

May 12, 2020



Anh Selissen
Chief Information Officer
Texas Department of Transportation
125 E. 11th St.
Austin, TX 78701

Dear Ms. Selissen,

Your agency's records retention schedule is approved for use as of **5/5/2020**, and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

P.O. Box 12927
Austin, Texas
78711-2927

www.tsl.texas.gov

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Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

This approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state rules (13 TAC §6.8) require documentation of the final disposition of records by your agency. This requirement may be met by maintaining a disposition log or other evidence of the records series titles, dates covered, volume, and date of disposition. The destruction of any records of your agency not on your schedule requires special authorization from us.

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **May 2025**.

During a certification period, changes may need to be made to your schedule. State rules (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency:

Andrew Glass
512-463-2631
aglass@tsl.texas.gov

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Sincerely,

A handwritten signature in black ink, appearing to read "Craig Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 601

Agency Name Texas Department of Transportation

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
Records Management Officer

Signature [Handwritten Signature]

Name (Print or type) Darran Anderson

Date 7-28-2017

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature
Name (Print or type)
Date

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature [Handwritten Signature]
Name (Print or type) Gloria Meraz
Date 5-5-2020

Cert/Recert No. 8 Amendment No.

CAUTION

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 the completion of the action and the resolution of all issues that arise from it.





STATE OF TEXAS
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SLR 105
Rev. 2017-07

Retention Codes (field 7)

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					Years	Months	Days				
ACM01	4.3	Journals and Registers	Journals and Registers.	FE	47					Refer to the Finance Division Intranet site for detailed listings of records maintained on the Financial Management Information System (FIMS).	
ACM02	4.4.001	General Ledger	General Ledger.	FE	10					Retained for research purposes.	
ACM03	4.4	Subsidiary ledgers	Subsidiary ledgers (“Segments”) used for the initial entry of transactions that are summarized and passed on to the general ledger.	FE	10					SEE Remark for ACM01. SEE ALSO ACM13 for retention requirements for Construction Expenditures sub-ledger (Segment 76).	
ACM04	4.5.002	Fiscal Management Reports	Daily/Monthly Internal Fiscal Management Reports.	FE	10					Refer to the Finance Division Intranet site for detailed listings of FIMS reports.	
ACM05	4.5.002	Year-End Fiscal Management Reports	Cumulative (Year-End) Internal Fiscal Management Reports.	FE	10					Refer to the Finance Division Intranet site for detailed listings of FIMS reports.	
ACM06	1.1	Detail Finance Audit Report	Detail Finance Audit Report		10					May be managed on CE, FE, or as completed basis.	
ACM07	4.5.003	TxDOT Annual Financial Reports	TxDOT Annual Financial Reports.	PM						Archival requirement met by sending required copies to the Texas State Publications Depository Program.	



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ACM08	4.6.002	Reconciliations	Reconciliations.	FE	10						
ACM09	4.7.007	Detail Chart of Accounts	Chart of Detail Accounts for all accounts used in a fiscal year.	AC	3			AC= US+FE		Current chart posted in intranet.	
ACM10	4.2.006	Journal Vouchers	Documentation related to adjustments input into FIMS.	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.	
ACM11	4.5.002	Status of Cash Advances	List of funds in trust accounts to be removed from file.	FE	3						
ACM12	4.2	Accounts Receivable Records	Cash deposits, transmittal documentation, revenue accounting records/reports, direct deposit records, daily deposit transactions.	FE	47					Refer to the Finance Division Intranet page for detailed listings of FIMS reports.	
ACM13	4.4	Construction Expenditures	Construction Expenditures Sub-ledger (Segment 76)	FE	47						
ACM14	4.7.008	Grant accounting records	Grant accounting records.	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.	



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ACM15	4.7.	Vendor direct deposit records	Vendor direct deposit records.	FE	5						
PCP01	4.3	Transaction Journals	Transaction Journals.	FE	47					Refer to the Finance Division Intranet site for detailed listings of FIMS reports (JVs 210, 212, 220 and 230).	
PCP03	4.7	Number 6 and 8 Construction Project and HPR (Highway Planning and Research) Files	Fund authorizations, estimates, retainage agreements, etc.	AC	4			AC = Project acceptance.			
PVP01	4.2	Cash Vouchers	Batch cover vouchers for travel expense reimbursement, purchases, services, special miscellaneous contracts, interagency transaction vouchers.	FE	47						



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PVP02	4.7.012	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	3					Chapter 2, Section 4 of the Financial Management Policy Manual. 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.	
PVP03	4.1	Vendor Direct Deposit	Applications/ Authorizations: Power of Attorney documents.	FE	5						
PVP04	4.1	Payment/credit card records	Includes applications and issuance, etc. for internal department and external customer accounts.	FE	5						



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SAF01	5.4.008	Hazard Communication Program Files	Including Hazard/Hazmat materials locations, information on interpreting 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 and refresher session forms, and district annual reports of hazard communications training given employees in the TxDOT hazard communications program.	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). NOTE: Department of Health retains Tier Two reports and related documents 30 years per Texas Health and Safety Code §506.006(f).	Texas Health and Safety Code, § 502.009(g). Texas Health and Safety Code §506.006(f).
SAF02	5.4	Workplace Chemical Lists	Workplace Chemical Lists		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).	Texas Health and Safety Code, §502.005(d).



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SAF03	5.4.010	Safety Data Sheets	Safety Data Sheets		30					These documents are maintained as referenced in 29 CFR1910.1020(d)(1)(ii) and 1910.1020(d)(1)(ii)(B) for the 30 year retention requirements as part of the exposure records. When inspected by TCEQ, OSHA or EPA each work unit must be able to show where they are keeping these records and how they are retaining the SDS/MSDS sheets for the required 30 year period once that material is taken out of service.	29 CFR1910.1020(d)(1)(ii)) and 1910.1020(d)(1)(ii)(B)
SAF04	5.4	Hazardous Materials reporting	Tier two reporting to Occupational Safety Division.	CE	5						Per Texas Health and Safety Code, § 502.009(g).
SAF05	5.4.002	Evacuation plans, emergency procedures	Evacuation plans, emergency procedures.	US							



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SAF06	5.4.003	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 = 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 DEC schedule.	
SAF07	5.4	Incident or Occupational Disease Reports by supervisors and employees	Incident or Occupational Disease Reports by supervisors and employees. Other associated incident reports re: state vehicles, individuals; fatality reports.	CE	5						29 CFR 1904.33.
SAF08	5.4	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 = Records retained with construction project records under CON01 after project completion.		Confidential because of possible tort claims.	
SAF09	1.1	Potential tort claims files	Accident files which do not result in claims against the department, retained by districts/divisions/ offices.	AC	2			AC = Six months after the date of the incident.		SEE ADM33 for legal case records requirements.	Per § 101.101 Civil Practices and Remedies Code.



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SAF10	5.4	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						Individual employee reports and records retained under PER01.	
SAF11	1.1.063	Safety Meetings	Safety committee meeting minutes and accident report reviews; safety meeting reports, documentation.		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.	
SAF12	5.4.	Confined space entry permit files	Confined space entry permit files.		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.	29CFR §1910.146(e)(6)
SAF14	3.3.030	Safety Training Administration Records	Instructional materials and other records related to driver training programs, first aid, fleet safety, radiological monitoring, reports, safety training, etc.		3					May be managed on CE or FE basis. Current certifications may be maintained in individual employee files as applicable.	



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SAF15	5.4	Incident reports	Containing information on fact and circumstances of employee accidents, identification of drivers and vehicles involved (where applicable), etc.	FE	10					SEE WCM01 for employee injury or illness reports.	
SAF16	5.4.003	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 = Inspection or date of the correction of the deficiency, if the inspection report reveals a discrepancy.			
SAF17	1.1	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							
SAF18	5.4	Fleet Safety	Documentation related to driver awards. Driver education material.	FE	3						
IMT01	5.5.001	Billing Detail	Telecommunications (Other than TEX-AN) Summary detail and any accompanying detailed listing of long distance calls.		5						



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IMT02	5.5.006	Billing Detail	Telecommunications: TEX-AN billing detail received from Texas Building and Procurement Commission.		5					The billing agency retains detail and furnishes TxDOT with summary statements without call detail records.	
IMT03	5.5.007	Disputed Call Documentation	Including documents evidencing repayment by employees for personal long distance use.		5						
RRS01	5.4.	Railroad Company Annual System Safety Program Plan (SSPP) and System Security Plan (SSP) Reports	Railroad Company Annual System Safety Program Plan (SSPP) and System Security Plan (SSP) Reports.		5					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.



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SPD01	1.1	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 = Dissolution of Authority.			
SPD02	4.5.005	RMA Reports Department files	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.		5					Maintain 5 years after receipt of annual RMA audit reports.	



