and wiring diagrams for reference.		
5.1.	TRF10	Records related to the issuance of permits for the dismantling of warning signals.	2		2			
5.2.	TRF11	District records related to the closure, relocation or consolidation of railroad crossings.	AV		AV	SEE 58RHS06 for department crossing inventory.		

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5.4.	TRF12	Fatal Crash Team reviews and reports.	CE+5		CE+5	Refer all requests for this information to Office of General Counsel. The review form is not subject to discovery, nor admissible as evidence in a case to recover damages arising out of the underlying accident.		
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	TPD	DISTRICT TRANSPORTATION PLANNING & DEVELOPMENT RECORDS						
5.1.001	TPD01	Planning Agreements: Records related to agreements defining planning responsibility between agencies and Metropolitan Planning Organizations (MPOs); transportation studies, etc.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7		AC+7		AC = Completion, expiration, or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a>  NOTE: Standard MPO contract period is six years, at the end of which the contract can be terminated and re-negotiated or extended for another six years.	
1.1	TPD02	Annual Unified Planning Work Program (UPWP) records, including authorizations, work orders, estimates, procurements, payments, performance monitoring reports.	AC+4		AC+4		AC = Closeout of each year's UPWP (Based on federal fiscal year).	

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1.1.	TPD03	Metropolitan/Rural Transportation Plan Files: Records related to development, coordination and updating of Metropolitan Transportation Plans (MTP), Rural Transportation Plans (RTP), regional major investment studies, district data and input to 20 year Texas Transportation Plan, strategic highway research, district input to interstate needs estimates, case studies.	US		US	R	US = MTPs Updated every three years for non-attainment areas, and five years in attainment areas. RTPs updated every five years. SEE TPD07 for records related to specific projects. Some data, modeling financial forecasting, conformity documentation and superseded versions may be retained for reference and research. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.		
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1.1.	TPD04	Program Scheduling Files: District files related to coordination, review and approval of MPO Transportation Improvement Program (TIP), district Rural Transportation Improvement Program (RTIP), project selection and ranking for the Unified Transportation Program (UTP), and the development, updating and approval of the Statewide Transportation Improvement Program (STIP).	US		US	US = The TIP covers a three-year period, and is updated every two years. The RTIP and STIP (which is financially constrained by year) have a quarterly revision cycle. AV = The UTP is a ten-year, annually updated plan used to rank and select priority of funding for project. Records may be retained as necessary to support UTP process and project planning through letting. Some data, modeling financial forecasting, conformity documentation and superseded versions may be retained for reference and research.  SEE TPD07 for records related to projects that are let.		
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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	TPD05	Transportation Studies and proposed project feasibility studies and records related to program assessments to obtain Long Range Project (LRP) status determination, from TPP.	AV		AV	R	AV = Retain as necessary to support project development to inclusion in the UTP and project planning through letting. SEE TPD07 for records related to projects that are let.  ARCHIVES NOTE: Archival requirement met by sending required copies to the Texas State Publications Depository Program. If not published, <b>forward one copy</b> of completed report or study upon issuance or publication to TxDOT Records Management for State Archives review.		
1.1.	TPD06	District UTP (Unified Transportation Program) Files. Records related to district/MPO coordination, review and recommendations to TPP of rankings of individual projects in various categories during development of the UTP.	AV		AV		Retain as needed to support future UTP processes and project planning through letting. The UTP is a ten-year, annually updated plan. SEE TPD07 for records related to projects that are let.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.	TPD07	Project Planning Records: Records related to planning, programming, funding (including coordination of the execution of Advance Funding Agreements) and authorization of individual construction projects.	AC+4		AC+4	AC = Project acceptance. May be consolidated with all related planning, environmental and construction records for the project after letting. Retain in accordance with the minimum requirement described for the type of construction project in the DEC schedule.		
1.1.	TPD08	Records related to coordination with local entities for special programs, such as applications for assistance for economically disadvantaged counties.	AC+4		AC+4	AC = Project closeout		
1.1.	TPD09	District records related to functional classification of roadways, requests, coordination with MPOs or other local authorities, maps and related documentation.	AV		AV			

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	TPD10	District records related to the updating roadway information databases of records describing various characteristics, features and functionality of on and off-system roadways, including: <ul style="list-style-type: none"> <li>Texas Reference Marker system</li> <li>Roadway Information File</li> <li>State Railroad File</li> <li>Accident File</li> <li>Linear Roadway System</li> <li>Highway Pavement Management System (HPMS) data, mileage certifications.</li> </ul>	US		US	Raw data, previous hard copy input log forms, etc. may be retained per ADM14 for reference purposes.			
1.1.	TPD11	Multimodal Planning: Working papers and records related to abandoned rail corridors, bicycle, ferry, GIWW, port and railroad planning.	AV		AV				

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

4.7.008	TPD12	FTA (Federal Transit Authority) Public Transportation Grant Program Files: Including applications, contracts and documentation for specific public transportation programs in the district.	AC+5		AC+5	AC = Completion of contract. Files may be managed on fiscal year basis after completion.		
4.7.008	TDP13	FTA (Federal Transit Authority) Public Transportation Grant Program Files related to grants for equipment and facilities: Including applications, contracts and documentation for specific public transportation programs involving equipment and facilities in the district.	LA+4		LA+4	LA = Disposition of asset by grantee. Files may be managed on fiscal year basis after completion		

Retention Codes (Field 7)	Archival Codes (Field 8)
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### HEADQUARTERS DIVISION AND OFFICE RECORDS

	<b>41</b>	<b>ADMINISTRATION AND COMMISSION</b>						
	<b>41DED</b>	<b>DEPUTY EXECUTIVE DIRECTOR / CHIEF ENGINEER</b>						

<p><i>Retention Codes (Field 7)</i></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled          AV – Administrative Value</p>	<p><i>Archival Codes (Field 8)</i></p> <p>A – Transfer to State Archives          R – Review by State Archivist</p>
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.058	41DED02	Commission Agendas and Minutes: Official agendas, registrations, docket sheets, minutes and minute orders for monthly Transportation Commission meetings.	PM		PM	A	<p>Agency retains permanent record copy. Archival requirement met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.</p> <p>CAUTION: This record series and items 41AEO05 - 07 must be used for those state boards, committees, commissions, and councils which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.</p> <p>NOTE: Meeting minutes of any committee or board that is strictly advisory and which does not control or supervise public business or policy has no archival requirement.</p>		
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Retention Codes (Field 7)

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Archival Codes (Field 8)

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.010	41DED03	Minute Orders: Commission directives concerning department operations.	PM		PM	Location: Chief Minute Clerk. Copies filed with appropriate agencies each month.		
1.1.	41DED04	Public Hearing Files: Delegation requests, public hearing reports, registration sheets, dockets, and transcripts.	PM		PM			
1.1.059	41DED05	Meetings, Certified Agendas or Tape Recordings of Closed: Certified agendas or tape recordings of closed TxDOT Commission meetings.	AC+2		AC+2	AC = Date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, § 551.104(a). SEE caution comment at item 41AEO02.		

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1.1.060	41DED06	Meetings, Audio or Videotapes of Open: Audio or videotapes of open meetings of state boards, commissions, committees, and councils	AC+90 Days		AC+90 Days	AC = Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media and will not be retained in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions and councils must be reduced to writing.		
1.1.061	41DED07	Meetings – Notes: Notes taken during open meetings of state boards, commissions, committees, and councils, from which written minutes are prepared.	AC+90 days		AC+90 days	AC = Official approval of written minutes of the meeting by the Transportation Commission. SEE caution comment at 41DED02.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.062	41DED08	Meetings – Supporting Documentation: Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2		2	A	SEE caution comment at 41DED02. NOTE: This item pertains to documents/exhibits <b>other</b> than Commission briefing books (binders prepared for the commission each month, including minute orders from divisions) which consist only of unsigned minute orders and need only be retained as long as administratively valuable, since the signed minute orders (41DED03) are retained permanently. <b>Do not destroy these records locally.</b> Forward to GSD Records Management for State Archives review.  NOTE: Meeting minutes of any committee or board that is strictly advisory and which does not control or supervise public business or policy has no archival requirement.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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	41DIR	OFFICE OF THE EXECUTIVE DIRECTOR						
1.1.055	41DIR01	Strategic Plans: Includes operational strategic plans prepared in accordance with Texas Government Code §§ 2054.095 and 2056.002.	AC+6		AC+6	A	AC = September 1 of odd-numbered years. The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.  SEE ALSO 46PAV03: Construction Division maintains Strategic Highway Research Program Files.	

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	45AUD	AUDIT OFFICE						
1.1.002	45AUD01	Audits: Audits and reviews performed by TxDOT on external entities, on TxDOT by external entities, or on TxDOT by internal auditors.	AC+7		AC+7	AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's office is retained permanently by that agency. Working papers and draft reports confidential per Government Code, §552.116.		
1.1.	45AUD02	Investigations: Official reports and supporting documentation related to special investigations.	AC+7		AC+7	AC = Completion and issuance of final written report to appropriate recipients. Access subject to public information requests. Retained for legal reference. Working papers and draft reports confidential per Government Code, §552.116.		

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1.1.065	45AUD03	Control Reviews: Reports and related data pertinent to research and analysis of special studies.	AV		AV	Some assignments may be confidential. After AV, may become another record series (i.e., Administrative Correspondence, etc.) and may need further retention as appropriate. Working papers and draft reports confidential per Government Code, §552.116.		
1.1.002	45AUD04	Audits: State Auditor report and related documentation.	AC+7		AC+7	AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's office is retained permanently by that agency. Working papers and draft reports confidential per Government Code, §552.116.		

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1.1.002	45AUD05	Risk Response Reviews.	AC+7		AC+7	AC=Report of findings to appropriate recipient. Working papers and draft reports confidential per Government Code, §552.116.		
1.1.002	45AUD06	Consulting documentation.	AC+7		AC+7	AC=Report of findings or recommendations to appropriate recipient. Working papers and draft reports confidential per Government Code, §552.116.		

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	42	AVIATION DIVISION						
	42ADI	DIVISION ADMINISTRATION						
1.1.058	42ADI01	Minutes of Aviation Commission meeting. (Through 08/31/91, when Department of Aviation merged with the Department of Transportation.)	PM		PM	A	Archival requirement met by submission of a copy to the Archives and Information Services Division, Texas State Library and Archives Commission SEE caution comment at 41AEO02.	
1.1.014	42ADI02	Legal Opinions and Advice: AG opinions and advice related to former Department of Aviation.	AV		AV	R	SEE ALSO 79OGC07 for record copy responsibility since Department of Aviation merger with TxDOT.	
1.1	42ADI03	Aviation Advisory Committee meeting minutes.	2		2		Aviation Advisory Committee minutes have no archival requirement since the committee is strictly advisory and does not control or supervise public business or policy.	

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<b>42AVS</b>		<b>AVIATION SERVICES SECTION</b>							
5.2.	42AVS01	Airport Master Records: Form 5010, consisting of an airport layout, airport information form and periodic safety reports conducted for the FAA.	US+3		US+3		Airport safety inspection reports conducted at 3- year intervals. Retain inspection reports minimum of 3 years after inspection or correction of discrepancy found in inspection.		
1.1.	42AVS02	Applications for New Air Carriers.	AC+25		AC+25	R	AC = File closed in 1988 when organization's responsibility for this function ended.		
<b>42ENG</b>		<b>ENGINEERING SECTION</b>							
1.1.	42ENG01	Legal Zoning Ordinances: Forms prepared to assist communities in drafting airport zoning ordinances.	US+1		US+1		US = Supersession/revision of ordinance.		
5.1.001	42ENG02	Airport Project Participation Agreements.	AC+20		AC+20		AC = Completion of agreement according to its terms. Retain 20 years per Transportation Code §21.105.		

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5.2.	42ENG03	Airport Drawings.	AV		AV			
	<b>42FLS</b>	<b>FLIGHT SERVICES</b>						
4.7.004	42FLS01	Aircraft Records – Bill of Sale	LA+3		LA+3			
5.6.007	42FLS02	Aircraft Registration	LA+3		LA+3			
5.6.003	42FLS03	Equipment History/Service Files	LA+3		LA+3			
5.6.001	42FLS04	Airplane Flight Logs/Repair and Maintenance Records	LA+3		LA+3		Logs to remain in aircraft if it is sold or traded.	
5.6.002	42FLS05	Flight Manifests	FE+3		FE+3			
5.6.008	42FLS06	Pilot Files – Statewide	AC+5		AC+5		AC=Termination of employment (FAA Regulation)	

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	88	BRIDGE DIVISION						
	88ADM	ADMINISTRATION						
5.1.	88ADS01	Consultant Contract files: Records related to procurement, evaluation, selection, and management of consultant contracts for on- and off-system bridge design and bridge safety inspections.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7		AC+7		AC = Completion, expiration, or termination of the instrument according to its terms, or until completion of audit or determination that no audit is required. <a href="#">Government Code, 441.1855</a> SEE 95CSO01 for office of record for retention of original contracts.	
			AC+4		AC+4			

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	88BDS	BRIDGE DESIGN SECTION						
5.2.	88BDS01	Project files: Half-scale plans, design notes, geometric calculations, and records related to coordination with external agencies/offices of projects under construction.	LA		LA		Working plans kept until projects are accepted. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.	
5.2.	88BDS02	Statewide Standard Drawing File.	PM		PM			
	88BPB	PROJECT DEVELOPMENT SECTION - BRIDGE PROGRAMS						
1.1	88BPB01	Bridge Funding Program 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). Program calls, review and scoring of district proposals, and coordination with Transportation Planning and Programming division (TPP).	AC		AC		AC = Selection and funding by Commission during annual update of UTP. Districts retain records related to individual projects per DES01. SEE ALSO 43PSH01.	