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SPD03	5.2.	Right of Way Project Files for turnpike projects	Right of Way Project Files for turnpike projects.*	AC	4			AC = Acquisition project completion.		* NOTE: This item addresses records maintained by TTA that may not be included in ROW acquisition records maintained by the Right of Way Division. NOTE: Records must be retained for four years after the project is closed out. FHWA may audit the records at any time to verify FHWA ROW acquisition requirements were met.	
SPD04	5.1.001	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, performance bonds, contracts, purchase orders, inspection reports, contractor performance reports and correspondence.	AC	7			AC = Completion, expiration or termination of the instrument according to its terms.		Retain department copy of design, engineering and construction records per DEC Agency items. Note: Maintain for AC+4 if executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855.



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DMT02	5.2.	Landscape Program Files	Vegetation management, herbicide, grass, wildflowers, mowing, beautification, and landscape information.	AV							
DMT03	5.2.003	District Buildings	Plans and records related to buildings in the district, roadside parks, rest areas, etc.	LA					R	LA retention and "R" archival code apply to state-owned buildings only. Do not destroy these records locally. 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.	
DMT04	5.4.011	Building Security Records	Badge and identification lists, documentation.		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.	



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DMT05	5.4	Video surveillance records.	Video surveillance records.	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.	
DMT06	5.2.	Maintenance Operations Reports	Operations and cost reports generated from the MMIS (Maintenance Management Information System), clearances, rest areas, maintenance staffing, weather/road condition reports.		5						
DMT07	5.4.013	Maintenance Safety	Local disaster plan.	US							
DMT08	5.1.010	Radio base station and mobile licenses.	Radio base station and mobile licenses.	AC	2			AC = Expiration/Supersession of license.		SEE ADM45 for requirements related to base station/communications tower logs.	



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DMT09	5.2.007	Damage Reports and related documentation	Estimates for state property, equipment, facilities, roadways, freeze damage, etc.	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.	Title 23 USC 409.
DMT10	5.1.001	Agreements	Records related to the development and execution of any agreements, memoranda of understanding and permits executed between TxDOT and internal/external entities.	AC	7			AC = Termination of agreement.		Maintain for AC+4 if executed, renewed, or amended on or before August 31, 2015. NOTE: Original signed agreements retained in district or Contract Services Office, depending on the specific agreement.	Government Code, 441.1855.
DMT11	5.2.	Traffic signal maintenance files	Traffic signal maintenance files on all signal and illumination installations in the district, including complaints, damage reports, logs and repair records.	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.	Title 23 USC §409.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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DMT13	5.1.013	Certificates of insurance	For district building maintenance. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of policy according to its terms.		NOTE: Maintain for AC+4 if executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855.
DMT16	5.4	Hazardous Materials	Records related to hazardous materials determination/ identification, transport, storage, disposals, inspections and reporting.		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 the MNT schedule for requirements related to petroleum storage tanks and substance waste, which may also apply to shop operations.	
DMT18	4.7.	Local Government Assistance Program Records.	Local Government Assistance Program Records.	FE	3						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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DMT19	4.7	Disaster Emergency Funding	Documentation related to emergency funding requests to federal agencies.	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	
DMT20	5.2	District Tire Management Files	Scrap tire disposal report, log book, manifests, bills of lading.		3					Files may be retained on CE, FE, or as-completed basis. Records may also be retained in Maintenance Sections and Shops.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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PER01	3.1	Employee Records	Containing all documents related to application, employment, personnel data, education, training, recognition, awards, medical, substance abuse and actions for individual employees.	AC	5			AC = Employee termination.		Public inspection of certain records allowed by statute. Contact Office of General Counsel for guidance. SEE Agency Item Number CES02 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). An 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 personal data, employment, compensation, personnel actions, training, recognition and awards. Selected data elements from employee records may be retained for reporting purposes.	Health Insurance Portability and Accountability Act of 1996 (HIPAA).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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PER02	3.1.029	INS Form I-9 and supporting documentation	District/Division/Office/Region INS Form I-9 and supporting documentation file. as identified in Chapter 10, TxDOT Human Resources Officers Reference Guide.	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, whichever is later."	* per 8 CFR § 274a,(2)(A)
PER03	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2					Files may be managed on CE, FE, or as-completed basis.	29 CFR §1602.31.
PER04	3.1.014	Employment Application and Selection Documentation (not hired)	Includes all documentation/records related to selection process for position.	AC	2			AC = Position filled.		NOTE: Form 4009E, "EEO Data Form," to be removed from submitted application and filed separately for one year per Human Resource Manual. (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.	29 CFR §1602.31. Subchapter F, Chapter 411, Government Code



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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PER05	3.1.001	Employment Applications (Not Hired)	Non-specific applications for employment submitted.	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.
PER06	3.3	Form 1750 Training Request.	Form 1750 Training Request.	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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PER07	3.3.027	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					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 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 WFD01 for tests that award CEUs.	29 CFR §1602.31.
PER08	3.1	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 = Employee termination.		30 year retention requirement.	Chapter 5, Occupational Safety Manual.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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PER09	3.3	Employee notifications/ policy acknowledgements and agreements	Employee notifications/ policy acknowledgements and agreements, such as periodic information security agreements, telecommuting, etc.	FE	1					Latest version maintained in employee file. May be purged upon termination prior to retention of PER01.	
PER10	3.4	Employee Leave Records	Employee Leave Records monthly reports from HRMS.PER.516.	AV						SSN# Confidential. Item included for informational purposes. Official department record retained FE+3. SEE HRC02.	
PER11	3.1.018	Grievance Records	Records related to employee complaints, investigative files, and measures taken to address them at the district/division/office/region level.	AC	3			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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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PER12	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training that do not award CEUs to agency personnel.		7					Human Resources Division retains one copy each of instructor and student guide for department-wide training sponsored by HRD. SEE 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. See PER19 and WFD01 for sign-in training rosters.	
PER13	2.1	Applicant Equal Employment Opportunity Data	Applicant Equal Employment Opportunity Data Form 4009E.	AC	1			AC = Base retention on closing date of the job requisition.		Per Chapter 1, Section 8 of the TxDOT Human Resources Manual.	
PER14	3.1	Preparation Records for Employee Recognition	Documentation related to nominations for departmental and individual district, division, office and region award programs; To include safe drivers award/certificate awards, safety awards and related documentation.	AV						Note: Awards for individual employees retained AC+5 in Employee Record under PER01.	



STATE OF TEXAS
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Rev. 2017-07

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PER15	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.		5					Social security numbers confidential.	
PER16	3.1.034	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						SEE PER05 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
PER17	3.1.006	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 = Termination of counseling.			
PER18	3.2.007	Applications for unemployment compensation, related documentation.	Applications for unemployment compensation, related documentation.	AC	5			AC = Receipt of form.		Retain same length of time as employee records under PER01.	



STATE OF TEXAS
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SLR 105
Rev. 2017-07

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PER19	3.1.022	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					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 WFD01 for sign-in rosters of training that awards CEUs.	29 CFR § 1602.31.



STATE OF TEXAS
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PER20	3.3.028	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.	AC	2					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 PER 12. See WFD02 for test papers related to CEU credits.	29 CFR § 1602.31.
PER21	3.1.019	Employee Recognition Programs	Records and information related to the agency's various formal recognition programs.	AC	3			AC=Until superseded or program termination.		NOTE: Awards for individual employees retained AC+5 in Employee Record under PER01.	
PER22	3.1.019	Performance Appraisals	Performance Appraisals	AC	5			AC=Employee Termination.		Public inspection of certain records allowed by statute. Contact Office of General Counsel for guidance.	29 CFR § 1620.32(c).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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PER23	3.1.022	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 = Termination of employment.		Public inspection of certain records allowed by statute. Contact Office of General Counsel for guidance. SEE PER19 for sign-in rosters, training, and personal data action forms.	29 CRF § 1602.31.
MAD01	5.2.024	Departmental Material Specifications	Departmental Material Specifications (not project specific).	PM							
MAD02	5.2	Test Procedures	Test Procedures	PM							
MAD03	5.1.010	Radiation Safety Program	Department license for use of radiation material.	US	2						
MAD04	5.4	Radiation Safety Program	Personal dosimetry reports.	PM							
MAD05	5.4	Radiation Safety Program	Semi-annual leak test reports.	FE	5						
MAD06	5.4	Radiation Safety Program	Radiation protection program records.	PM							
FMS09	5.4.012	Security Service Requests	Memoranda, correspondence requesting/approving building entry I.D. cards and/or keys.	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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FMS01	5.2.003	Building Site Plats	Large and quarter-scale plats of all building sites, showing deed recording, acreage, property lines, improvements, and utility lines.	LA					R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review.	
FMS02	5.2.002	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 = Completion of project.	R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review.	
FMS03	5.2.	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							
FMS04	5.2.003	Building Plans/Specifications - State Owned	Original tracings, final as-built plans and quarter-scale prints, correspondence, specifications, products, and materials records.	LA					R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review on disposition of asset.	
FMS05	5.2.003	Building Plans/Specifications - Leased Properties	Original tracings, final as-built plans and quarter-scale prints, correspondence, specifications, products, and materials records.	AC	2			AC = Expiration of lease.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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FMS06	5.2	Building Sites	Files related to specific county and district headquarters sites and the acquisition and disposal of property.	LA							
FMS07	5.2	Records related to landscape development	Records related to landscape development projects, roadside parks development/contracting bid specifications.	AC	4			AC= Project closeout.		Stored according to retention for construction project records. Original contracts retained according to the retention period for contracts.	
FMS08	5.4	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					Retained in district maintenance offices for 3 years, then forwarded to Maintenance Division for assembly and retention.	
FMS10	5.6.009	Parking Assignments	Correspondence and memoranda for reserved parking spaces, and special parking requests.	AV							
FMS11	5.2.017	Security Reports	Including summary of each shift's activity, incident reports, theft/loss reports.		5						
FMS12	5.4	Entry card/I.D. badge destruction memo	Monthly list of cards destroyed.	AV							