Retention Codes (Field 7)

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	88BPM	PROJECT DEVELOPMENT SECTION - PROJECT MANAGEMENT						
5.2	88BPM01	Records related to gauging stations and other similar instrumentation attached to bridges.	LA		LA	LA = Expiration, termination or revision of the instrument according to its terms. Vital while active. (SEE DMT01 for Utility attachment records).		
5.2.	88BPM02	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		AV	AV = Approved layouts returned to district. District documentation retained with district project design records retained per DEC01 or 04. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC. SEE 58RHS03 for railroad agreements.		
5.2.	88BPM03	Bridge Design Exceptions: Documentation related to the approval or denial of design exceptions, variances, and waivers.	PM		PM			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

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	88BPR	PROJECT DEVELOPMENT SECTION - PROJECT MANAGEMENT – PLAN REVIEW						
5.2.	88BPR01	Documentation related to review and approval of project PS&E (Plans, Specifications and Estimates) containing structural items.	AC+4		AC+4	AC = Project completion. District documentation becomes part of project PS&E records retained by districts per DEC series. Final as-built plans retained under 44OIS01. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.		
	88BRI	FIELD OPERATIONS SECTION - BRIDGE INSPECTION						
5.4.003	88BRI01	Bridge Special Inspection Reports: Filed by the Bridge Division with one folder per bridge in categories of underwater inspection, fracture critical inspection, off-system bridges.	LA+3		LA+3	Records to be maintained per National Bridge Inspection Standards. Districts maintain Routine Inspection Reports. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.		

Retention Codes (Field 7)

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2.1.002	88BRI02	Bridge Inspection Database: maintained electronically on the mainframe.	LA+5		LA+5	Records to be maintained per National Bridge Inspection Standards. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.		
3.4.006	88BRI03	Dive logs, memos, and timesheets to authorize hazardous duty pay for divers.	FE+4		FE+4	40 TAC §815.106(i)		
	<b>88CMT</b>	<b>FIELD OPERATIONS SECTION – CONSTRUCTION/MAINTENANCE</b>						
5.4.	88CMT01	Bridge overload analysis notes.	AV		AV			
3.1.	88CMT02	Copies of certificates for certified welders.	US		US			

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	75	COMMUNICATIONS DIVISION						
1.1.019	75CMD01	News releases and media advisories.	AV		AV	R	AV = 2 years or when no longer administratively valuable. Documents regarding events of historical significance may be retained indefinitely subject to Media Relations Director approval. <b>Do not destroy these records locally.</b> Records subject to State Archives review when eligible for destruction. Contact TxDOT Records Management for assistance.	

<b>Retention Codes (Field 7)</b>  AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value  CE – Calendar Year End FE – Fiscal Year End	<b>Archival Codes (Field 8)</b>  A – Transfer to State Archives R – Review by State Archivist
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1.3.	75CMD02	Public Information Products: Publications, special reports, educational materials related to specific programs, awards, fact sheets, speech materials and campaigns.	AC+5		AC+5	R	<p>AC = Date item is no longer available for distribution or, for serial items, (e.g., newsletters, periodic reports), from the date of release of the next part of the series.</p> <p>SEE item ADM 18 for requirements related to state publications. Copies to be deposited with Publications Clearinghouse per Texas Government Code, §441.101, as applicable.</p> <p>Special reports subject to State Archives review before destruction. SEE Remarks at ADM15. Delivered speeches retained per ADM21.</p>		
2.2.	75CMD03	Web Development Files: Records related to TxDOT web site redesign.	AV		AV				

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1.1.067	75CMD04	Strategic Communication Plan (SCP): Documents, surveys and other related files related to the SCP report.	10		10	R	AV = Retained a minimum of 10 years. Selected records may be retained for a longer time period if considered vital. Records are subject to State Archives review when eligible and selected for destruction.		
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	46	CONSTRUCTION DIVISION						
	<b>46BMS</b>	<b>BUSINESS MANAGEMENT SECTION</b>						
4.7.	46BMS01	Alcohol Report File: Records related to payment of annual user tax associated with tax-exempt status for purchase of alcohol used in testing.	FE+4		FE+4			
	<b>46CAO</b>	<b>CONSTRUCTION SECTION – CONTRACT ADMINISTRATION &amp; CLAIMS BRANCH</b>						
3.2.	46CAO01	Wage Rate Survey Form 1081.	2		2		May be managed on CE basis.	
3.2.006	46CAO02	Records related to TxDOT input for U.S. Department of Labor wage determinations of wage rates.	2		2		29 CFR §516.6(a)(2)	
4.5.002	46CAO03	Construction Cost Reports: Sampling of selected cost areas used to monitor construction cost trends.	FE+3		FE+3			

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4.7.005	46CAO04	Contractor Claim and Dispute files.	AC+3		AC+3	AC = Final Resolution or settlement. Confidential while active. If litigation is filed, apply ADM33.		
5.1.	46CAO05	Records related to the development and maintenance of special provisions and special specifications through the Specification Committee process and maintenance of the department's Standard Specifications books.	US		US			
5.1.	46CAO06	Project-related Special Provisions: documentation related to the approval of special provisions and special specifications for individual projects.	AV		AV	AV = Copies of previous specifications/provisions may be retained for reference purposes. Standard Specifications books to be managed as state publications in accordance with ADM18.		

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	46CCP	CONSTRUCTION SECTION – CONTRACT LETTING & CONTRACTOR PREQUALIFICATION BRANCH -- CONTRACT PROCESSING UNIT						
5.1.001	46CCP01	Original signed highway construction project contracts, including performance bonds and supplemental agreements, correspondence and documentation related to specific construction projects (change orders, bid tabs, letters of authority, claim reports, etc.)						
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7			
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4			
						AC = Payment of final estimate. <a href="#">Government Code, 441.1855</a>		

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5.2.028	46CCP02	Contracts Related to Architectural Building Construction: Including contracts, surety bonds and inspection records.	LA+10		LA+10	R	<b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.  SEE Remark for 46CPI03 for retention requirements for unsuccessful bids related to architectural contracts.		
5.1.	46CCP03	Rejected/canceled proposals received for projects stopped before contract is executed	AV+1		AV+1				
	<b>46CPI</b>	<b>CONSTRUCTION SECTION -- CONTRACT LETTING &amp; CONTRACTOR PREQUALIFICATION BRANCH -- PREQUALIFICATION AND PROPOSAL ISSUANCE UNIT</b>							
5.3.	46CPI01	Prequalification and Bidder Records: Statements, questionnaires and related correspondence.	FE+7		FE+7				

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1.1.	46CPI02	Letting Files: Statistical data, monthly tabulations, list of bidders, list of prequalification and bidders' questionnaire contractors, and other data related to letting.	CE+3		CE+3				
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5.3.007	46CPI03	Unsuccessful bid proposals							
		<ul style="list-style-type: none"> <li>a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.</li> <li>b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.</li> <li>c) Unsuccessful bids that do not meet agency submission requirements and are not included in the bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)</li> </ul>	AC+7		AC+7		<p>(a) AC=Expiration of termination of the instrument according to its terms or decision not proceed with the bid.</p> <p>Retain successful bid proposal and documentation with the contract per 46CCP01 and 46CCP02.</p> <p>Retain unsuccessful bids for architectural contracts AC+10.</p> <p>Unsuccessful bids for architectural contracts excepted from archival review requirement per 12/21/11 communication from Texas State Archives.</p> <p>(c) AC=Date of notification of denial or date of withdrawal, as applicable.</p>		

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5.1.	46CPI04	Revision to proposal acknowledgments.					AC = Contract completion. Filed with contract for storage.		
		a) Contracts executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Contracts executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4				
1.1.	46CPI05	Draft Proposals for Enhancement Projects.	FE+2		FE+2				
	<b>46MAD</b>	<b>MATERIALS SECTION – ADMINISTRATION BRANCH</b>							
5.2.024	46MAD01	Departmental Material Specifications (not project specific).	AC+10		AC+10		AC = Specification revised, superseded or deleted.		
5.2.	46MAD02	Test Procedures	AC+10		AC+10		AC = Revised, superseded or deleted		

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5.1.010	46MAD03	Department license for use of radiation material.	US+2		US+2			
5.4.	46MAD04	Personal dosimetry reports.	PM		PM			
5.4.	46MAD05	Semi-annual leak test reports.	FE+5		FE+5			
5.4.	46MAD06	Radiation protection program records.	PM		PM			
	<b>46MAC</b>	<b>MATERIALS SECTION – ASPHALT &amp; CHEMICAL BRANCH</b>						
5.2.005	46MAC01	Certifications and Calibrations: District/division calibrations, National Institute of Standards and Technology calibrations, Texas Dept. of Agriculture Meteorology Lab correspondence, calibration of primary standards, field standards.	FE+10		FE+10			
5.4.	46MAC02	Registration of x-ray equipment.	LA		LA			

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	46MFP	MATERIALS SECTION – FLEXIBLE PAVEMENTS BRANCH							
5.2.	46MFP01	Investigational projects and reports.	FE+3		FE+3				
5.4.003	46MFP02	Plant inspection reports.	AC+3		AC+3	AC = Inspection or date of the correction of the deficiency, if the inspection report reveals a deficiency. Files may be managed on CE basis.			
	46MRP	MATERIALS SECTION – RIGID PAVEMENT & CONCRETE MATERIALS BRANCH							
5.2.018	46MRP01	Quality monitoring test report sheets (by project, by county).	3		3	Records may be managed on CE, FE, or as completed basis.			
5.2.018	46MRP02	Quality monitoring test results worksheets (by producer).	CE+3		CE+3				
5.2.018	46MRP03	Cement mill analysis.	CE+3		CE+3				

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5.2.	46MRP04	Letters of certification for concrete admixtures.	US		US				
5.2.	46MRP05	List of approved admixtures.	AV		AV		Reviewed on annual basis.		
5.2.	46MRP06	Admixture files: Prequalification/approval.	AV		AV				
	<b>46MSO</b>	<b>MATERIALS SECTION – GEOTECHNICAL, SOILS &amp; AGGREGATES BRANCH</b>							
1.1.065	46MSO01	Synthetic aggregate research.	AV		AV		Reviewed on annual basis. Retained indefinitely for reference purposes.		
1.1.065	46MSO02	Investigative Projects: Section E (Soil) 1 through 51.	AV		AV		Reviewed on annual basis. Retained indefinitely for reference purposes.		

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	46MST	MATERIALS SECTION -- STRUCTURAL BRANCH						
5.2018.	46MST01	Mill Test Reports, material records, evaluations, inspection reports, test reports and worksheets: (forms PC-2, PC-35, excluding box culverts and SS-9) for structures (sign supports, illumination and signal poles, steel bridge structures, prestressed and precast concrete, etc.) (#5 folders).	LA		LA			
5.2.	46MST02	Radiographs of Non-Fracture materials of a structure related to construction projects.	AC+4		AC+4		AC = Project acceptance. Retained in Structural Field offices.	
5.2.	46MST03	Radiographs of Fracture Critical materials of a structure related to construction projects.	LA		LA		Records maintained in Structural Field offices for the life of the asset.	

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	46MTR	MATERIALS TEST REPORTS				Branches include: Asphalt & Chemical; Automated Reporting; Flexible Pavements (including field labs); Rigid Pavements & Concrete; Traffic Materials; Geotechnical, Soils & Aggregates; and Structural (including field operations).		
5.2.018	46MTR01	Materials Test Reports: Evaluations, inspection reports, source data, mill tests, etc. maintained by lab number.	2		2	Files may be managed on CE, FE or as completed basis. SEE ALSO 46MST01 for handling of construction project related records.		
5.2.	46MTR02	Materials Test Data/Worksheets: Technical data cards, support documentation, information folders, etc. for all sections.	AV		AV			
5.2.018	46MTR03	Materials test reports and test results worksheets (for project testing) maintained by lab number.	3		3	Files may be managed on CE, FE or as completed basis.		

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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

	46PAV	PAVEMENTS & MATERIALS SYSTEMS BRANCH						
5.2.	46PAV01.	Documentation regarding load zoning (including rejection of load zoning removal and emergency load zoning), copies of minute orders for load zoning/width restrictions.	US		US			
1.1.065	46PAV02	PMIS (Pavement Management Information System) reports, including distress ratings, ride quality, deflection testing, and skid resistance results and other data.	AV		AV		Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.	
1.1.	46PAV03	Strategic Highway Research Program Records	3		3	R	<b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

95CSO	CONTRACT SERVICES OFFICE						
5.1.001	95CSO01	<p>Original Signed Contracts: Architectural and Engineering Contracts (except commercial labs), Donation Agreements, Federal Agreements, Interstate Agreements, Interagency Contracts, and Interlocal Agreements, plus any Supplemental Agreements, Amendments, Work Authorizations and Supplemental Work Authorizations from these contracts and agreements.</p> <p>a) Executed, renewed, or amended on or after September 1, 2015.</p> <p>b) Executed, renewed, or amended on or before August 31, 2015.</p>	AC+7	AC+7	AC+4	AC+4	<p>AC = Expiration, termination or completion, acceptance and final payment for contract according to its terms. <a href="#">Government Code, 441.1855</a></p> <p>Refer to 46CCP01/02 and 38MNT01 for retention of contracts related to construction and maintenance projects.</p>

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5.1.	95CSO02	Contract procurement files.							
		<ul style="list-style-type: none"> <li>a) Executed, renewed, or amended on or after September 1, 2015.</li> <li>b) Executed, renewed, or amended on or before August 31, 2015.</li> </ul>	AC+7		AC+7		AC = Completion, termination or expiration of the instrument according to its terms. <a href="#">Government Code, 441.1855</a>		
5.1.001	95CSO03	Advanced Funding Agreements and other agreements that have maintenance responsibilities.							
		<ul style="list-style-type: none"> <li>a) Executed, renewed, or amended on or after September 1, 2015.</li> <li>b) Executed, renewed, or amended on or before August 31, 2015.</li> </ul>	AC+7		AC+7		AC = Completion, termination or expiration of the instrument according to its terms. <a href="#">Government Code, 441.1855</a>  NOTE: Advanced Funding Agreements are not considered complete until the structure is removed, replaced or an original agreement is superseded by another agreement.  SEE ACF09 for item addressing retention of AFAs by districts.		

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	89DMO	INNOVATIVE FINANCING/DEBT MANAGEMENT						
4.7.010	89DMO01	Long-Term Liability Records: Statewide Infrastructure Bank (SIB) and other long-term project financing files: Records related to the review, decision, execution and management of SIB loans and other instruments related to the financing of transportation projects.	AC+5		AC+5		AC = Retirement of debt.	
4.7.	89DMO02	Records related to unsuccessful applications for long-term financing of transportation projects.	FE+3		FE+3			
4.7.010	89DMO03	Long-Term Receivables: Statewide Infrastructure Bank (SIB) and other long-term project financing files: Records related to the review, decision, execution and management of SIB loans and other instruments related to the financing of transportation projects.	AC+7		AC+7		AC = Calendar year end of year of retirement of debt.	

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4.7.010	89DMO04	Long-Term Liabilities: Bond documents for tax-exempt or taxable bonds issued by the Department. Records related to the review, decision, execution and management of bonds and other instruments related to the financing of transportation projects. Includes resolutions, trust indentures, counsel opinions, certificates, loan agreements, documents evidencing expenditure of proceeds, documents evidencing sources of payment and security for bonds, documents relating to receipt, investment and expenditure of proceeds.	AC+7		AC+7	AC = Calendar year end of year of retirement of debt.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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4.7.010	89DMO05	<p>Long-Term Liabilities: Records of tax-exempt or taxable bonds issued by TxDOT for financing transportation projects, including documentation of the review, decision, execution and management of bonds and other instruments, resolutions, trust indentures, counsel opinions, certificates, loan agreements, documents evidencing expenditure of proceeds, sources of payment and security for bonds, and documents relating to receipt, investment and expenditure of proceeds. Records also include</p> <ul style="list-style-type: none"> <li>• Investments of proceeds of a series of bonds (statements, bidding or other procurement procedures, results of any investment procurement, etc.),</li> <li>• Expenditures of proceeds of a series of Bonds (statements, vouchers, invoices, checks, etc.)</li> <li>• Listing of all projects financed from proceeds of a series of Bonds</li> <li>• Rebate calculations</li> <li>• Management agreements related to projects</li> <li>• Sale/disposition contracts of projects</li> <li>• All debt service payments and transactions to/from the debt service fund for each series of bonds</li> <li>• Transcript of proceedings for a series of Bonds Requisitions to trustee, if any</li> <li>• Transactions from/to the reserve fund, if any, for each series of Bonds, and</li> <li>• Evidence of any extraordinary transactions related to the Bonds (swaps, derivatives, etc.)</li> </ul>	AC+7		AC+7	AC = Calendar year end of year of retirement of debt.		
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	48	DESIGN DIVISION					
	<b>48CCO</b>	<b>CONSULTANT CONTRACT OFFICE</b>					
5.1.001	48CCO01	Consultant Contract files: Records related to procurement, evaluation, selection and management of consultant contracts.  a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7	AC = Completion, expiration, or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a> SEE 95CSO01 for office of record for retention of original contracts.	
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4		
1.1.	48CCO02	Consultant Qualification Files: Precertifications, questionnaires and other documentation related to consulting engineers, surveyors, etc. maintained in the Consultant Certification Information System (CCIS).	AV		AV		

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5.3.007	48CCO03	Consultant contract procurement files – letters of interest, proposals, evaluations, summary forms, etc. for all unsuccessful providers.							
		a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7		(a) AC=Expiration of termination of the instrument according to its terms or decision not proceed with the bid.  (c) AC=Date of notification of denial or date of withdrawal, as applicable		
		b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE+3		FE+3				
		c) Unsuccessful bids that do not meet agency submission requirements and are not included in the bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC+2		AC+2				

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	48FCS	FIELD COORDINATION SECTIONS						
5.2.	48FCS01	Construction project files: Records related to preliminary project design coordination with districts, Plans, Specifications and Estimates (PS&E) review, approval and release for letting.	AC+4		AC+4		AC = Project acceptance. Retain in accordance with the minimum requirement described for the type of construction project in the DEC schedule.	
5.2.	48FCS02	Design Exception Files: Documentation related to the approval or denial of design exceptions, variances, and/or waivers.	PM		PM		Retained for legal reference.	
	48LDS	LANDSCAPE SECTION						
4.7.	48LDS01	Landscape and Enhancement Program Records: Records related to the administration of statewide programs that provide funding for landscape and enhancement projects on state highway right of way, incentives award program and Adopt-a-Highway for Landscaping program.	FE+3		FE+3		District project records retained according DEC01 or DMT14 as applicable.	

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	48PRS	PROJECT SERVICES SECTION						
1.1.	48PRS01	Notices for Contractors: Information packets describing each project up for bid in each letting.	AV		AV			
	48PGM	PHOTOGRAMMETRY SECTION						
1.1.	48PGM01	Aerial Film File: Aerial film photographs of various cities and highways in the state and related project documentation.	PM		PM		Retained as reference/research file.	
1.1.	48PGM02	Aerial Photo and Map Files: Controlled aerial photos, glass diapositives, multidisciplinary engineering maps, flight strips of photos with mapping sheets drafted over.	AV		AV			
	48RDS	ROADWAY DESIGN SECTION						
5.2.	48RDS01	Standard Plan Sheets	AV		AV			

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	57	ENVIRONMENTAL AFFAIRS DIVISION					
	57ADI	ADMINISTRATION					
5.1.001	57ADI01	Memoranda of Understanding with Natural Resource Agencies	US+7		US+7	US = MOU reviewed, updated and adopted by rule, at a minimum, every fifth year. (43TAC§§2.22-25).	
5.1.001	57ADI02	Statewide Environmental Engineering and Scientific Services Contract Program: Records related to selection and award of contracts, technical oversight regarding administration of contracts and technical services to districts for individual consultant projects during the effective period of the contracts.				AC = Expiration or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a> NOTE: Oversight responsibility and signature authority for work authorizations reside with Section managers. SEE 95CSO01 for original consultant contracts.	
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7		
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4		

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	57CRM	CULTURAL RESOURCES MANAGEMENT SECTION						
1.1.	57CRM01	Cultural Resources Records: Photographic records of archaeological projects, artifacts, field resources, notes, log books, coordination with other agencies, research materials, and publication files for reports.	AC		AC		AC = After completion, records and artifacts sent to curatorial facility designated in Antiquities Permit. Cultural resource records confidential per 13TAC §24.13. Photographic negatives retained in TxDOT under 57CMR02. SEE ADM18 for requirements related to published archaeological reports.	
1.1.	57CRM02	Cultural resources photographic negatives.	AV		AV	A	Forward to TxDOT Records Management for State Archives review when no longer of administrative value.	
	57PPA	POLLUTION PREVENTION AND ABATEMENT SECTION						
5.4.	57PPA01	District facility environmental compliance surveys.	3		3		Files may be managed in CE, FE or as completed basis.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.4.	57PPA02	Records related to coordination of Notice of Registration of TxDOT facilities as hazardous waste generators with the TCEQ and EPA, generator status of TxDOT facilities,	3		3	Files may be managed in CE, FE or as completed basis. EPA (Environmental Protection Agency); TCEQ (Texas Commission on Environmental Quality)		
5.4.	57PPA03	Records related to petroleum storage tank release determinations, coordination with TCEQ and Environmental Affairs division for remediation and/or removals.	AC+5		AC+5	AC = Receipt of TCEQ closure letter in response to the certification of completion of corrective action requirements submitted by the owner or operator. Retain records related to the permanent removal of a UST to at the site for as long as any UST remains in service at the facility, or for five years after the UST system is permanently removed from service, whichever is longer. (30TAC §334.55(f)). TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.		

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5.4.	57PPA04	Leaking petroleum storage tank cleanup program records.	US+5		US+5	SEE 57PPA03 and ENV09 for requirements for individual project records.		
	<b>57PRO</b>	<b>PROJECT MANAGEMENT SECTION</b>						
5.2.	57PRO01	Project Environmental: Files and exhibits related to site assessments, completion of environmental documents, required environmental permits, coordination/review with natural resource, historical or archaeological agencies, mitigation plans, * public involvement, or other documents necessary to obtain environmental clearance for individual construction or maintenance projects.	AC+4		AC+4	AC = Clearance of evaluation or re-evaluation by appropriate environmental resource agencies. Retain for use in subsequent projects. NOTE: Cultural resource records confidential per 13 TAC §24. ALSO NOTE: Mitigation planning or implementation may be completed after the contract for the project is awarded.		
5.4.	57PRO02	Environmental Studies: Analyses, studies, environmental reviews and recommendations related to transportation planning projects, including aviation, Gulf intracoastal waterway, public transportation or proposed turnpike projects.	AV		AV	AV = Environmental documentation may be incorporated into individual project records retained per 57PRO01 and ENV01.		

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5.2.	57PRO03	Environmental reviews of maintenance programs for coordination and review by state and federal environmental resource agencies to develop effective environmental protection measures for maintenance programs.	US+5		US+5	US = Environmental reviews are reviewed, revised as appropriate and re-coordinated with resource agencies at least every five years.		
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	43	FINANCE DIVISION						
	<b>43ACM</b>	<b>ACCOUNTING MANAGEMENT</b>						
4.3.	43ACM01	Journals and Registers.	FE+47		FE+47	Refer to the Finance Division Intranet site for detailed listings of records maintained on the Financial Management Information System (FIMS).		
4.4.001	43ACM02	General Ledger	FE+10		FE+10	Retained for research purposes.		
4.4.	43ACM03	Subsidiary ledgers (“Segments”) used for the initial entry of transactions that are summarized and passed on to the general ledger.	FE+10		FE+10	SEE Remark for 43ACM01. SEE ALSO 43ACM13 for retention requirements for Construction Expenditures sub-ledger (Segment 76).		
4.5.002	43ACM04	Daily/Monthly Internal Fiscal Management Reports.	FE+10		FE+10	Refer to the Finance Division Intranet site for detailed listings of FIMS reports.		
4.5.002	43ACM05	Cumulative (Year-End) Internal Fiscal Management Reports.	FE+10		FE+10	Refer to the Finance Division Intranet site for detailed listings of FIMS reports.		