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Records Retention Schedule

SLR 105
Rev. 2017-07

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FMS13	5.2	Energy Consumption/Conservation Files	Including utility bills, reports, quarterly, and annual data from districts and divisions.		5						
FMS15	5.4.012	CPA (Comptroller of Public Accounts) security requests and CTIA forms	CPA (Comptroller of Public Accounts) security requests and CTIA forms.	AC	2			AC = Until superseded, date of expiration or date of termination, whichever is sooner.			
LET01	1.1	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					Annual-monthly letting schedules and other letting-related information published on the department's Website then retained in accordance with requirements described in ADM18.	
LET02	4.7	Records related to Letting Management Office liaison between the districts/divisions and FHWA	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						
LET03	5.3	Project Advertisement Files	Documentation related to newspaper advertisement invitations to bid on projects; order numbers, billings.	FE	10						



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SLR 105
Rev. 2017-07

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PEP01	4.3.003	Check Register Report 189.	Check Register Report 189.	FE	5						
PEP03	3.2.003	941 Quarterly Tax Reports	941 Quarterly Tax Reports		10						40 TAC §815.106(i).
PEP04	3.2.003	W-2 Listings	Yearly earnings reports.		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. 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 15th of the filing year should be sufficient.	26 CFR §31.6001-1(e)(2).
PEP07	3.2.001	Payroll Deduction Authorizations	Levy Authorizations and Releases.	AC	4			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.	
PEP09	4.5	527 Personnel Analysis Reports	Summarizing department workforce by various categories, i.e., by funding activity, classification, etc.		5						



STATE OF TEXAS
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PEP10	4.4.004	Savings Bonds	Bonds issued/deduction listing.		5						
PEP11	4.5.002	TexFlex monthly reports	TexFlex monthly reports.		5						
PEP12	4.2.007	Employee travel advance payment records.	Employee travel advance payment records.		5						
PEP13	3.2.008	Direct Deposit	Applications/Authorizations: Power of Attorney documents.	US				US = Account changed/moved or authorization terminated by employee.			
PEP14	4.2.007	Payroll vouchers	Payroll vouchers		5						
DMS01	1.1	Highway Performance Monitoring System	Annual HPMS data report to FHWA.		5					Keep 5 years after report submitted to FHWA.	
DMS02	1.1	Roadway Records	Continually updated roadway information databases of records describing various characteristics, features and functionality of on and off-system roadways, including: Texas Reference Marker system; Roadway Information File; State Railroad File; Accident File; Designations; Functional Classification of Roadways.	US							



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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DMS03	1.1	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					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.	
PRO01	5.2	Major and Minor Equipment Specifications	Related correspondence and forms.	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.	
PRO02	4.2.005	Purchase Orders	Other than those related to a term-of-contract purchase or purchase of major equipment.	FE	3					CAUTION: For a purchase order related to a contract see CSO01.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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PRO03	4.2.005	Major equipment purchase order files	Major equipment purchase order files.	LA	3						
PRO05	5.3.008	Purchasing Logs	Service purchase order log and division requisition logs.	FE	3						
PRO06	1.1	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).		5						
PRO08	1.1.006	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=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.	
PRO09	4.7.005	Vendor Claims	Records related to vendor/contractor claims and dispute files 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=Resolution of claim/settlement.		Confidential while active. If litigation is filed, apply ADM33.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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PRO10	1.1	Vendor Debarment	Records related to requests to Texas State Comptroller for debarment of vendors.	AC	2			AC=Comptroller action on complaint.			
PRO11	4.2	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						
ACV01	3.3.024	EEO Policy	Documentation related to the department's EEO program, policy, procedures and department EEO updates.	AC	3			AC = Completion or termination (replacement/revision) of policy or procedure.			
ACV02	3.3.031	EEO-4 Reports and related documentation	EEO-4 Reports and related documentation; EEO Program Update – Part 1 Report		3					Files may be managed on either CE or FE basis.	29 CFR §1602.32.
ACV03	3.3.001	AAP Files	AAP Files: Department AAP plan and updates.	FE	3					For apprenticeship plans. Files may be managed on CE, FE, or as completed basis.	29 CFR §30.8(e).
MRP01	5.2.018	Quality monitoring test report sheets	Quality monitoring test report sheets (by project, by county).		4					Records may be managed on CE, FE, or as completed basis.	
MRP02	5.2.018	Quality monitoring test results worksheets	Quality monitoring test results worksheets (by producer).		4						
MRP03	5.2.018	Cement mill analysis.	Cement mill analysis.		4						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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MRP04	5.2	Letters of certification for concrete admixtures.	Letters of certification for concrete admixtures.	US							
MRP05	5.2.	List of approved admixtures.	List of approved admixtures.	AV						Reviewed on annual basis.	
MRP06	5.2	Admixture files	Prequalification/approval.	AV							
TRF02	5.1	District traffic safety grant project development and management records	District traffic safety grant project development and management records.	AV						SEE TSS02 for TxDOT office of record for Traffic safety grant project records as described in Chapter 5, Section 6 of the Highway Traffic Safety volume of the Traffic Operations Manual collection. Confidential safety information not subject to release under Title 23 USC 409. Refer requests for information to OGC.	Title 23 USC 409.
TRF04	5.2	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						Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.	Title 23 USC §409.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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TRF05	5.4	Local jurisdictions and the Traffic Operations division (TRF) District Highway Safety Plan	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						The DHSP is a multi-year plan that is updated annually. Retain proposals for funded projects with the applicable project records.	
TRF06	5.2.	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 = 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.	
TRF07	5.2	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 = Periodic review.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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TRF08	5.2	District Railroad crossing and signal project planning and selection records	Crossing surveys, replanking project submission requests.	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.	Title 23 USC §409.
TRF09	5.2	Railroad crossing and signal project records	Records related to management and coordination of grade crossing maintenance, replanking, signal installation and maintenance, grade separation and drainage structure projects.	AC	4			AC = Project completion in accordance with the terms of the agreement.		NOTE: District may retain layouts and wiring diagrams for reference.	
TRF10	5.1	Issuance of permits	Records related to the issuance of permits for the dismantling of warning signals.		2						
TRF11	5.2	Closure, relocation or consolidation of railroad crossings	Records related to the closure, relocation or consolidation of railroad crossings.	AV							



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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TRF12	5.4	Fatal Crash Team reviews and reports.	Fatal Crash Team reviews and reports.		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.	
DPT01	1.1	Statewide System Statistics	Related data collection and reports.	US	5						
HRC01	3.3	Terminations Report	Reports on terminations and leave without pay (LWOP) transactions.	FE	1						
HRC02	3.4.002	Updates to Employee Files	Vacation/sick leave, comp time reports for department employees.	FE	3					Employee Social Security Numbers on reports are confidential information.	
HRC03	3.1.037	Employee Recognition Records	Documentation related to longevity awards, commendations, correspondence and fiscal records related to service awards.	AC	5			AC = Employee termination.			
HRC04	3.3	Benefit Plans	Uniform Group Insurance Files- Documentation related to insurance carriers for the department; evidence of insurability, insurance forms.	US	1					Individual employee elections in employee records (PER01).	29 CFR §1627.3(b)(2).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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HRC05	3.2.001	Employee Deduction Authorizations	TexFlex forms – Records related to employee enrollment in TexFlex plan	AC	4			AC = After termination of employee or after amendment, expiration or termination of authorization, whichever is sooner.			
HRC06	3.3	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 = 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.	
PMS01	5.2	Correspondence/forms authorizing removal of items destroyed	Correspondence/forms authorizing removal of items destroyed by fire, flood, storm, or missing/stolen items from inventory, and forms authorizing dismantling.	FE	3						
PMS02	5.2	Transfer or write-off records	Records pertaining to the transfer or write-off of obsolete parts/equipment and the write-off from inventory of minor equipment.	FE	3						
PMS03	5.2.021	Local Bid or Sealed Bid Sales	Records pertaining to the sale of equipment or miscellaneous items.	FE	3						



STATE OF TEXAS
Records Retention Schedule

SLR 105
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PMS04	5.2.021	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						
PMS05	5.2.021	Auctions	Records pertaining to sale of equipment and miscellaneous items by auction.	FE	3						
PMS06	5.2	Transfers	Records related to transfers of equipment/miscellaneous items to state agencies and entities.	FE	3						
PMS08	5.2.021	Annual inventory of non-consumable items	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						
LDS01	4.7	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						



STATE OF TEXAS
Records Retention Schedule

SLR 105
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CLS01	3.4.002	Leave administration	Records related to leave administration, including updates to, and reports of employee leave and other time balance.	FE	3						
ADM01	1.1.007	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				R	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 accepts electronic records. At end of retention, contact TxDOT Records Management for assistance. 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. Records may be managed on AV, CE, or FE basis.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
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ADM02	1.1.008	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					SEE Remarks to ADM01, above. May be managed on AV, CE or FE basis.	
ADM03	1.1.011	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				A	Originating office responsible for related administrative correspondence.	
ADM04	1.1.010	Directives or Internal Procedures	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM05	1.1.057	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, 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.	AC				AC = Purpose of the record has been fulfilled.		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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM06	1.1.006	Complaint Files	Complaints received from the public concerning the agency and records pertaining to the resolution of the complaint.	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.	
ADM07	1.1.020	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 = Date request fulfilled.			
ADM08	1.1.021	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 = Date of notification that records are exempt.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM09	1.1.069	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					May be managed on AC, CE or FE basis.	
ADM10	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation taken at internal agency staff meetings.		1						
ADM11	1.1	Staff Meeting Records	Records related to internal department committees, task forces, work groups, teams etc.	AV						AV = Many committees are ongoing.	
ADM12	1.1.024	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 = Decision made to implement or not to implement result of planning process.	R	Do not destroy these records locally. 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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM13	1.1	Program/Project files	Records and documentation related to development and management of various programs or projects (other than construction or maintenance projects) not mentioned elsewhere in the TxDOT Records Retention Schedule.		5					These records may be managed on a FE or CE basis.	
ADM14	1.1	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							
ADM15	1.1.067	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 el		3				R	Retain raw data and working papers only as long as administratively valuable. Forward one copy 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.	



STATE OF TEXAS
Records Retention Schedule

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ADM16	1.1.065	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						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.	
ADM17	1.1.066	Biennial narrative reports	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= September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: Archival requirement met by sending required copies to the Texas State Publications Depository Program.	



STATE OF TEXAS
Records Retention Schedule

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Rev. 2017-07

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ADM18	1.3.001	State Publications	One copy of each state publication, (as defined in Chapter 7 of the Printing and Document Services Manual, 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. 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.	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program by law. 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.	Government Code §441.101



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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ADM19	1.3.002	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					R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review when no longer of administrative value. Requirement does not apply to drafts of text, production paste-ups or production materials for routinely distributed publications or brochures.	
ADM20	1.3	Internal newsletters, publications, General Warehouse Catalog, Materials Sources Catalog	Internal newsletters, publications, General Warehouse Catalog, Materials Sources Catalog, etc.	AV							
ADM21	1.1.019	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				R	Do not destroy these records locally. Forward one paper copy of each release or copy of audio or video to TxDOT Records Management for State Archives review. SEE CMD schedule for Public Information Records.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM22	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review.	
ADM23	1.1	Records related to meetings, training presentations, conferences and observances	Announcements, meeting arrangements, programs, committees for associations, internal agency, and affiliated organizations, dedications, memorials, anniversaries, retirements, etc.		1						
ADM24	1.1.023	Organization Charts	Organization Charts	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM25	1.1.	History Files	Records related to the history of the agency and its subdivisions, facilities or structures of potential historical significance.	AV					R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review if ever determined to be of no further value to TxDOT.	
ADM26	1.1.027	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						SEE ALSO SLA02 for related legislative issues files. Action plans may become parts of other files.	
ADM27	1.1.070	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 = Completion, supersession or termination of program, rules, policies or procedures.	R	Archival requirement met when rules are published in the Texas Register or TAC or when copies of externally distributed publications or brochures are deposited with the State Publications Clearinghouse. SEE ADM18 for retention requirements related to manuals made available to the public as state publications.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM28	1.1.071	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 set out rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion, supersession or termination of program, rules, policies or procedures.	R	Do not destroy these records locally. 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 ADM27 for retention of published rules. SEE OGC05 for office of record for TxDOT Texas Register submissions.	
ADM30	1.1	Audit Response File	Action plans, progress reports, etc., related to resolution of audit findings when applicable.	AC	1			AC = Resolution of findings			
ADM32	1.1.074	Sunset Review	Correspondence and files related to Sunset Review of the agency, including documentation prepared by the subdivisions of the agency.	AC	3			AC = After the subsequent Sunset Review.	R	SEE ALSO SLA03 for listing related to agency report. Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM33	1.1.048	Legal Case Files	Records related to specific cases retained in the district, division or office (D/D/O). 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.). SEE ALSO OGC01.	AC	3			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.	R	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 OGC will retain a copy of the final decision and memoranda from the OGC according to the retention schedule. On the expiration of the retention period, the OGC will contact TxDOT Records Management to coordinate a review by the State Archives to evaluate cases that set legal precedent or exhibit historical value.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM34	1.1.073	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 = Last action.	R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review.	
ADM35	1.1.075	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 = Date of final agreement.			Texas Civil Practices and Remedies Code, Chapter 154.071.
ADM36	1.1	Contractor Sanctions	Records related to debarment and/or suspension of contractors.	AC	3			AC = Completion of penalty period, cancellation of suspension, lifting, modification or suspension of department action.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM37	1.1.056	ADA (Americans with Disabilities Act)	Records/documentation related to self-evaluations, audits, grievances, transition plans and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3					May be managed on AC, CE or FE basis. Apply retention code "US" for transition plans.	29 CFR §35.105(c).
ADM38	1.2.013	Records Control Materials	Office file plans, indexes for records, card files, shelf lists, claims registers, etc.	AC				AC = When updated, revised, or no longer needed.			
ADM39	5.1.004	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.	US						Employee home phone numbers are confidential; all others are open records.	
ADM40	1.1.053	Visitor Registration Reports	Visitor Registration Reports.	AC				AC = Quarterly submission to Texas Ethics Commission.		Department locations retain copies as building entry/security logs per DMT04.	
ADM41	1.1	Records of Notarizations	Records of Notarizations.	AC				AC = Forward to County Clerk upon termination of notary commission.			
ADM42	1.1	Releases/Authorizations	Releases of copyright.	AV							



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM43	5.1.015	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						
ADM44	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters or assignments.		1						
ADM45	5.5	Log books information	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 = Date of last entry.		Files may be managed on AC, CE or FE basis.	
ADM46	5.2.019	Work Orders, Service Requests.	Work Orders, Service Requests.		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.	



STATE OF TEXAS
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SLR 105
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ADM47	1.1.013	Calendars, appointment books or programs, and scheduling or itinerary records	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				R	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. 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. See Open Records Decision 635 issued in December 1995 by the Attorney General.	



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Records Retention Schedule

SLR 105
Rev. 2017-07

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ADM48	5.1.010	Licenses and permits (Non-Vehicle)	Licenses and permits (Non-Vehicle). (Does not include licenses and permits issued by an agency as part of its statutory responsibilities.)	AC	2			AC = Expiration of license or permit.		SEE ITM15 for Software licenses and DMT08 for Radio Base Station licenses.	
ADM49	1.2.003	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 = Discontinuance of use of form.		Files retained by office of primary responsibility (OPR) for individual forms.	
ADM50	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses.		1						
ADM51	1.1.	Signature Authority lists (Non-fiscal)	Signature Authority lists (Non-fiscal).	US	5					CAUTION: Retain for a period consistent with the requirements for records signed in accordance with the list.	
ADM52	1.1.038	Customer Surveys	Customer surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report.		SEE ADM15 for summary reports compiled from customer surveys.	
RHS01	5.2	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					Confidential safety information not subject to release under Title 23 USC §409. Refer requests for information to OGC.	



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RHS02	5.2	Annual Grade Crossing Replanking Program	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					Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.
RHS03	5.1.001	Railroad Agreements and exhibits	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						Retained PM because of license, maintenance, and payment clauses in original agreement. Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.
RHS05	5.1.001	Project Specific Letter, Right of Entry and Survey Agreements and related records	Project Specific Letter, Right of Entry and Survey Agreements and related records. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Reimbursement to railroad company.		Note: Maintain for AC+4 if executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855.