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1.1.	43ACM06	Detail Finance Audit Report	10		10	May be managed on CE, FE, or as completed basis.		
4.5.003	43ACM07	TxDOT Annual Financial Reports.	PM		PM	A Archival requirement met by sending required copies to the Texas State Publications Depository Program.		
4.6.002	43ACM08	Reconciliations	FE+10		FE+10			
4.7.007	43ACM09	Detail Chart of Accounts: Chart of Detail Accounts for all accounts used in a fiscal year.	US + FE+3		US + FE+3	Current chart posted in intranet.		
4.2.006	43ACM10	Journal Vouchers: Documentation related to adjustments input into FIMS.	FE+47		FE+47	NOTE: Offices inputting adjustment vouchers may retain record copy of support documentation that is not included with records scanned by Finance Division for retention.		
4.5.002	43ACM11	Status of Cash Advances: List of funds in trust accounts to be removed from file.	FE+3		FE+3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

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4.2.	43ACM12	Accounts Receivable Records: Cash deposits, transmittal documentation, revenue accounting records/reports, direct deposit records, daily deposit transactions.	FE+47		FE+47	Refer to the Finance Division Intranet page for detailed listings of FIMS reports.		
4.4.	43ACM13	Construction Expenditures Sub-ledger (Segment 76).	FE+47		FE+47			
4.7.008	43ACM14	Grant accounting records.	AC+4		AC+4	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate period.		
4.7	ACM15	Vendor direct deposit records.	FE+5		FE+5			

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	<b>43ADI</b>	<b>DIVISION ADMINISTRATION</b>						
5.4.012	43ADI01	CPA (Comptroller of Public Accounts) security requests and CTIA forms.	AC+2		AC+2	A	AC = Until superseded, date of expiration or date of termination, whichever is sooner.	
	<b>43FBF</b>	<b>FUNDS MANAGEMENT – BUDGET AND FORECASTING</b>						
1.1.004	43FBF01	Legislative Appropriation Requests: Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency. Only copies of supporting documentation submitted to the legislative budget board are archival.	AC+6		AC+6	A	AC = September 1 of odd-numbered calendar years. The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	

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4.5.002	43FBF02	Budget reports.	FE+5		FE+5	Chapter 3, Sections 2 and 3 of the <i>Budget Manual</i> .		
1.1.068	43FBF03	Reports on Performance Measures: Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices. Item includes reports which may be produced by individual districts, divisions, or offices, or for specific programs or projects.	AC+6		AC+6	AC = September 1 of odd-numbered calendar years.		
1.1.064	43FBF04	Performance Measures Documentation: Any records needed for the documentation of output, outcome, efficiency, and explanatory measures in the agency appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+5		FE+5	Per Chapter 5 <i>Budget Manual</i> ,		
4.5.005	43FBF05	External Fiscal Reports: Special Purpose – i.e., federal financial reports, salary reports, etc. Includes HUB reports.	FE+5		FE+5			

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	43LET	LETTING MANAGEMENT						
1.1.	43LET01	Letting Records: 1 & 3-year letting schedule, annual-monthly letting schedules, requirements and district submissions, letting memoranda related to disposition of projects scheduled for letting, letting lists/approvals.	FE+5		FE+5		Annual-monthly letting schedules and other letting-related information published on the department's Website then retained in accordance with requirements described in ADM18.	
4.7.	43LET02	Records related to Letting Management Office liaison between the districts/ divisions and FHWA in the review and submittal of applications for federal discretionary funded Ferry Boat, Interstate Maintenance, and Public Land Highways programs.	FE+5		FE+5			
5.3.	43LET03	Project Advertisement Files: Documentation related to newspaper advertisement invitations to bid on projects; order numbers, billings.	FE+10		FE+10			

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	<b>43PCP</b>	<b>PAYMENTS MANAGEMENT -- CONTRACT PAYMENTS</b>						
4.3.	43PCP01	Transaction Journals.	FE+47		FE+47	Refer to the Finance Division Intranet site for detailed listings of FIMS reports (JVs 210, 212, 220 and 230).		
4.7.	43PCP03	Number 6 and 8 Construction Project and HPR (Highway Planning and Research) Files: Fund authorizations, estimates, retainage agreements, etc.	AC+4		AC+4	AC = Project acceptance.		
	<b>43PEP</b>	<b>PAYMENTS MANAGEMENT -- EMPLOYEE PAYMENTS</b>						
4.3.003	43PEP01	Check Register Report 189.	FE+5		FE+5			
3.2.003	43PEP03	941 Quarterly Tax Reports	CE+10		CE+10	40 TAC §815.106(i).		

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3.2.003	43PEP04	W-2 Listings: Yearly earnings reports.	10		10	Retained for reference. Retain 1099, W-2 and other tax forms minimum AC+4 (AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR §31.6001-1(e)(2). Districts may retain a copy of W-2 for a period sufficient to satisfy employee requests for a copy. Retention of the local copy through April 15 <sup>th</sup> of the filing year should be sufficient.		
3.2.001	43PEP07	Payroll Deduction Authorizations: Levy Authorizations and Releases.	AC+47		AC+47	AC = After termination of employee or after amendment, expiration or termination of authorization, whichever is sooner. Employee Retirement System office of record for authorizations for retirement service purchase.		
4.5.	43PEP09	527 Personnel Analysis Reports: Summarizing department workforce by various categories, i.e., by funding activity, classification, etc.	FE+5		FE+5			

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4.4.004	43PEP10	Savings Bonds: Bonds issued/deduction listing.	FE+3		FE+3			
4.5.002	43PEP11	Texflex monthly reports.	FE+5		FE+5			
4.2.007	43PEP12	Employee travel advance payment records.	FE+3		FE+3			
3.2.008	43PEP13	Direct Deposit: Applications/Authorizations: Power of Attorney documents.	US		US		US = Account changed/moved or authorization terminated by employee.	
4.2.007	43PEP14	Payroll vouchers	FE+5		FE+5			
3.4.006	43PEP15	Employee time sheets for Austin headquarters divisions and offices.	FE+47		FE+47		Time off/Sick leave requests retained by originating offices per Agency Item Number ACF21 in the schedule for common accounting records.	

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	43PVP	PAYMENTS MANAGEMENT -- VOUCHER PROCESSING						
4.2.	43PVP01	Cash Vouchers: Batch cover vouchers for travel expense reimbursement, purchases, services, special miscellaneous contracts, interagency transaction vouchers.	FE+47		FE+47			
4.7.012	43PVP02	Signature Authorizations: Form 1588 Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of the agency.	US+ FE+3		US+ FE+3	Chapter 2, Section 4 of the <i>Financial Management Policy Manual</i> . CAUTION: Retain superseded lists for a period consistent with the requirements for records signed in accordance with the list. For example, superseded lists related to routine financial transactions retain FE+3. Contracting signature authority could be needed for legal support for up to 17 years for contracts		

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4.1	43PVP03	Vendor Direct Deposit: Applications/ Authorizations: Power of Attorney documents.	FE+5		FE+5			
4.1	43PVP04	Payment/credit card records	FE+5		FE+5			

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37FOD	FLEET OPERATIONS DIVISION		Retention	Storage	Total	Archival	106 No.	TSLAC ONLY Amend. No.
5.6.	37FOD01	Master Equipment File, Part 1: Active and inactive state-owned vehicle records, including copies of purchasing documentation, periodic and major inspection records, maintenance and repair orders, registration receipts and Certificate of Title documentation.	LA+3		LA+3	Send inactive titles and odometer statements to Support Services Division, Property Management Section (38PMS) after LA.		
5.6.003	37FOD02	Master Equipment File, Part 2: Periodic and major inspection records, maintenance and repair orders (Forms 1614, 1614A) for state-owned vehicles.	LA+3		LA+3	Combine with 37FOD01 upon retirement or transfer of equipment item. SEE 37FOD06 for Pre-trip Inspection Checklists.		
5.6	37FOD03	Master Equipment File, Part 2: Equipment Utilization Forms (122B, 1757 and/or 1784), Material and Supply Issues (Forms 1594 or 1597) for state-owned vehicles.	FE+3		FE+3	Combine with 37FOD01 upon retirement or transfer of equipment item.		

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5.2.009	37FOD04	Equipment Transfers: Major equipment transfers for equipment transferred from shops to districts.	FE+3		FE+3			
5.6	37FOD05	Vehicle Use Authorization Files: Shuttle car authorizations, and routine reports related to after-hours use of state vehicles.	US+3		US+3		Files may be managed on CE, FE or US basis for retention	
5.6.005	37FOD06	Equipment Utilization: Daily equipment request (Form 4.85 and 1535), EOS (Equipment Operating System Form 122-B, and Shuttle car daily logs.	FE+3		FE+3			
5.6.	37FOD07	Daily Equipment Pre-Trip Checklists.	3MO		3MO		FMCSR § 396.11.	
5.2.003	37FOD08	Master plan drawings for General Services Division equipment and shops.	PM		PM	R	Retained as a history file of equipment and construction plans.	

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5.2.	37FOD09	Records related to waste oil, used oil filter and scrap tire pick-up agreements from district shop by private businesses.	AC+4		AC+4	AC = Expiration or termination of the agreement according to its terms.		
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		53 HUMAN RESOURCES DIVISION						
		<b>53WFA WORKFORCE ANALYSIS</b>						
3.3.015	53WFA01	Job Classification Analysis Files	US+3		US+3	Files may be managed on FE basis.		
3.1.023	53WFA02	Job Description and Indexes.	AC+4		AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).		
		<b>53COS CAREER OPPORTUNITIES SECTION</b>						
3.3.	53COS01	Recruiting Files: Records related to department recruiting programs, college recruiting, career fairs.	2		2	Files may be managed on CE, FE, or as completed basis.		
3.3.023	53COS02	Conditional Grant Files: Records related to administration and grant payment for the department's Conditional Grant Program for minority students.	AC+5		AC+5	AC = Fulfillment of contract, employee termination or repayment of grant.		
		<b>53ECS EMPLOYEE CONDUCT SECTION</b>						
3.3.	53ECS01	Records related to the administration policies and procedures related to employee conduct, including, discipline, substance abuse and violence.	US+3		US+3	Individual case files retained per (53)PER01 or (53)PER17, as applicable.		

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	53HRC	HR CENTRAL OPERATIONS						
3.3.	53HRC01	Terminations Report: Reports on terminations and leave without pay (LWOP) transactions.	FE+1		FE+1			
3.4.002	53HRC02	Updates to Employee Files: Vacation/sick leave, comp time reports for department employees.	FE+3		FE+3	Employee Social Security Numbers on reports are confidential information.		
3.1.037	53HRC03	Employee Recognition Records: Documentation related to longevity awards, commendations, correspondence and fiscal records related to service awards.	AC+5		AC+5	AC = Employee termination.		
3.3.	53HRC04	Benefit Plans: Uniform Group Insurance Files-- Documentation related to insurance carriers for the department; evidence of insurability, insurance forms.	US+1		US+1	29 CFR §1627.3(b)(2). Individual employee elections in employee records (PER01).		

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3.2.001	53HRC05	Employee Deduction Authorizations: Texflex forms – Records related to employee enrollment in Texflex plan	AC+4		AC+4	AC = After termination of employee or after amendment, expiration or termination of authorization, whichever is sooner.		
3.3.	53HRC06	Ad-hoc Personnel Reports: Ad-hoc reports using employee personnel data prepared for the Governor's Office, legislature, LBB, TxDOT Administration, etc.	AC+10		AC+10	AC = Date of report. May use a variety of employee personnel data depending on request or purpose of the report. Reports may identify categories of employees but not individual employees.		
	<b>53CES</b>	<b>HR CENTRAL OPERATIONS – CENTRAL EMPLOYEE STATUS SUPPORT</b>						
3.1.	53CES01	Executive Files: Employee records for administration, division/office directors, district engineers and region directors.	PM		PM	Retained originally per requirement of PER01. Selected records including online data elements retained permanently for biographical reference.		

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3.3.011	53CES02	TER (Terminated Employees) File: Former employee verification file including employee name, employee ID number, social security number, gender, ethnicity, date of birth, dates of employment, position titles, pay history, last known address and most recent public access option form.	AC+75		AC+75	AC = Termination of employment. Data entered into agency approved Human Resources management information system upon employee termination. Social Security Number confidential. Personal information may be confidential per employee request. Employment dates include beginning and end dates with the department and per position title, rehire dates, break in service dates and LWOP periods.		
	<b>53CLS</b>	<b>HR CENTRAL OPERATIONS -- CENTRAL LEAVE SUPPORT</b>						
3.4.002	53CLS01	Records related to leave administration, including updates to, and reports of employee leave and other time balance	FE+3		FE+3			

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			Agency	Storage	Total	9. Remarks			

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	53CBS	HR CENTRAL OPERATIONS -- CENTRAL BENEFITS SUPPORT						
3.2.009	53CBS01	Deferred Compensation: Records of deferred compensation participants.	AC+5		AC+5		AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.	

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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			Agency	Storage	Total		9. Remarks		

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	53WFD	WORKFORCE DEVELOPMENT						
3.3.030	53WFD01	CEU Training, Administration, and Test Records: Records related to in-house and purchased training programs that award continuing education units (CEUs), including sign-in rosters, tests, composite test score summaries, instructional material, etc.	7		7	Records may be managed on a CE, FE or US basis. Retain one copy of each different (in terms of either questions, bank of questions, or administration procedures) test for the period indicated. CAUTION: This item does not include hazardous material training records. (See SAF01 and 60HAZ01), nor accounting, purchasing or financial records related to training programs. NOTE: ANSI/ACET 1-2007 Standard for Continuing Education and Training requires maintaining each learner's participation for at least seven years and the capability for providing a copy of the record on request.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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3.3.028	53WFD02	CEU Test: Scored test papers of current personnel for programs or courses that award CEU credits to qualify for promotion, transfer, or to complete the training.	2		2	29 CFR § 1602.31. Records may be managed on a CE, FE or US basis. These are the individual student's scored test papers.		
1.1.	53WFD03	Training Evaluation: Student evaluations of in-house and out-of-agency training received.	AV		AV			
	<b>53EOR</b>	<b>EMPLOYEE OUTREACH</b>						
3.3.	53EOR01	Employee Benefits Other than Insurance – Wellness Program: Program records and information related to the agency's Wellness Program.	AC + 2		AC + 2	AC = Until superseded or program termination.		
3.1.018	53EOR02	Grievance appeals case files.	AC+3		AC+3	AC = Final decision on appeal.		
3.3.	53EOR03	Employee Assistance Program Files: Documentation related to Employee Assistance Program. (No EAP client confidential information will be included in this file).	AC+3		AC+3	AC=Until superseded or program termination.		