STATE OF TEXAS
Records Retention Schedule

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Rev. 2017-07

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RHS06	1.1	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						Maps continually updated, with previous versions retained for reference. Current version of map vital.	
PPA01	5.4	District facility environmental compliance surveys	Including, but not limited to facility Operations Environmental Advisory Reports and Underground Storage Tank Compliance Review reports.		3					Files may be managed in CE, FE or as completed basis.	
PPA02	5.4	Notice of Registration of TxDOT facilities as hazardous waste generators with the TCEQ and EPA	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					Files may be managed in CE, FE or as completed basis. EPA (Environmental Protection Agency); TCEQ (Texas Commission on Environmental Quality)	



STATE OF TEXAS
Records Retention Schedule

SLR 105
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PPA03	5.4	Petroleum storage tank release determinations	Records related to petroleum storage tank release determinations, coordination with TCEQ and Environmental Affairs division for remediation and/or removals.	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. TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.	30TAC §334.55(f).
PPA04	5.4	Leaking petroleum storage tank cleanup program records	Leaking petroleum storage tank cleanup program records.	US	5						
MNT02	5.4.003	Inspection Reports	Routine periodic (night, sign, delineation, center stripe, six-month bridge) inspections and maintenance needed/proposed work reports.	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. Refer requests for information to OGC.	23 USC §409.
MNT03	5.2	Herbicide/Pesticide Mixing and Application Records.	Herbicide/Pesticide Mixing and Application Records.		2					Files may be managed on CE, FE, or as-completed basis.	4 TAC §7.32(a).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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MNT04	5.4	Bridge signs	Documentation related to display of "Watch for Ice on Bridge" signs.		10					Files may be managed on CE, FE, or as-completed basis.	
MNT06	5.4	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						
MNT07	1.1	Maintenance Section Diaries	Supervisor diaries, sign, rest area, etc., diaries.	AV							
MNT08	4.1	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					Retention based on requirements for employee time records per ACF05.	
MNT09	5.4	Highway Condition Report Files and Documentation	Reports and system input documentation. Includes emergency road condition reports.	CE	3					NOTE: Districts also retain related input documentation and records for the same period of time.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
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MNT10	5.4	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 = Operational life of the UST. Retain records at the location of the UST. TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.	
MNT11	5.4	UST subsystem	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 = 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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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					Years	Months	Days				
MNT12	5.4	Registration and self-certification forms	Current registration and self-certification forms required to be filed annually with the TECQ, UST delivery certificates.	AC	5			AC = Date of submittal to TCEQ.			
MNT13	5.4	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					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. TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.	30TAC 334.127(f)(2).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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MNT14	5.4	Petroleum storage tank release determinations	Records related to petroleum storage tank release determinations, coordination with TCEQ and Maintenance division for remediation and/or removals.	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.			
MNT15	5.4	Removal of USTs	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= 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. TCEQ may extend the records retention period during the course of any unresolved enforcement action regarding the regulated activity.	30TAC 334.55(f).
MNT17	5.4	Petroleum-substance waste activities	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					NOTE: TCEQ may extend the retention period during the course of any unresolved enforcement action regarding the regulated activity.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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MNT18	1.1	Quarry and Pit Registration Forms	Initial registration of all quarries and pits in Texas for initial implementation of program.		20						
MNT19	1.1	Quarry and Pit Files	Files containing ownership, location, date of application, safety certificate and other information about quarries and pits.	AC	15			AC = Reclamation of quarry or pit.	R	Do not destroy these records locally. Forward to TxDOT Records Management or State Archives review.	
AVS01	5.2	Airport Master Records	Form 5010, consisting of an airport layout, airport information form and periodic safety reports conducted for the FAA.	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.	
AVS02	1.1	Applications for New Air Carriers.	Applications for New Air Carriers.	AC	25			AC = File closed in 1988 when organization's responsibility for this function ended.	R		
SLA01	1.1	Legislative Files	Documentation related to enacted legislation affecting the department.	CE	6					Retention based on Legislative cycle. Information may be required over several biennia. SEE ADM25 for retention requirements related to proposed legislation.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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SLA02	1.1	Implementation Files	Documents, reports, and action plans related to the implementation of enacted legislation.	CE	5						
SLA03	1.1.074	Sunset Review	Agency sunset review report.	AC	3			AC = After subsequent Sunset Review.	R	Archival requirement met by sending required copies to the Texas State Publications Depository Program.	
CCP02	5.2.028	Contracts Related to Architectural Building Construction	Including contracts, surety bonds and inspection records.	LA	10				R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review.	
CCP03	5.1	Rejected/canceled proposals	Rejected/canceled proposals received for projects stopped before contract is executed.	AV	1						
HAZ02	5.4	District/Division Hazardous Materials Safety Surveys	Information collected on surveys, with reports and responses.	AC	3			AC = Completion of report or resolution of all findings by surveyed D/D/O.			
HAZ04	5.4.009	Workplace Chemical Lists	Workplace Chemical Lists		30						Per Health and Safety Code §502.005(d).
HAZ05	5.4.	Hazardous Materials reporting	Tier two reports submitted to the Texas Department of Health	CE	5					Retained five years per Chapter 4, Sections 2 and 3 Occupational Safety Manual.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ITM01	1.1.065	System Studies and Reports	Evaluations, justifications, budgeting and procurement information, post-installation audit/ reports on proprietary software, and other study reports/evaluations.	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.	
ITM02	2.2.001	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						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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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ITM03	2.1.007	Software Programs	Applications software written by department personnel, notes, and documentation; job control language, program listing/source code, etc. for computer programs.	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.		CAUTION: Retain software needed for access to electronic records for period of time required to access the records.	13TAC §6.94.
ITM04	2.1.008	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 = 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.		CAUTION: Retain software needed for access to electronic records for period of time required to access the records.	13TAC §6.94.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ITM05	2.1.009	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, 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 = 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.	13TAC §6.94.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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ITM06	2.1.010	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 = All audit requirements have been met.			
ITM07	2.2.013	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 = No longer needed as an audit trail for any records modified .			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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ITM08	2.2	Data Entry Documents	Documents/records used for input of data into automated systems/ applications.	AV						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.	
ITM09	2.1.001	Processing Files	Machine-readable files used in the creation, utilization and updating of master files.	AC				AC = Completion of 3rd 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.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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ITM10	2.1.002	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 = Completion of 3rd 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 classified as vital in relation to the operations they support.	
ITM11	2.2.004	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.			3				Maintain for 3 months.	
ITM12	2.2.012	Back-end system entry/transaction reports for automated systems	Back-end system entry/transaction reports for automated systems, showing transactions accepted, rejected, suspended and/or processed.	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ITM13	2.2.014	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							
ITM14	2.2.015	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							
ITM15	2.2.016	Software Registrations, Warranties and License Agreements.	Software Registrations, Warranties and License Agreements.	LA	3						
ITM16	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records.	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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OCE01	1.1	Internal Complaints Program (ICP) Complaints and Investigations	Internal Complaints Program (ICP) Complaints and Investigations.	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.	
CCS01	3.3	EEO Compliance Reviews	EEO Compliance Reviews	FE	7						
CCS02	3.3.031	EEO Assurances	EEO Assurances	FE	5						
CCS03	3.3	Show Cause Notices	Show Cause Notices	FE	7						
CCS04	3.3.031	1392 Report	1392 Report	FE	3						
CCS05	3.3	Title VI Reviews	Title VI Reviews	FE	5						
CCS07	3.3	Title VI External Complaints or Investigations	Title VI External Complaints or Investigations	FE	4						
CCS08	3.3.001	On-the-Job Training Program.	On-the-Job Training Program.	FE	5						29CFR §30.8(e)
CCS09	3.3.001	Supportive Services and Summer Transportation Institute Records and Reports.	Supportive Services and Summer Transportation Institute Records and Reports.	FE	5						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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AUD01	1.1.002	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 = 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.	Government Code, § 552.116.
AUD02	1.1	Investigations	Official reports and supporting documentation related to special investigations.	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.	Government Code, § 552.116.
AUD03	1.1.065	Control Reviews	Reports and related data pertinent to research and analysis of special studies.	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.	Government Code, § 552.116.
AUD05	1.1.002	Risk Response Reviews	Risk Response Reviews.	AC	7			AC=Report of findings to appropriate recipient.		Working papers and draft reports confidential.	Government Code, § 552.116.
AUD06	1.1.002	Consulting Documentation	Consulting documentation.	AC	7			AC=Report of findings or recommendations to appropriate recipient.		Working papers and draft reports confidential.	Government Code, § 552.116.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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CSO01	5.1.001	Contracts	Records related to routine contracts for purchases, services, leases, consultants, IACs, Advanced Funding Agreements (AFAs), 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, performance bonds, purchase orders, inspection reports, contractor performance reports and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration, termination or completion, acceptance and final payment for contracts according to its terms.		NOTE: Maintain for AC+4 if executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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CSO02	5.1	Contract Procurement Files	Letters of interest, proposals, evaluations, summary forms, etc. for successful and unsuccessful providers.	AC	7			AC= Completion, termination or expiration of the instrument according to its terms.		NOTE: Maintain for AC+4 if associated with a contract executed, renewed, or amended on or before August 31, 2015. NOTE: Maintain unsuccessful bids for AC+2. AC= denial or withdrawal date.	Government Code, 441.1855.