Retention Codes (Field 7)

Archival Codes (Field 8)

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3.1.018	53EOR04	Grievance Records: Facilitation records and action plans produced as a result of facilitations.	AC+2		AC+2	AC = Resolution of action plan. CAUTION: Does not include formal complaints filed by an agency employee with the EEO office of the Department of Labor. See ADM33 for legal cases. See also 41DIR01 for Appeals files.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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		INFORMATION TECHNOLOGY (IT) DIVISIONS AND OFFICES						
	<b>ITM</b>	<b>GENERAL IT MANAGEMENT RECORDS</b>					NOTE: This grouping provides records retention guidance for the described records that may be maintained by any or all TxDOT IT functional units.	
1.1.065	ITM01	System Studies and Reports: Evaluations, justifications, budgeting and procurement information, post-installation audit/ reports on proprietary software, and other study reports/evaluations.	AV		AV		CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. Retain minimum FE+3 if needed to document outcome, efficiency and explanatory measures in the TxDOT appropriations request or strategic plan.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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2.2.001	ITM02	Activity Monitoring: Statistics, reports, operation/access logs, system status reports, Internet activity monitoring reports, security reviews/reports, operations summaries, productivity reports, problem logs/reports for computing and telecommunications activities.	AV		AV	NOTE: Security reviews/reports as supporting documentation in disciplinary actions or internal audits may be retained in records series related to those activities. CAUTION: Status reports, summaries, problem records may be required to substantiate trustworthiness and accuracy of electronically stored records as evidence.		
2.1.007	ITM03	Software Programs: Applications software written by department personnel, notes, and documentation; job control language, program listing/source code, etc. for computer programs.	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13TAC §6.94. CAUTION: Retain software needed for access to electronic records for period of time required to access the records.		

Retention Codes (Field 7)

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2.1.008	ITM04	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.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read 13 TAC §6.94. CAUTION: Retain software needed for access to electronic records for period of time required to access the records.		
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2.1.009	ITM05	Technical Documentation: Records adequate to specify all technical characteristics necessary for reading or processing electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for 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.	AC		AC	AC = 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 13 TAC §6.94.  CAUTION: Retain software needed for access to electronic records for period of time required to access the records.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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2.1.010	ITM06	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 applications files or security logs.	AC		AC	AC = All audit requirements have been met.		
2.2.013	ITM07	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.	AC		AC	AC = No longer needed as an audit trail for any records modified		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2.2.	ITM08	Data Entry Documents: Documents/records used for input of data into automated systems/ applications.	AV		AV	AV = Verification of successful and accurate entry. NOTE: Some data entry records are retained in accordance with the requirements for specific types of records for audit purposes. Retention requirements may be specified in procedures manuals.		
2.1.001	ITM09	Processing Files: Machine-readable files used in the creation, utilization and updating of master files.	AC		AC	AC = Completion of 3 <sup>rd</sup> verification or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		

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2.1.002	ITM10	Master Files: Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC		AC	AC = Completion of 3 <sup>rd</sup> verification or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.  Documents, records or reports utilizing database content are subject to the retention requirements for the record series to which they pertain. While database contents are generally open records, some databases may contain content requiring confidential handling. Some databases may be classed as vital in relation to the operations they support.		
2.2.004	ITM11	Computer Job Schedules and Reports: Schedules or similar records showing computer jobs to be run and other reports of work performed by computer operators or programmers.	3MO		3MO			

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2.2.012	ITM12	Back-end system entry/transaction reports for automated systems, showing transactions accepted, rejected, suspended and/or processed.	AV		AV	Some backend reports are retained in accordance with the requirements for specific types of records for audit purposes. Retention requirements may be specified in procedures manuals.		
2.2.014	ITM13	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		AV			
2.2.015	ITM14	Web Site History Files: 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 usage of a state-owned computer.	AV		AV			

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2.2.016	ITM15	Software Registrations, Warranties and License Agreements.	LA+3		LA+3			
2.1.011	ITM16	Finding Aids, Indexes, and Tracking Systems: Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC		AC		AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.	
	<b>59</b>	<b>IT OPERATIONS DIVISION</b>						
5.3.007	59BSS01	Information Resource Purchasing Requests: Documentation related to input for automation equipment purchasing justification, requisition/authorization, invitation to bid or propose, bid specifications, tabulations, evaluations.	FE+5		FE+5		Retained in conjunction with 5-year automation planning schedule. CAUTION: 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 ACF09.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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	59IMT	INFRASTRUCTURE MANAGEMENT						
5.5.001	59IMT01	Billing Detail - Telecommunications (Other than TEX-AN) Summary detail and any accompanying detailed listing of long distance calls.	FE+3		FE+3			
5.5.006	59IMT02	Billing Detail - Telecommunications: TEX-AN billing detail received from Texas Building and Procurement Commission.	FE+3		FE+3		The billing agency retains detail and furnishes TxDOT with summary statements without call detail records.	
5.5.007	59IMT03	Disputed Call Documentation: Including documents evidencing repayment by employees for personal long distance use.	FE+3		FE+3			

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	59SEC	INFORMATION SECURITY						
5.4.012	59SEC01	Security Access Records: Documentation related to requests for equipment/systems/ Internet access, passwords, sign-on keys, temporary access, access to external systems, outside access to TxDOT systems, practice exception requests/appeals.	AC+2		AC+2	AC = Until superseded, date of expiration or date of termination, whichever is sooner.  NOTE: Original requests and signed acknowledgements of TxDOT information resources policy retained in employee folders (PER01). In the case of adverse (forced) termination or disgruntled resignation, retain records related to the employee five years per TSD Security Administrator Reference Guide on the department Intranet.		
5.4.013	59SEC02	Disaster Recovery Plan: Documentation related to development, approval, and implementation of the department's disaster recovery plan for automation.	US		US			

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	90ISD	IT SERVICES DIVISION						
2.2.014	90ISD02	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		AV			
2.2.015	90ISD03	Web Site History Files: 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 usage of a state-owned computer.	AV		AV			
	92ISO	IT STRATEGY OFFICE						
1.1.024	92ISO01	Information Resources Planning: Records related to IR input for the department's strategic plan.	AC+3		AC+3		AC = Inclusion in plan. NOTE: Data processing planning records are not archival.	

**Retention Codes (Field 7)**

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2.2.	92ISO02	Biennial and Strategic Planning: Biennial operating plan for information resources, strategic automation planning, and department operating plans for information resources.	AC+5		AC+5	AC = Submission to Legislative Budget Board. NOTE: Data processing planning records are not archival.		
	<b>93IPM</b>	<b>IT PROJECT MANAGEMENT OFFICE</b>						
2.2.	93IPM01	Information Technology Project Records: Including project proposals, approvals, charters, planning and management, schedules, meeting notes, correspondence and reports, deliverables, development testing, production implementation, and follow-up feedback and project review/evaluation documentation.	AV		AV	Retain records related to contracted services AC+4 (AC = Completion of contract according to its terms). Retain minimum FE+3 if needed to document outcome, efficiency and explanatory measures in the TxDOT appropriations request or strategic plan.		

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	47	MAINTENANCE DIVISION						
	47MNT	MAINTENANCE SECTION						
5.1.001	47MNT01	Statewide routine maintenance contracts and related records.  a) Executed, renewed, or amended on or after September 1, 2015. <span style="float: right;">AC+7</span>  b) Executed, renewed, or amended on or before August 31, 2015. <span style="float: right;">AC+4</span>					AC = Expiration or termination of the instrument according to its terms. File to include all applicable contract-related records as described in item ACF09. <a href="#">Government Code, 441.1855</a>	

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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.001	47MNT02	Agreements and Permits: Multiple Use Agreements.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7		AC+7	AC = Expiration or termination of the instrument according to its terms; modification or replacement of permitted structure or facility; completion of permitted activity. Permits are contractual in nature. <a href="#">Government Code, 441.1855</a>  NOTE: Municipal Maintenance Agreements reviewed periodically to amend changes related to exhibits. Responsibilities of the state and municipalities are NOT revised. SEE DMT01 for Municipal Maintenance agreements, Utility Permits, Permits related to long-term and short-term use of right-of-way and related documentation retained by districts.		
4.7.	47MNT03	Disaster Emergency Funding: Documentation related to emergency funding requests to federal agencies.	AC+3		AC+3	AC = Closeout of event or project per federal agency rules.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	47MNT04	Quarry and Pit Registration Forms: Initial registration of all quarries and pits in Texas for initial implementation of program.	20		20				
1.1.	47MNT05	Quarry and Pit Files: Files containing ownership, location, date of application, safety certificate and other information about quarries and pits.	AC+15		AC+15	R	AC = Reclamation of quarry or pit. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management or State Archives review.		
5.2.	47MNT06	Standard Plan Sheets	AV		AV				

Retention Codes (Field 7)	Archival Codes (Field 8)
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	60	OCCUPATIONAL SAFETY DIVISION						
	60HAZ	HAZARDOUS MATERIALS SECTION						
5.4.008	60HAZ01	Hazard Communication Program Files, including Hazard/Hazmat/Worker Protection training and refresher session forms (Forms 1788, 1812, 2025), district annual reports of hazard communications training.	US+5		US+5	Health and Safety Code, § 502.009(g). NOTE: Department of Health retains Tier Two reports and related documents 30 years per Texas Health and Safety Code §506.006(f).		
5.4.	60HAZ02	District/Division Hazardous Materials Safety Surveys: Information collected on surveys, with reports and responses.	AC+3		AC+3	AC = Completion of report or resolution of all findings by surveyed D/D/O.		
5.4.010	60HAZ03	Material Safety Data Sheets (Current and Obsolete).	AV		AV	SEE SAF02 and SAF03 for individual office retention requirements for Workplace Chemical Lists and MSDS.		
5.4.009	60HAZ04	Workplace Chemical Lists	30		30	Per Health and Safety Code §502.005(d).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.4.	60HAZ05	Hazardous Materials reporting: Tier two reports submitted to the Texas Department of Health.	CE+5		CE+5	Retained five years per Chapter 4, Sections 2 and 3 <i>Occupational Safety Manual</i> .		
	<b>60SAF</b>	<b>SAFETY/INDUSTRIAL HYGENE SECTION</b>						
3.3.030	60SAF01	Safety training administration records, safety/first-aid, defensive driving training programs, reports.	3		3	Item for safety training other than Hazard Communication. SEE 60HAZ01 for retention requirements for Hazard Communications Records. Current certifications maintained in individual employee files as applicable.		
5.4.	60SAF02	Fleet Safety: Documentation related to driver awards. Driver education material.	FE+3		FE+3			
5.4.	60SAF03	Incident reports containing information on fact and circumstances of employee accidents, identification of drivers and vehicles involved (where applicable), etc.	FE+10		FE+10	SEE 60WCM01 for employee injury or illness reports.		

Retention Codes (Field 7)

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1.1.	60SAF04	OSHA (Occupational Safety and Health Administration) "Fast Regs" file: Files to search and print any word/topic in OSHA regulations and to assemble documentation.	US		US			
5.4.003	60SAF05	Inspection Records: District and Division Safety Survey records: Review findings, reports and documentation of corrective action Safety inspection records for facilities/ equipment, including fire protection systems, equipment and periodic procedural inspections and reviews. Industrial hygiene case files.	AC+3		AC+3	AC = Inspection or date of the correction of the deficiency, if the inspection report reveals a discrepancy.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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	60TOR	TORTS SECTION						
4.7.005	60TOR01	Tort Claims Files: Records of lawsuits and bodily tort claims, including notices of claims, investigations, statements, plaintiff/department petitions/ pleadings/ answers, etc.	AC+3		AC+3	AC = Statute of limitations or resolution of claim. Parts of file remain confidential after AC. Contact General Counsel for guidance. If litigation is filed, apply ADM33.		
4.7.005	60TOR02	Liability Claim Files: Reports of incidents involving vehicles/mobile equipment; investigation reports, other documentation related to claims not litigated.	AC+3		AC+3	AC = Settlement of claim. Records obtainable only through subpoena. Vital while case active. Not confidential after closed.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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1.1.048	60TOR03	Liability Lawsuit Files: Reports of incidents involving department vehicles/mobile equipment; Insurance carrier's investigation reports, documentation related to claims/lawsuits.	AC+3		AC+3	R	AC = Statute of limitations. Records obtainable only through subpoena. Not confidential after closed. Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. Contact TxDOT Records Management to coordinate archival review for applicable records.		
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	60WCM	WORKERS COMPENSATION SECTION						
5.4.001	60WCM01	Claim files, files containing first report of injury, medical reports, bills, investigation reports and other documentation related to the claim.	50		50		29 CFR §1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	
3.1.014	60WCM02	Pre-employment Physical Files: Form 484 pre-employment physical exam records, resume sheets, and related documentation.	50		50		Retained in support of department's self-insurance program. (Labor Code §505.054(2)(d)). Files may be managed on CE. FE or as-completed basis.	
5.4.	60WCM03	Oral Statements: Cassette tapes and transcripts containing statements taken during investigations of incidents.	CE+5		CE+5		Medium O = Audiocassette, paper.	
3.1.	60WCM04	Drug Test Results - Original doctors' reports, both positive and negative for all TxDOT testing.	5		5			

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	54	OFFICE OF CIVIL RIGHTS						
	54ACV	ADMINISTRATION						
3.3.024	54ACV01	EEO Policy: Documentation related to the department's EEO program, policy, procedures and department EEO updates.	AC+3		AC+3	AC = Completion or termination (replacement/revision) of policy or procedure.		
3.3.031	54ACV02	EEO-4 Reports and related documentation; EEO Program Update – Part 1 Report	3		3	Files may be managed on either CE or FE basis. 29 CFR §1602.32.		
3.3.001	54ACV03	AAP Files: Department AAP plan and updates.	5		5	29 CFR §30.8(e) for apprenticeship plans. Files may be managed on CE, FE, or as completed basis. See also 54COM07.		

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	54BOP	BUSINESS OPPORTUNITY PROGRAMS						
1.1.	54BOP01	DBE (Disadvantaged Business Enterprises)/HUB (Historically Underutilized Business) contract provisions and special provisions.	US+4		US+4	This item pertains to standard provisions and standard special provisions. Retention based on that required for contracts issued under those provisions.		
	54BCA	CERTIFICATION AND AUDIT						
1.1.	54BCA01	DBE Files: Certification/denial of Disadvantaged Business Enterprise, including applications and related documentation and reviews.	AV		AV			
1.1.	54BCA02	Unsuccessful DBE/HUB applications and supporting documentation, reviews.	AV		AV			
1.1.	54BCA03	Records related to third-party certification challenge investigations.	AV		AV			

**Retention Codes (Field 7)**

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	54CCS	COMPLAINTS AND COMPLIANCE						
							Note: FE = Federal fiscal year for records in this office.	
3.3	54CCS01	EEO Compliance Reviews	FE+7		FE+7			
3.3.031	54CCS02	EEO Assurances	FE+5		FE+5			
3.3	54CCS03	Show Cause Notices	FE+7		FE+7			
3.3.031	54CCS04	1392 Report	FE+3		FE+3			
3.3	54CCS05	Title VI Reviews	FE+5		FE+5			
3.3	54CCS07	Title VI External Complaints or Investigations	FE+4		FE+4			
3.3.001	54CCS08	On-the-Job Training Program.	FE+5		FE+5		29CFR §30.8(e)	
3.3.001	54CCS09	Supportive Services and Summer Transportation Institute Records and Reports	FE+5		FE+5		29CFR §30.8(e)	

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	54INV	INVESTIGATION SECTION						
1.1.065	54INV01	Complaint and Grievance Tabulation	AV		AV			
3.1.018	54INV02	Employee Complaint and Investigative Files	AC+3		AC+3	AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U.S. Department of Labor. See item ADM33.		

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	81OCE	OFFICE OF COMPLIANCE AND ETHICS						
1.1.	81OCE01	Internal Complaints Program (ICP) Complaints and Investigations.	AC+7		AC+7	AC=Completion of investigation or resolution of complaint. CAUTION: If a complaint results in legal or disciplinary action, the record must be retained in accordance with the requirements for records related to those actions.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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<b>79</b>	<b>OFFICE OF GENERAL COUNSEL</b>							
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<p><b>Retention Codes (Field 7)</b></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled          AV – Administrative Value          CE – Calendar Year End          FE – Fiscal Year End          LA – Life of Asset          MO – Months          PM – Permanent          US – Until Superseded</p>	<p><b>Archival Codes (Field 8)</b></p> <p>A – Transfer to State Archives          R – Review by State Archivist</p>
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1.1.048	79OGC01	Contested case files. The records are those in which: (1) a dispute (e.g. contract claim, application for permit, enforcement) is processed pursuant to one or both department rules or the Texas Administrative Procedure Act; (2) a final decision is rendered by the Commission, Executive Director, or Deputy Executive Director (depending on the type of case); and (3) the Office of General Counsel assists the decision maker process the case. For purposes of the record retention schedule, a “contested case” includes a decision by department staff and department rules provide a right to appeal that decision using a prescribed procedure, whether or not the Texas Administrative Procedure Act applies (e.g. application for outdoor advertising sign permit under 43 T.A.C. §21, subch. I.)	AC+3		AC+3	R	Case records include the record showing the final decision, all correspondence, pleadings, and evidence received by OGC concerning the case, and memoranda from the OGC to the decision-maker. The OGC may forward case files to the district, division, or office from which the case originated, to maintain in accordance with this retention schedule (SEE ADM32). In every instance the OGC will retain a copy of the final decision and memoranda from the OGC according to the retention schedule. AC = After the decision is final under the Texas Administrative Procedure Act or other law, and any opportunity to appeal the decision to court has expired, or the case on appeal is completed and final. On the expiration of the retention period, the Office of General Counsel will contact TxDOT Records Management to coordinate a review by the State Archives to evaluate cases that set legal precedent or exhibit historical value.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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1.1.	79OGC02	Hearing Files: Records related to hearings for which OGC is the office of record, subject files of hearings records.	AV		AV				
1.1.014	79OGC03	Legal Opinions and Advice: Legal memoranda and correspondence from the Attorney General and/or agency legal counsel, including any requests eliciting the opinions; department responses, AG opinions.	AV		AV	R	Attorney General's copy retained permanently. Some correspondence may be confidential pending issuance of AG opinion. Forward to GSD Records Management for State Archives review when no longer of administrative value.  CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation.		
1.1.026	79OGC05	Texas Register Submissions: Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC+1		AC+1		AC = Date of publication in Texas Register. SEE: ADM27 for minimum retention requirements related to agency rules		

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1.1.048	79OGC06	Case Files: Out-of-state services records.	AC+2		AC+2	AC = File closed by office. TxDOT not a party to litigation.		
1.1.072	79OGC07	Public Information Reports: Reports on TxDOT public information activity submitted to the Attorney General's Office.	2		2	Records may be managed on a CE or FE basis.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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44	PROCUREMENT DIVISION							
5.2.	44PRO01	Major and Minor Equipment Specifications: Related correspondence and forms.	LA+2		LA+2	Specifications related to individual purchases retained with the purchasing file. Standard specifications retained for the life of the asset to which they relate. Retain obsolete or superseded specifications a minimum of two years.		
4.2.005	44PRO02	Purchase Orders other than those related to a term-of-contract purchase or purchase of major equipment.	FE+3		FE+3	<b>CAUTION: For a purchase order related to a contract see ACF09 or 95CSO01.</b>		
4.2.005	44PRO03	Major equipment purchase order files.	LA+3		LA+3			
5.3.	44PRO04	Purchase orders based on term-of-contract (TOC) completion (i.e., purchase of services).	AC+4		AC+4	AC = Termination or completion of the contract according to its terms.		

Retention Codes (Field 7)

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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.3.008	44PRO05	Purchasing Logs: Service purchase order log and division requisition logs.	FE+3		FE+3			
1.1	44PRO06	Small and Minority Business Report: Semi-annual report to the Texas Department of Commerce. Primary records contained in the SMBS (Small and Minority Business System).	FE+5		FE+5			
	44PRO07	Not in use.						
1.1.006	44PRO08	Vendor Protests and Appeals: Records related to protests which may be filed by any actual or prospective bidder or offeror who is aggrieved in connection with the solicitation, evaluation, or award of a purchase made by the department under the State Purchasing and General Services Act.	AC+2		AC+2		AC=Resolution of complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of Agency Item Number ADM33..	

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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4.7.005	44PRO09	Vendor Claims: Records related to vendor claims seeking payment of money, adjustment of contract terms, or other relief, for loss or damage arising under or relating to breach of a PO contract.	AC+3		AC+3	AC=Resolution of claim.		
1.1.	44PRO10	Vendor Debarment: Records related to requests to Texas State Comptroller for debarment of vendors.	AC+2		AC+2	AC=Comptroller action on complaint.		
4.2.	44PRO11	Payment Documentation File: Records pertaining to the receipt, acceptance, and submission for payment of purchases; supporting documentation and other information which may not be in the Purchasing Section's paid-firm file.	FE+3		FE+3			
4.7.	44PRO12	Credit/Payment Card Records: Applications and issuance, etc. for internal department and external customer accounts.	AC+3		AC+3	AC = Cancellation of credit card/account. SEE Finance Division schedule (43PVP) for billing and payment records.		

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Archival Codes (Field 8)

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51	PUBLIC TRANSPORTATION DIVISION							
	<b>51DPT</b>	<b>DIRECTOR, PUBLIC TRANSPORTATION</b>						
1.1.	51DPT01	Statewide System Statistics: Related data collection and reports.	US+5		US+5			
4.7.008	51DPT02	FTA (Federal Transit Authority) Public Transportation Grant Program Files: Including applications, related minute orders and contracts for specific public transportation programs.	AC+5		AC+5	AC = Completion of contract. Files may be managed on fiscal year basis after completion.		
4.7.008	51DPT03	FTA (Federal Transit Authority) Public Transportation Grant Program Files related to grants for equipment and facilities: Including applications, related minute orders and contracts for specific public transportation programs.	LA+5		LA+5	LA = Disposition of asset by grantee. Files may be managed on fiscal year basis after completion		

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**Archival Codes (Field 8)**

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	83	RAIL DIVISION						
	<b>83RRS</b>	<b>RAIL SAFETY</b>						
5.4.	83RRS01	Railroad Company Annual System Safety Program Plan (SSPP) and System Security Plan (SSP) Reports	CE+3		CE+3	A state may withhold an investigation report that may have been prepared or adopted by the oversight agency from being admitted as evidence or used in a civil action for damages resulting from a matter mentioned in the report. Public availability of the rail transit agency's security plan and any referenced procedures not required. 49CFR §569.11.		
	<b>83RSP</b>	<b>RAIL SYSTEMS (PLANNING)</b>						
1.1.	83RSP01	Railroad Mergers	AC+1		AC+1	AC = Merger no longer exists.		
2.1.	83RSP02	Geographic Information System (GIS) Rail Maps Layer.	AV		AV	Maintained according to 13 TAC §6.95(b).		

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	70	RESEARCH AND TECHNOLOGY IMPLEMENTATION OFFICE						
5.1.001	70RTI01	Research Project Records: Including contract and proposal, correspondence, accounting information, progress reports and latest version of report.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7		AC+7	R	AC = Completion of contract according to its terms. <a href="#">Government Code, 441.1855</a>  NOTE: Published reports subject to retention and Texas State Library Publications Clearinghouse deposit requirements described in the Remarks for ADM18.  <b>Forward one copy</b> of study or report not published or subject to State Publications Deposit requirements to TxDOT Records Management for State Archives review.	
1.1.	70RTI02	Rejected Proposals: Rejected proposals for research and implementation projects.	AV		AV			

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	<b>55</b>	<b>RIGHT OF WAY DIVISION</b>					ROW Division is the office of record for all TxDOT ROW records. Districts and Regional Support Centers may retain copies of ROW records locally as long as they are of administrative value.		
	<b>55ACQ</b>	<b>ROW ACQUISITION SECTION</b>							
5.2.	55ACQ01	Active Right of Way Project Files for state, federal and local participating agency ROW acquisition, including authorizations, releases coordination review and approval of district project submissions, eminent domain proceedings, relocation assistance.	AC+4		AC+4		AC = Project closeout. Deed, Judgment, Title Policy or Abstract files retained for the life of the asset in the Records Branch of the Resource Management Section (55REM01).  NOTE: Project records must be retained for four years after the project is closed out. FHWA may audit the records at any time to verify that FHWA ROW acquisition requirements were met.  SEE 55ACQ02 for Appraisal Reports		

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5.2.001	55ACQ02	Appraisal Reports	10		10	Retain 10 years per SB 18, 82 <sup>nd</sup> Legislative Session. Not subject to State Archives review per 11/16/2004 communication from State Archivist.		
	<b>55LEG</b>	<b>LEGAL SECTION</b>						
1.1.	55LEG01	Road Utility District Files: Petitions, hearing records and copies of commission minute orders for creation of road utility districts.	AV		AV			
1.1.	55LEG02	Transportation Corporation Files: Correspondence and documentation for the creation of transportation corporations, applications, copies of minute orders, related reports.	AV		AV			

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	55MSU	MAP, SURVEY, UTILITY SECTION						
5.1.001	55MSU01	Utility Agreements: Agreements and related records pertaining to adjustment/ relocation/ accommodation/joint use of utility facilities on ROW projects. Records include local option utility agreements executed in districts.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7		AC+7		AC = Completion, expiration, or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a>  Agreements may be retained beyond retention requirement for engineering and legal reference.	
			AC+4		AC+4			

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5.2.	55MSU02	Right of Way Maps: Working copies of ROW maps as projects are in acquisition. Corrections with applicable support documentation received from districts throughout project life-cycle. Final Map produced by District at project close out. Final ROW Map retained in Division's Permanent Files.	AC		AC	AC = Completion of ROW project. ROW Division is office of record for all TX DOT ROW Maps. Corrections and documentation physically retained in Records Branch of Resource Management Section during project acquisition. Final ROW map retained with final project records per 55REM01.		
	<b>55PMT</b>	<b>PROPERTY MANAGEMENT SECTION</b>						
5.2.	55PMT01	Non ROW Acquisitions: Records of acquisition of non-ROW real estate, including office/ building/warehouse sites, maintenance facility, dredge disposal sites. Contains deed, title issuance and abstract files.	LA		LA	SEE 38FMS04 for building plan records and 38FMS06 for related records concerning state-owned buildings and sites. Agreements and payment records may be destroyed after four years.		