CPI01	5.3	Prequalification and Bidder Records	Statements, questionnaires and related correspondence.	FE	7						
CPI02	1.1	Letting Files	Statistical data, monthly tabulations, list of bidders, list of prequalification and bidders' questionnaire contractors, and other data related to letting.	CE	3						
CPI04	5.1	Revision to Proposal Acknowledgements	Revision to proposal acknowledgements.	AC	7			AC= Contract completion.		Filed with contract for storage. For contracts executed, renewed, or amended on or before August 31, 2015.	
CPI05	1.1	Draft Proposals for Enhancement Projects	Draft Proposals for Enhancement Projects.	FE	2						
RSP01	1.1	Railroad Mergers	Railroad Mergers	AC	1			AC = Merger no longer exists.			
RSP02	2.1	Geographic Information System (GIS) Rail Maps Layer	Geographic Information System (GIS) Rail Maps Layer.	AV						Maintained according to 13 TAC §6.95(b).	13 TAC §6.95(b).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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FBF01	1.1.004	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 = September 1 of odd-numbered calendar years.	A	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.	
FBF02	4.5.002	Budget reports and budget files	Includes 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. Includes correspondence and documentation related to management of operating budget.	FE	5					Chapter 3, Sections 2 and 3 of the Budget Manual. Department record copy of budget monitoring reports maintained by Finance Division. Records related to biennial legislative appropriations request retained by Finance Division. Agency performance measures documentation retained under FBF03.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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FBF03	1.1.068	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 = September 1 of odd-numbered calendar years.			
FBF04	1.1.064	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					Per Chapter 5 Budget Manual.	
FBF05	4.5.005	External Fiscal Reports	Special Purpose – i.e., federal financial reports, salary reports, etc. Includes HUB reports.	FE	5						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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RTI01	5.1.001	Research Project Records	Including contract and proposal, correspondence, accounting information, progress reports and latest version of report. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the bond according to its terms.	R	NOTE: Published reports subject to retention and Texas State Library Publications Clearinghouse deposit requirements described in the remarks for ADM18. Forward one copy of study or report not published or subject to State Publications Deposit requirements to TxDOT Records Management for State Archives review. NOTE: For research project records executed, renewed, or amended on or before August 31, 2015, maintain for AC+4.	Government Code, 441.1855.
RTI02	1.1	Rejected Proposals	Rejected proposals for research and implementation projects.	AV							
PMT01	5.2.	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						SEE FMS04 for building plan records and FMS06 for related records concerning state-owned buildings and sites.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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PMT02	5.1.001	ROW Leasing files	ROW Leasing files	AC	7			AC=Expiration or termination of the instrument according to its terms.		Note: Maintain for AC+4 if executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855
PMT03	5.2	Disposal of surplus ROW, Real Property Sites	Records related to disposal of surplus ROW, real property sites and improvements and exchanges of ROW interests.	LA	4					Selected records resulting from exchange transactions scanned and retained PM. SEE PMS04 for records related to improvements sold separately from the land.	
PMT04	1.1	Outdoor Advertising License Files	Applications, related correspondence, surety bond information, fee accounting, district quarterly reports.	AC	5			AC = Expiration or revocation of annual license.		Files may be retained for legal reference.	
PMT06	1.1	Junkyard program records	Records related to regulatory enforcement, sign enforcement actions, correspondence with districts and state and local legal entities related to program enforcement.	AC	3			AC = Final decision of action or decision not to take action.		SEE ADM33.	
DMO01	4.7.010	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 = Retirement of debt.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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DMO02	4.7	Unsuccessful applications for long-term financing of transportation projects	Records related to unsuccessful applications for long-term financing of transportation projects.	FE	3						
DMO03	4.7.010	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 project.	AC	7			AC = Calendar year end of year of retirement of debt.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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DMO04	4.7.010	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 payments and security for bonds, documents relating to receipt, investment and expenditure of proceeds.	AC	7			AC = Calendar year end of year of retirement of debt.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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DMO05	4.7.010	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; Investments of proceeds of a series of bonds (statements, bidding or other procurement procedures, results of any investment procurement, etc.); Expenditures of proceeds of a series of Bonds (statements, vouchers, invoices, checks, etc.); Listing of all projects financed from proceeds of a series of Bonds; Rebate calculations; Management agreements related to projects; All debt service payments and transaction to/from the debt service fund for each series of bonds; Transcript of proceedings for a series of Bonds Requisitions to trustee, if any; Transactions from/to the reserve fund, if any, for each series of Bonds, and; Evidence of any extraordinary transactions	AC	7			AC = Calendar year end of year of retirement of debt.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ACF03	4.7	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					SEE ACF20 journal vouchers and supporting documentation that may be retained locally.	
ACF04	4.2	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	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 ACM12 for records held by the Finance Division which document the receipt of bond proceeds or investment income.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ACF05	3.4.006	Employee time records and employee time sheets.	Employee time records and employee time sheets.	FE	47					Finance Division office of record for Austin headquarters division and office timesheets. SEE ALSO ACF21 for time sheet support documentation. Time off/Sick leave requests retained by originating offices per Agency Item Number ACF21 in the schedule for common accounting records.	40 TAC §815.106(i).
ACF06	3.3	Reimbursable Expense Records	Travel requests, receipts, statements, distributions or requests for reimbursable training or conferences.	AV						Local copy may be destroyed after verification of payment in the Finance Division imaged voucher file (Department record copy).	
ACF07	5.3	Delegated Purchasing Records	Records related to requests, purchases and receipt of goods and services.	FE	3					Note: Order, Acknowledgments, Shipping Tickets and Packing Lists may be retained only as long as needed for verification.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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ACF08	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulations/evaluations.	AC	7			AC=Expiration of termination of the instrument according to its terms or decision not to proceed with the bid.		NOTE: Maintain for FE+3 if associated with a contract executed, renewed, or amended on or before August 31, 2015. NOTE: Maintain unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process for AC+2.	
ACF10	3.1.035	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	7			AC = Expiration or termination of the bond according to its terms.		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. NOTE: Maintain for AC+4 if executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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ACF11	4.1	Billing Files	Form 132 Billing Statement supporting detail and related correspondence for goods and services, excluding telecommunications billing.	AV				AV = Copies forwarded to Finance Division, Voucher Processing for payment and are scanned into record copy voucher files.		Retain original documentation for a period sufficient to ensure that scanned record is accurate. SEE IMT series for telecommunications billing records.	
ACF12	5.1.017	Contract Logs	Lists of TxDOT contracts, leases and agreements, including general obligation, land lease, utilities and construction contracts.	FE	3						
ACF13	4.7.008	Federal Grant Records	Records related to federal grants, grant-funded projects. 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.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.		CAUTION: Retention requirements may vary depending on the specific funding agency. NOTE: Grant/project records requiring specific retention different from that indicated in this entry are listed separately in this records retention schedule.	The Common Rule, 36 CFR §1207.42(b).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ACF14	5.2	Inventory Records	Including equipment inventory detail report forms, additions, adjustments, transfers, deletions, warehouse material issues and stock room inventory management records.	FE	3						
ACF15	4.7.005	Claim Files	Documentation, work orders and records of payment related to claims.	AC	3			AC = Final resolution of claim.		SEE DMT series for retention of damage reports. Tort and liability claims addressed in SAF series.	
ACF16	5.1.013	Insurance policies	Insurance policies	AC	7			AC = Expiration or termination of the policy according to its terms.		NOTE: For policies executed, renewed, or amended on or before August 31, 2015, maintain for AC+4.	Government Code, 441.1855.
ACF17	4.1.005	Cost Files	Production, job, labor costs, labor pricing, costing specifications, etc.	FE	3						
ACF18	5.1.012	Charge Schedules	Charges for services, lab tests, permits, copies of records, etc.	US	3						
ACF19	5.1.005	Postage Records	Records and reports of postage and package express expenses, including postal meter usage.	FE	3						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ACF20	4.7	Journal Vouchers and supporting documentation	Journal Vouchers and supporting documentation.	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.	
ACF21	3.4.007	Time Off and/or Sick Leave Requests	Including documentation related to jury duty, performance leave, etc.	FE	4					Retained in originating district, division, office or region.	
ACF22	3.4.004	Overtime Authorizations	Overtime Authorizations		2						
ACF23	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)	Returned Checks/Warrants/Drafts (Uncollectable)	AC	3			AC = After deemed uncollectable.		Maintain blank checks using retention code "AV".	
BMS01	4.7	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						
CAO01	3.2.006	U.S. Department of Labor wage determinations of wage rates	Records related to TxDOT input for U.S. Department of Labor wage determinations of wage rates. This includes the Wage rate Survey Form 1081.		2					May be managed on a CE basis.	29 CFR 516.6(a)(2)
CAO03	4.5.002	Construction Cost Reports	Sampling of selected cost areas used to monitor construction cost trends.	FE	3						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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CAO05	5.1	Development and maintenance of special provisions and special specifications	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							
CAO06	5.1	Project-related Special Provisions	Documentation related to the approval of special provisions and special specifications for individual projects.	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.	
DBR01	1.1	Highway Bridge Replacement and Rehabilitation Program (HBRRP)	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						May retain as needed to support future UTP processes and project planning through letting. The UTP is a ten-year, annually updated plan.	
DBR03	5.1	Documentation and exhibits prepared in support of railroad agreements	Documentation and exhibits prepared in support of railroad agreements related to grade separation projects.	LA						Traffic Operations Division office of record for executed railroad agreements.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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DBR05	5.2.	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					R	LA retention applies to HBT evaluations and related environmental, public involvement, historical and engineering information subject to archival review. SEE ADM25.	
DBR07	5.2.	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 = After PS&E submission documents become part of project file let to contract and retained in accordance with the DEC series.			
DBR08	5.2.	Bridge Foundation Records	Form 168 (Pile Record), Form 181 (Test Pile Data) and Form 1276 (Drilled Shaft Record).	LA							
DBR10	5.2.	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					Record contains confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.