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5.1.001	55PMT02	ROW Leasing files					AC = Expiration or termination of the instrument according to its terms. Government Code, 441.1855		
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4				
5.2.	55PMT03	Records related to disposal of surplus ROW, real property sites and improvements and exchanges of ROW interests.	AC+4		AC+4		AC = Transaction closing. Selected records resulting from exchange transactions scanned and retained PM per 55RES01 and 02. SEE 38PMS04 for records related to improvements sold separately from the land		
1.1.	55PMT04	Outdoor Advertising License Files: Applications, related correspondence, surety bond information, fee accounting, district quarterly reports.	AC+5		AC+5		AC = Expiration or revocation of annual license. Files may be retained for legal reference.		

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1.1.	55PMT05	Junkyard program records: Correspondence with districts and state and local legal entities related to program enforcement.	AV		AV				
1.1.	55PMT06	Regulatory enforcement: Records related to junkyard or sign enforcement actions.	AC+3		AC+3		AC = Final decision of action or decision not to take action. SEE ADM33.		
	<b>55REM</b>	<b>RESOURCE MANAGEMENT SECTION</b>							
5.2.	55REM01	Final Right of Way project files containing: <ul style="list-style-type: none"> <li>ROW conveyances and judgments,</li> <li>final ROW maps,</li> <li>title insurance policies, and</li> <li>other instruments pertaining to the State's title to land or interests therein.</li> </ul>	LA		LA		Retained for legal reference. Original conveyances and judgments, deed, title policies or abstract documents retained.		

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	76	STATE LEGISLATIVE AFFAIRS OFFICE						
1.1.	76SLA01	Legislative Files: Documentation related to enacted legislation affecting the department.	CE+6		CE+6	Retention based on Legislative cycle. Information may be required over several biennia. SEE ADM25 for retention requirements related to proposed legislation.		
1.1.	76SLA02	Implementation Files: Documents, reports, and action plans related to the implementation of enacted legislation.	CE+5		CE+5			
1.1.074	76SLA03	Sunset Review: Agency sunset review report.	AC+3		AC+3	R AC = After subsequent Sunset Review. Archival requirement met by sending required copies to the Texas State Publications Depository Program.		

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	86	STRATEGIC PROJECTS DIVISION						
1.1.	86SPD01	Regional Authorities: Records related to the application to, approval by the Commission, establishment of, additions to, withdrawals from and dissolution of Regional Mobility Authorities (RMAs) and Regional Tollway Authorities (RTAs).	AC+4		AC+4		AC = Dissolution of Authority.	
4.5.005	86SPD02	RMA Reports Department files of financial reports and information, including annual operating and capital budgets and detailed financial information and notices of material events relating to bonds, as well as provisions relating to project accounting and annual audits.	AC+4		AC+4		AC = Receipt of annual RMA audit reports.	

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5.2.	86SPD03	Right of Way Project Files for turnpike projects.*	AC+4		AC+4	<p>* NOTE: This item addresses records maintained by TTA that may not be included in ROW acquisition records maintained by the Right of Way Division. AC = Acquisition project completion.</p> <p>NOTE: Records must be retained for four years after the project is closed out. FHWA may audit the records at any time to verify that FHWA ROW acquisition requirements were met. SEE 55REM01 for department record copy of conveyance instruments.</p>		
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5.1.001	86SPD04	<p>Non-traditional project records: Comprehensive Development Agreements (CDAs) and Public Private Partnership project agreements and all records related to specifications, affidavits of publication of calls for bids, <del>accepted proposal</del>, performance bonds, contracts, purchase orders, inspection reports, contractor performance reports and correspondence.</p> <p>a) Executed, renewed, or amended on or after September 1, 2015.</p> <p>b) Executed, renewed, or amended on or before August 31, 2015.</p>	AC+7		AC+7		<p>AC = Completion, expiration or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a></p> <p>Retain department copy of design, engineering and construction records per DEC Agency items in the schedule of common records.</p>		
			AC+4		AC+4				

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	38	SUPPORT SERVICES DIVISION						
	38FMS	FACILITIES MANAGEMENT SECTION						
5.2.003	38FMS01	Building Site Plats: Large and quarter-scale plats of all building sites, showing deed recording, acreage, property lines, improvements, and utility lines.	LA		LA	R	<b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.	
5.2.002	38FMS02	Building construction technical correspondence related to construction materials and supplies, construction records for all building construction projects statewide, building improvements, and renovations.	AC+10		AC+10	R	AC = Completion of project. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review. SEE 46CCP02 for retention requirements for contracts, surety bonds and inspections, and 46CPI03 for bid documentation.	
5.2.	38FMS03	Building Inventory: Official record of each building owned by the department in the state. Required for generation of inventory required by Texas Land Office/Governor.	LA		LA			

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5.2.003	38FMS04	Building Plans/Specifications - State-Owned: Original tracings, final as-built plans and quarter-scale prints, correspondence, specifications, products, and materials records.	LA		LA	R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives on disposition of asset.		
5.2.003	38FMS05	Building Plans/Specifications - Leased Properties: Original tracings, final as-built plans and quarter-scale prints, correspondence, specifications, products, and materials records.	AC+2		AC+2		AC = Expiration of lease.		
5.2.	38FMS06	Building Sites: Files related to specific county and district headquarters sites and the acquisition and disposal of property.	LA		LA				
5.2.	38FMS07	Records related to landscape development projects, roadside parks development/contracting bid specifications.	AC+4		AC+4		AC = Project closeout. Stored according to retention for construction project records listed under DEC01. Original contracts retained under 46CCP01/02.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.4.	38FMS08	Asbestos Abatement Program Files: Closeout documents for asbestos work done statewide, including TDH notification, respirator fit tests, air monitoring reports, areas where material was abated, licenses for workers and consultants, etc	30		30	Retained in district maintenance offices for 3 years, then forwarded to Maintenance Division for assembly and retention.		
5.4.012	38FMS09	Security Service Requests: Memoranda, correspondence requesting/approving building entry I.D. cards and/or keys.	AC+2		AC+2	AC = Until superseded, date of expiration or date of termination, whichever sooner. Files may be managed on a fiscal year basis for retention purposes.		
5.6.009	38FMS10	Parking Assignments: Correspondence and memoranda for reserved parking spaces, and special parking requests.	AV		AV			
5.2.017	38FMS11	Security Reports, including summary of each shift's activity, incident reports, theft/loss reports.	FE+3		FE+3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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5.4.	38FMS12	Entry card/I.D. badge destruction memo; monthly list of cards destroyed.	AV		AV			
5.2.	38FMS13	Energy Consumption/Conservation Files: Including utility bills, reports, quarterly, and annual data from districts and divisions.	FE+5		FE+5			
5.1.001	38FMS14	Building Facility Leases and related documentation.  a) Executed, renewed, or amended on or after September 1, 2015.  b) Executed, renewed, or amended on or before August 31, 2015.	AC+7		AC+7		AC = Completion or expiration of the lease according to its terms. <a href="#">Government Code, 441.1855</a>	
			AC+4		AC+4			

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	38OIS	ONLINE INFORMATION SERVICES						
5.2.	38OIS01	Final As-built project plans and shop drawings.	PM		PM			
1.2.004	38OIS02	Forms Inventory	US		US			
1.2.003	38OIS03	Forms History: Correspondence related to development and revision of individual forms.	AC+1		AC+1	AC = Discontinuance of use of the form.		
1.2.005	38OIS04	Agency records retention schedule and related documentation.	AV		AV			
1.2.010	38OIS05	Annual records destruction authorization and coordination sign-offs with attached transmittals, district, division and office records destruction logs, Requests for Authority to Dispose of Public Records Form RMD102 when/if applicable.	10		10	Annual records destruction files retained as log of records disposition.		

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	<b>38PMS</b>	<b>PROPERTY MANAGEMENT</b>						
5.2.	38PMS01	Correspondence/forms authorizing removal of items destroyed by fire, flood, storm, or missing/stolen items from inventory, and forms authorizing dismantling.	FE+3		FE+3			
5.2.	38PMS02	Records pertaining to the transfer or write-off of obsolete parts/equipment and the write-off from inventory of minor equipment.	FE+3		FE+3			
5.2.021	38PMS03	Local Bid or Sealed Bid Sales: Records pertaining to the sale of equipment or miscellaneous items.	FE+3		FE+3		SEE ALSO 38PMS07 relating to further retention of records related to improvements containing potential hazardous material (asbestos).	
5.2.021	38PMS04	Improvement Sales: Records pertaining to sale of improvements on highway right of way, or outdoor advertising signs either on right of way or removed to storage.	FE+3		FE+3			

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5.2.021	38PMS05	Auctions: Records pertaining to sale of equipment and miscellaneous items by auction.	FE+5		FE+5			
5.2	38PMS06	Transfers: Records related to transfers of equipment/miscellaneous items to state agencies and entities.	FE+3		FE+3			
5.2.014	38PMS08	Records related to annual inventory of non-consumable items, including reconciliations and annual inventory report submitted to State Comptroller, containing report and data tape with sample of inventory.	FE+3		FE+3			

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	38SUP	SUPPLIES MANAGEMENT						
5.2	38SUP01	Regional Supply Center Inventory Management Records: Adjustments, annual and spot inventories, changes to stock accounts, audit reports, back order reports, worksheets and other documentation related to the management of and accounting for inventory of warehouse (consumable) stock in Austin and Regional Supply Centers.	FE+3		FE+3			
5.2.009	38SUP02	Audit List: Weekly transaction report and supporting documents related to particular stock accounts in Austin and regional supply centers.	FE+3		FE+3			
5.3.	38SUP03	Receiving Records: Documentation related to receipt of department purchases and new minor equipment, receiving reports, packing slips, adjustments, and related information.	FE+3		FE+3			

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	87TOD	TOLL OPERATIONS DIVISION						
2.2.	87TOD01	Nixies: Returned mail marked as undeliverable by USPS.	AC		AC	AC = On receipt individual account record updated to indicate incorrect address.		

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	58	TRAFFIC OPERATIONS DIVISION						
	<b>58CDA</b>	<b>CRASH DATA AND ANALYSIS SECTION</b>						
2.1	58CDA01	Crash Records Information System: Crash data and reports assembled from local jurisdictions.	CE+5		CE+5			
5.6.	58CDA02	Form CR-2 Driver's Crash Report.	CE+1		CE+1			
5.6	58CDA03	Form CR 1001 Death/Toxicology Report	CE+1		CE+1			
	<b>58RAD</b>	<b>TRAFFIC ENGINEERING SECTION -- RADIO OPERATIONS</b>						
5.1.	58RAD01	Records related to coordination with the FCC (Federal Communications Commission) for departmental base station licensees/operations.	AV		AV		Individual base station operators retain original licenses minimum two years per DMT08.	

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	58RHS	RAIL SAFETY SECTION – RAIL HIGHWAY SAFETY						
5.2.	58RHS01	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		FE+3	Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC. SEE 58RRS06 for requirements for individual project records		
5.2.	58RHS02	Records related to annual Grade Crossing Replanking Program, including district requests, project ranking, selection and funding coordination with the Transportation Planning and Programming division.	FE+3		FE+3	Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC. SEE 58RRS06 for requirements for individual project records.		

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5.1.001	58RHS03	Railroad Agreements and exhibits pertaining to specific crossing projects, and railroad spur tracks crossing state highways. Records include master agreements for grade crossing replanking in place with each railroad company that receives new projects on a regular basis. Master agreements are updated each year by adding an Exhibit L (List of Projects) to the original master agreement. (# 9 folders).	PM		PM	Retained PM because of license, maintenance, and payment clauses in original agreement. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.		
5.2.	58RHS04	Railroad crossing and signal project records: Division records related to management and coordination of grade crossing maintenance, replanking, signal installation and maintenance, grade separation and drainage structure projects with Districts Division, local governmental entities and railroad companies.	AC+4		AC+4	AC = Project completion in accordance with the terms of the agreement. NOTE: District construction and maintenance project records retained under the DEC and TRF schedules.		

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5.1.001	58RHS05	Project Specific Letter, Right of Entry and Survey Agreements and related records.					AC = Reimbursement to railroad company. Government Code, 441.1855		
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7				
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4				
1.1.	58RHS06	Railroad Crossing Files: USDOT/AAR Grade Crossing Inventory forms showing inventory data for each crossing, railroad crossing index maps showing location and serial number of each crossing, crossing report printouts.	US		US		Maps continually updated, with previous versions retained for reference. Current version of map vital.		

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	58RSI	RAIL SAFETY SECTION – RAIL SAFETY INSPECTION						
5.4.	58RSI01	Industry Accident Records: Reports, Investigations/reports, Industry Accident Database.	FE+5		FE+5		Portions may be exempted (confidential) under Tex. Govt. Code §§552.103 (pending or reasonably anticipated litigation or administrative enforcement action in which the department may be a party) and .111 (staff advice, opinion, or recommendation). Email addresses of members of the public may be confidential pursuant to Tex. Govt. Code §552.137	
5.2.	58RSI02	Clearance Deviation applications.	CE+3		CE+3			

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	58TEN	TRAFFIC ENGINEERING SECTION					
1.1	58TEN01	Category 8- Highway Safety Improvement Program (HSIP) Project Files: Annual program call and supporting data, project analyses and selection, coordination of project PS&E with Design Division.	AC+4		AC+4	AC = After project completed. Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC. Individual project records retained in districts under TRF03.	
5.1.001	58TEN02	Traffic Engineering Agreement Files: Records related to the development, execution and management of traffic engineering agreements between TxDOT and other entities.				AC = Completion, expiration or termination of the agreement according to its terms. <a href="#">Government Code, 441.1855</a>  NOTE: Original signed agreements retained in district under TRF01 or Contract Services under 95CSO01, depending on the specific agreement.	
		a) Executed, renewed, or amended on or after September 1, 2015.	AC+7		AC+7		
		b) Executed, renewed, or amended on or before August 31, 2015.	AC+4		AC+4		

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5.2.	58TEN04	Speed zoning, coordination with districts and/or municipalities for Commission action.	US		US	US = Records supporting current speed zone.		
5.2.	58TEN06	Traffic Engineering Standard Sheets	AV		AV	AV = Current version available electronically until superseded. Previous versions may be retained for reference. SEE ADM17 for requirements related to state publications, as applicable.		
5.2	58TEN07	Intelligent Transportation System (ITS) Project Files: Documentation related to specific ITS projects (Excluding PS&E)	AV		AV			

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	58TSS	TRAFFIC SAFETY SECTION						
1.1.	58TSS01	Annual Highway Safety Plan (HSP) documentation related to development, Commission approval and coordination of annual HSP with federal authorities, approval by NHTSA, and TxDOT Commission. Annual approved project list for distribution to districts, annual performance plan submitted to NHTSA.	AC+10		AC+10	AC = Approval by authorities. These records are umbrella documents for annual safety grants. NHTSA = National Highway Traffic Safety Administration		
4.7.008	58TSS02	Traffic Safety Project records: Grant Agreements, Contracts: Federal, State, and NHTSA project records as described in Chapter 5, Section 6 of the <i>Highway Traffic Safety Program Manual</i> .	AC+4		AC+4	AC = Completion, expiration or termination of the agreement according to its terms or satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule), as applicable.		

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50	TRANSPORTATION PLANNING AND PROGRAMMING DIVISION								
50DMS	DATA MANAGEMENT SECTION								
1.1.	50DMS01	Highway Performance Monitoring System: Annual HPMS data report to FHWA.	AC+3		AC+3		AC = Report submitted to FHWA on June 15.		
1.1.	50DMS02	Roadway Records: Continually updated roadway information databases of records describing various characteristics, features and functionality of on and off-system roadways, including: a) Texas Reference Marker system b) Roadway Information File c) State Railroad File d) Accident File e) Designations f) Functional Classification of Roadways g)	US		US				

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1.1.	50DMS03	Map Files: State departmental map, general highway county maps, base and urban, state traffic map, district control-section maps, railroad map, special maps (urban area traffic study, bridge defense, etc.)	US		US	R	Previous versions retained for reference/research purposes. SEE Remarks regarding state publications under ADM18. The County Map Book has a waiver dated 08-10-92 reducing the number of copies required for deposit with the State Publications Clearinghouse to 20 copies. Deposit meets archival requirement.		
	<b>50MMP</b>	<b>MULTIMODAL PLANNING SECTION</b>							
1.1.	50MMP01	Gulf Intracoastal Waterway program records related to local sponsorship requirements for improvements of the Gulf Intracoastal Waterway (GIWW), evaluation and selection of sites for the disposal of dredged material, coordination with Corps of Engineers and other agencies/entities for GIWW management and maintenance, public meetings, commission hearings and bi-annual reports.	AV		AV		SEE ADM17 for requirements related to reports required to be submitted to the Legislature. SEE ADM18 for requirements related to state publications.		

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5.2.	50MMP02	Records related to coordination with U.S. Corps of Engineers GIWW dredging projects.	AC+4		AC+4	AC = Completion of project.		
1.1.	50MMP03	Multimodal/Special Programs Planning: Working papers and records related to abandoned rail corridors, bikeway, pedestrian, ferry, GIWW, port and railroad planning.	AV		AV			
	<b>50PSH</b>	<b>PROGRAMMING AND SCHEDULING</b>						
1.1.	50PSH01	Program Scheduling Files: Division files related to review and approval of MPO Transportation Improvement Program (TIP), district Rural Transportation Improvement Program (RTP) and the development, updating and approval of the Statewide Transportation Improvement Program (STIP).	US		US	US = The TIP covers a three-year period, and is updated every two years. The RTIP and STIP (which is financially constrained by year) have a quarterly revision cycle. Previous versions may be retained for reference and research.		

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## Records Retention Schedule

**SLR 105**

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			Agency	Storage	Total		9. Remarks		

**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	50PSH02	Statewide Transportation Improvement Program: Document listing projects for a three-year period.	AC+5		AC+5	AC = Federal approval of STIP.		
1.1.	50PSH03	Project development files: Records related to programming assessment reviews, feasibility studies submitted by districts for long range project (LRP) status authorization,	AC		AC	AC = Assignment of Project Control-Section-Job Number with LRP status indicated. NOTE: records may be combined with advance planning records in individual project files retained by districts per DEC01.		
1.1.	50PSH04	Records related to the development and adoption of the annual Unified Transportation Program (UTP) to rank and select funding priority for projects.	US+5		US+5	US = The Unified Transportation Program (UTP) is the ten-year planning document updated annually by Commission action to establish project funding priority for the fiscal year. SEE TPD07 for district retention of individual project records.		
	<b>50TRA</b>	<b>TRAFFIC ANALYSIS SECTION</b>						
1.1.	50TRA01	Traffic Map Files: County traffic maps, state permanent station, manual count and station location maps, urban area traffic study maps, five-year count maps.	AV		AV			

Retention Codes (Field 7)

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Archival Codes (Field 8)

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	50TRA02	Traffic counting and monitoring data and reports, Automatic Traffic Recorder (ATR), Accumulative Count Recorders (ACR), vehicle classification counts, truck weigh-in-motion, vehicle speed data state permanent station and manual count maps, station location maps, traffic data for special projects, and off-system traffic data.	AV		AV	AV = ATR data reported monthly and annually. Typically, TPP maintains ten years worth of historic ACR data. TxDOT publishes the five-year counts made in each urban area on a map and makes these available to the public through map sales at the district or TPP. Vehicle Classification Data Report published annually, generally at the end of the fiscal year. SEE ADM18 (if/when applicable) for requirements related to state publications. Materials not used in final reports may be purged.		
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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	50TRA03	Travel Demand Modeling and forecasting records developed and coordinated with MPOs: Travel demand modeling updates, surveys, and analysis, maps, trip generation and distribution summaries, air quality monitoring, five-year traffic counts.	AV		AV		Regularly published maps, reports or statistical data subject to deposit requirements for State Publications under ADM18. TPP updates travel demand model on either a 5-year or a 3-year cycle based on attainment status under the Clean Air Act. Records address up to a 25 year forecast horizon, may be retained for lengthy periods for research and planning purposes.		
	<b>50TSP</b>	<b>TRANSPORTATION SYSTEMS PLANNING SECTION</b>							
1.1.	50TSP01	Statewide Transportation Plan: Records related to development, coordination with external entities, and revision of the 20 Year Texas Transportation Plan; planning input to strategic highway research, interstate needs estimates, case studies.	US		US	R	US = The Texas Transportation Plan is periodically revised to meet changing transportation needs. Superseded versions may be retained for reference and research. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	50TSP02	Metropolitan/Rural Transportation Plan Files: Records related to the development and updating of Metropolitan Transportation Plans (MTP) and coordination with districts on Rural Transportation Plans (RTP).	US		US	R	US = MTPs Updated every three years for non-attainment areas, and five years in attainment areas. RTPs updated every five years. Superseded versions may be retained for reference and research. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.		
1.1.	50TSP03	Unified Planning Work Program (UPWP) Department records related to coordination and management of Metropolitan Planning Organization (MPO) transportation planning activities funded with federal transportation planning funds, including authorizations, work orders, estimates, procurements, payments, performance monitoring reports, copy of MPO annual performance and expenditure report.	AC+4		AC+4		AC = Closeout and final payment of each year's UPWP (Based on federal fiscal year).		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.1.001	50TSP04	Records related to management and coordination of metropolitan transportation planning contracts, MPO annual certifications, (MPOs), allocations of FHWA funds.					AC = Completion, expiration, or termination of the instrument according to its terms. <a href="#">Government Code, 441.1855</a>		
		<p>a) Executed, renewed, or amended on or after September 1, 2015.</p> <p>b) Executed, renewed, or amended on or before August 31, 2015.</p>	AC+7		AC+7		NOTE: Standard MPO contract period is six years, at the end of which the contract can be terminated and re-negotiated or extended for another six years.		
1.1.	50TSP05	Records related to coordination with local entities for special programs, such as applications for project funding assistance for economically disadvantaged counties.	AC+4		AC+4		AC = Project closeout.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.067	50TSP06	Major Investment Studies: Records related to studies of multimodal improvements of substantial cost expected to have significant effect on capacity, traffic, level of service, or mode share at the transportation corridor level.	3		3	R	Records may be retained for lengthy periods for research and planning purposes. <b>Forward one copy</b> of completed report or study upon issuance or publication to TxDOT Records Management for State Archives review. SEE ADM18 for requirements related to state publications.		
1.1.	50TSP07	Programming Assessments, feasibility studies submitted by districts for Long Range Project Authorization related to specific projects.	AC		AC		AC = Forwarded to Programming and Scheduling Section. SEE 43PSH03.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.	50TSP08	Records related to international bridge crossings: Studies, correspondence, maps, government agencies' documents, records related to the coordination of department action related to state approvals for international bridges.	AV		AV	R	Retain records related to facilities actually constructed for the life of the asset. See ADM 15 for minimum requirements for reports/studies, and ADM 18 for requirements related to state publications, if applicable. <b>Do not destroy these records locally.</b> Forward to TxDOT Records Management for State Archives review.		
1.1.	50TSP09	Road Utility District (RUD) Files: Records related to the creation and operation of RUDs, including RUD reports, audits, project plan reviews and other records related to TxDOT/RUD interaction.	AC+4		AC+4		AC = Dissolution of RUD.		
1.1.	50TSP10	Transportation Corporations: Department records related to the creation, operation and dissolution of transportation corporations, review of applications, recommendations for Commission action.	AC+4		AC+4		AC = Dissolution of transportation corporation.		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.002	50TSP11	Transportation corporation annual audits.	AC+7		AC+7	AC = Audits submitted to TxDOT within 90 days after the end of the state's fiscal year (August 31).		
5.1.001	50TSP12	Conversion of Existing Public Highways: Agreements and records related to the conversion of existing public highways to turnpike projects and transferring responsibility for maintenance and operations to the TTA.				AC = Life of the asset as TTA project per binding written agreement accepting the highway for maintenance and operation in good condition and repair while protecting and preserving the state's investment in the facility. <a href="#">Government Code, 441.1855</a>		
			a) Executed, renewed, or amended on or after September 1, 2015.	AC+7	AC+7			
			b) Executed, renewed, or amended on or before August 31, 2015.	AC+4	AC+4			

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

5.2.	50TSP13	Private Toll Roads: Records related to review and approval of projects to connect private toll roads to state highway facilities, including all documentation enumerated in 43 TAC §27.32-36.	AC+4		AC+4	AC = Project completion.		
1.1.	50TSP14	Private Toll Road Compliance Action Files: Records and documentation related to denying or severing connection to a portion of the state highway system.	AC+3		AC+3	AC = Final decision on action to deny or sever connection, or correction of the deficiency. SEE ALSO ADM33 and 79OGC01.		
	<b>56</b>	<b>TRAVEL INFORMATION DIVISION</b>						
	<b>56ADI</b>	<b>DIVISION ADMINISTRATION</b>						
5.2.	56ADI01	Highway Condition Report Files and Documentation: Includes emergency road condition reports.	CE+3		CE+3	NOTE: Districts also retain related input documentation and records for the same period of time (Refer to DMT05, MNT09.)		

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**As Amended – Effective Date: 6.16.2015 (SB 20 Revisions per Texas State Schedule, 8.31.2016)**

1.1.060	56ADI02	Meetings, Audio or Videotapes of Open: Audio tapes of open TxDOT Commission meetings.	AC+90 days		AC+90 days	<p>CONFIDENTIAL, if involved in litigation. AC = Official approval of written minutes of the meeting by the Transportation Commission.</p> <p>CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media and will not be retained in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions and councils must be reduced to writing. SEE ALSO the caution comment at 41AEO02. Media may be recycled.</p>		
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