STATE OF TEXAS
Records Retention Schedule

SLR 105
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DBR14	5.4	Bridge inspection summary reports	Bridge inspection summary reports submitted to local jurisdictions, district records related to load zoning of off-system bridges.	LA							
DBR15	1.1.006	Drainage Complaint Files	Records related to drainage complaints, with district investigations, reports, recommendations and responses to complainant.	AC	2			AC = Final disposition of complaint.		Confidential safety information not subject to release. 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.	Title 23 USC §409.
BRI01	5.4.003	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					Records to be maintained per National Bridge Inspection Standards. Districts maintain Routine Inspection Reports. Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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BRI02	2.1.002	Bridge Inspection Database	Maintained electronically on the mainframe.	LA	5					Records to be maintained per National Bridge Inspection Standards. Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.
BRI03	3.4.006	Dive logs, memos, and timesheets to authorize hazardous duty pay for divers	Dive logs, memos, and timesheets to authorize hazardous duty pay for divers.	FE	4						40 TAC §815.106(i)
MST01	5.2.018	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							
MST02	5.2	Radiographs of Non-Fracture materials	Radiographs of Non-Fracture materials of a structure related to construction projects.	AC	4			AC = Project acceptance. Retained in Structural Field offices.			
MST03	5.2.	Radiographs of Fracture Critical materials	Radiographs of Fracture Critical materials of a structure related to construction projects.	LA						Records maintained in Structural Field offices for the life of the asset.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ADI01	1.1.058	Minutes of Aviation Commission meeting	Through 08/31/91, when Department of Aviation merged with the Department of Transportation.	PM					A	Archival requirement met by submission of a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.	
ADI03	1.1	Aviation Advisory Committee meeting minutes	Aviation Advisory Committee meeting minutes.		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.	
DED02	1.1.058	Commission Agendas and Minutes	Official agendas, registrations, docket sheets, minutes and minute orders for monthly Transportation Commission meetings.	PM					A	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. 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.	



STATE OF TEXAS
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DED03	1.1.010	Minute Orders	Commission directives concerning department operations.	PM						Location: Chief Minute Clerk. Copies filed with appropriate agencies each month.	
DED04	1.1	Public Hearing Files	Delegation requests, public hearing reports, registration sheets, dockets, and transcripts.	PM							
DED05	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed TxDOT Commission meetings.	AC	2			AC = Date of the meeting or completion of pending action involving the meeting, whichever is later.			Government Code, § 551.104(a).
DED06	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, and councils. This includes notes from which written minutes are prepared.	AC			90	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 board, committees, commissions and councils must be reduced to writing. CONFIDENTIAL, if involved in litigation.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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					Years	Months	Days				
DED08	1.1.062	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.		2				A	This item pertains to documents/exhibits other 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 are retained permanently. Do not destroy these records locally. Forward to 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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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MSU01	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 = Completion, expiration, or termination of the instrument according to its terms.		Agreements may be retained beyond retention requirement for engineering and legal reference. Note: Maintain for AC+4 if executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855
MSU02	5.2	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 = Completion of ROW project.		ROW Division is office of record for all TxDOT 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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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DEC02	5.2.002	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 = Project acceptance.	R	Do not destroy these records locally. Forward to Records Management for State Archives review. NOTE: Unsuccessful bids exempt from archival requirement per 12/21/11 communication from Texas State Archives.	
DEC03	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles and blueprints for state-owned architectural facilities.	LA					R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review. SEE FMS04 for TxDOT-owned buildings.	
DEC04	5.2	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 = This entry addresses retention of selected project records beyond minimum required retentions described in DEC series. Minimum retention requirements must be met. NOTE: Confidential safety information not subject to release.	Title 23 USC §409.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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REM01	5.2	Final ROW Project Files	Final Right of Way project files containing ROW conveyances and judgments, final ROW maps, title insurance policies, and other instruments pertaining to the State's title to land or interests therein.	PM					A	Retained for legal reference. Original conveyances and judgments, deed, title policies or abstract documents retained. ARCHIVES NOTE: TxDOT is having these files scanned and the digital record copies transferred to the State Archives.	
BDS01	5.2	Project Files	Half-scale plans, design notes, geometric calculations, and records related to coordination with external agencies/offices of projects under construction.	LA						Working plans kept until projects are accepted. Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.
BDS02	5.2	Statewide Standard Drawing File	Statewide Standard Drawing File.	PM							
TPD02	1.1	Annual Unified Planning Work Program (UPWP)	Annual Unified Planning Work Program (UPWP) records, including authorizations, work orders, estimates, procurements, payments, performance monitoring reports.	AC	4			AC = Closeout of each year's UPWP (Based on federal fiscal year).			



STATE OF TEXAS
Records Retention Schedule

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Rev. 2017-07

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TPD05	1.1	Transportation Studies and proposed project feasibility studies	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 = Retain as necessary to support project development to inclusion in the UTP and project planning through letting.	R	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, forward one copy of completed report or study upon issuance or publication to TxDOT Records Management for State Archives Review.	
TPD06	1.1	UTP (Unified Transportation Program) Files	Records related to MPO coordination, review and recommendations to TPP of rankings of individual projects in various categories during development of the UTP.	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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TPD07	5.2	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 = 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.	
TPD08	1.1	Coordination with local entities for special programs	Records related to coordination with local entities for special programs, such as applications for assistance for economically disadvantaged counties.	AC	4			AC = Project closeout			
TPD09	1.1	Records related to functional classification of roadways	District records related to functional classification of roadways, requests, coordination with MPOs or other local authorities, maps and related documentation.	AV							
TPD11	1.1	Multimodal Planning	Working papers and records related to abandoned rail corridors, bicycle, ferry, GIWW, port and railroad planning.	AV							



STATE OF TEXAS
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TPD12	4.7.008	FTA (Federal Transit Authority) Public Transportation Grant Program Files	Including applications, related minute orders, contracts and documentation for specific public transportation programs.	AC	5			AC = Completion of contract.		Files may be managed on fiscal year basis after completion.	
TPD13	4.7.008	FTA (Federal Transit Authority) Public Transportation Grant Program Files related to grants for equipment and facilities	Including applications, related minute orders, contracts and documentation for specific public transportation programs involving equipment and facilities.	LA	5					LA = Disposition of asset by grantee. Files may be managed on fiscal year basis after completion.	
FCS01	5.2	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 = Project acceptance.		Retain in accordance with the minimum requirement described for the type of construction project in the DEC schedule.	
BPR01	5.2	Documentation related to review and approval of project PS&E (Plans, Specifications and Estimates)	Documentation related to review and approval of project PS&E (Plans, Specifications and Estimates) containing structural items.	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 OIS01. Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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CON01	5.2	Construction Project Records	Records related to the administration of contracts, prosecution and management of individual construction projects, project planning, development, design and construction.	AC	4			AC = Project acceptance.		May be consolidated with all related planning, development, design and environmental records for the project. Selected records may be retained for technical reference. Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.
CON02	5.4.003	Traffic Control Devices Inspection Checklist, Form 599.	Traffic Control Devices Inspection Checklist, Form 599.	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.	Title 23 USC §409.
LAB01	5.2	Lab Project Files	Record sample test reports for state and federal projects, Daily construction reports, county test reports, work cards.	AV						NOTE on AV: Construction project records to be retained for minimum AC+4 per DEC01. District labs may retain records for reference.	
LAB02	1.1	Technical certification qualification memos and lists.	Technical certification qualification memos and lists.	US							



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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SEC01	5.4.012	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 = 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.	
SEC02	5.4.013	Disaster Recovery Plan	Documentation related to development, approval, and implementation of the department's disaster recovery plan for automation.	US							
CES01	3.1	Executive Files	Employee records for administration, division/office directors, district engineers and region directors.	PM						Retained originally per requirement of PER01. Selected records including online data elements retained permanently for biographical reference.	



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SLR 105
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CES02	3.3.011	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 = 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.	
OIS01	5.2	Final As-built project plans and shop drawings	Final As-built project plans and shop drawings.	PM							
OIS02	1.2.004	Forms Inventory	Forms Inventory.	US							
OIS03	1.2.003	Forms History	Correspondence related to development and revision of individual forms.	AC	1			AC = Discontinuance of use of the form.			
OIS04	1.2.005	Records retention schedule	Agency records retention schedule and related documentation.	US							



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OIS05	1.2.010	Annual records destruction authorization	Annual records destruction authorization and coordination sign-offs with attached transmittals, district, division and office records destruction logs.		10					Annual records destruction files retained as log of records disposition.	
ACQ01	5.2	Closed Right of Way Project Files	Closed 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 = 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		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 ACQ02 for Appraisal Reports.	



STATE OF TEXAS
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ACQ02	5.2.001	Appraisal Reports	Appraisal Reports	AC	10			AC= Project closeout.		Appraisal reports were part of Record Series 5.2, Agency Item No. ACQ01 through 8/31/2011. The 82 nd Legislature passed Senate Bill 18 which had the effect of changing the retention period to ten years by requiring entities with the power of eminent domain to disclose to the property owner at the time an offer to acquire is made, all appraisal reports received by the entity within the previous 10 years. Appraisal reports for transportation projects closed before 9/1/2011, have a four year retention period. Appraisal reports for transportation projects closed on or after 9/1/2011 have a ten year retention period.	



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Records Retention Schedule

SLR 105
Rev. 2017-07

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CMD01	1.1.019	News releases and media advisories	News releases and media advisories.		2				R	Documents regarding events of historical significance may be retained indefinitely subject to Media Relations Director approval. Do not destroy these records locally. Records subject to State Archives review when eligible for destruction. Contact TxDOT Records Management for assistance.	
CMD02	1.3	Public Information Products	Publications, special reports, educational materials related to specific programs, awards, fact sheets, speech materials and campaigns.	AC	5			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.	R	SEE item ADM 18 for requirements related to state publications. Copies to be deposited with Publications Clearinghouse as applicable. Special reports subject to State Archives review before destruction. Delivered speeches retained per ADM21.	Texas Government Code, 441.101
CMD03	2.2	Web Development Files	Records related to TxDOT web site redesign.	AV							



STATE OF TEXAS
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SLR 105
Rev. 2017-07

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CMD04	1.1.067	Strategic Communication Plan (SCP)	Documents, surveys and other related files related to the SCP report.		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.	
TRA01	1.1	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							



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TRA02	1.1	Traffic counting and monitoring data and reports	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 = 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 for requirements related to state publications. Materials not used in final reports may be purged.	



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TRA03	1.1	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						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.	
PRS01	1.1	Notices for Contractors	Information packets describing each project up for bid in each letting.	AV							



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Rev. 2017-07

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WFD01	3.3.030	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					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, 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.	ANSI/ACET 1-2007 Standard for Continuing Education and Training.
WFD02	3.3.028	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					Records may be managed on a CE, FE or US basis. These are the individual student's scored test papers.	29 CFR § 1602.31.



STATE OF TEXAS
Records Retention Schedule

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Rev. 2017-07

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WFD03	1.1	Training Evaluation	Student evaluations of in-house and out-of-agency training received.	AV							
MMP01	1.1	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						SEE ADM17 for requirements related to reports required to be submitted to the Legislature. SEE ADM18 for requirements related to state publications.	
MMP02	5.2	U.S. Corps of Engineers GIWW dredging projects	Records related to coordination with U.S. Corps of Engineers GIWW dredging projects.	AC	4			AC = Completion of project.			
MMP03	1.1	Multimodal/Special Programs Planning	Working papers and records related to abandoned rail corridors, bikeway, pedestrian, ferry, GIWW, port and railroad planning.	AV							



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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TSP01	1.1	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					R	US = The Texas Transportation Plan is periodically revised to meet changing transportation needs. Superseded versions may be retained for reference and research. Do not destroy these records locally. Forward to TxDOT Records Management for State Archives Review.	
TSP02	1.1	Metropolitan/Rural Transportation Plan Files	Records related to the 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					R	US = MTPs Updated every three years for non-attainment areas, and five years in attainment areas. RTPs updated every five years. Some data, modeling financial forecasting, conformity documentation and superseded versions may be retained for reference and research. Do not destroy these records locally. Forward to TxDOT Records Management for State Archives Review.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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TSP03	1.1	Unified Planning Work Program (UPWP)	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. Includes authorizations, work orders, estimates, procurements, payments, performance monitoring reports.	AC	4			AC = Closeout and final payment of each year's UPWP (Based on federal fiscal year).			
TSP05	1.1	Coordination with local entities for special programs	Such as applications for project funding assistance for economically disadvantaged counties.	AC	4			AC = Project closeout.			
TSP06	1.1.067	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				R	Records may be retained for lengthy periods for research and planning purposes. Forward one copy 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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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TSP07	1.1	Programming Assessments and feasibility studies	Programming Assessments, feasibility studies submitted by districts for Long Range Project Authorization related to specific projects.	AC				AC = Forwarded to Programming and Scheduling Section.			
TSP08	1.1	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					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. Do not destroy these records locally.	
TSP09	1.1	Road Utility District (RUD) Files	Records related to the creation and operation of RUDs, including petitions, hearing records and copies of commission minute orders, RUD reports, audits, project plan reviews and other records related to TxDOT/RUD interaction.	AC	4			AC = Dissolution of RUD.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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TSP10	1.1	Transportation Corporation	Department records related to the creation, operation and dissolution of transportation corporations, review of applications, related reports, correspondence, recommendations for Commission action.	AC	4			AC = Dissolution of transportation corporation.			
TSP13	5.2	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 = Project completion.			
TSP14	1.1	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 = Final decision on action to deny or sever connection, or correction of the deficiency.		SEE ALSO ADM33 and OGC01.	
EQP01	2.2.012	Minor Equipment	MES (Minor Equipment System) backend reports for entries related to specific items of equipment	AV						SEE PMS schedules for records related to minor equipment inventory.	
EQP02	5.4.003	Equipment and Facility Inspection Records	Equipment and Facility Inspection Records.	AC	3			AC = Date of the correction of the deficiency, if the inspection report reveals a deficiency.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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EQP03	5.2.005	Equipment Calibration Records	Equipment Calibration Records.	AC	10			AC = Date of calibration.		Files may be maintained on CE, FE, or as-completed basis.	
EQP04	5.2.010	Equipment Manuals	Operating information.	LA							
EQP05	5.2	Non-Vehicular Preventive Maintenance Records	Routine preventive maintenance files, logs, etc.	AV						CAUTION: Status reports, summaries, problem records may be required to substantiate trustworthiness and accuracy of electronically stored records as evidence.	
EQP06	5.2.008	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					NOTE: Retain service agreements or contracts related to equipment repairs and service. SEE Remarks for ITM07 and EQP09 for records related to computer equipment.	
EQP07	5.2.	Equipment History Records for Non-vehicular Equipment Not on Vendor Service Contract	Maintenance and repair records, location, etc.	LA						Computer equipment maintenance logs and records may be required to substantiate trustworthiness and accuracy of electronically stored records as evidence.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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EQP08	5.2.007	Equipment damage reports, trouble logs, etc.	Equipment damage reports, trouble logs, etc.	FE	3					Records for information resources equipment may be required to substantiate trustworthiness and accuracy of electronically stored records as evidence.	
EQP09	5.2.019	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					Files may be maintained on CE, FE, or as-completed basis.	
EQP10	5.2	Equipment Receipt	Forms acknowledging employee receipt of and responsibility for items of state property.	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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DES01	5.2	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 = 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.	
DES02	1.1	Consultant Qualification Files	Precertifications, questionnaires and other documentation related to consulting engineers, surveyors, etc. maintained in the Consultant Certification Information System (CCIS).	AV							
DES04	5.2	Standard Drawing or Plan Sheets.	Standard Drawing or Plan Sheets.	AV							
DES05	1.1	Public Hearing Data	Documentation used during the hearing process.	AV							
DES06	1.1	Pavement Evaluation System (PES) input	Pavement Evaluation System (PES) input and records.	US							
DES07	5.2	Aerial photographs and negatives	Aerial photographs and negatives of locations in district.	AV					R		



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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DES08	5.2	Design exception files	Design exception/variance/waiver records. Includes documentation related to the approval or denial of design exceptions.	PM						Retained for legal reference.	
ENV01	5.2	Project Environmental Records	Files and exhibits related to site assessments, traffic data input Storm Water Pollution Prevention Plan (SW3P) Folder, completion of environmental review documents, correspondence/coordination with federal and state natural resource, historical or archeological agencies and tribes related to regulatory review and environmental permits, mitigation plans, agreements and deliverables. * public involvement records, or other documents necessary to obtain environmental clearance for individual construction or maintenance projects.	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. NOTE: Cultural resource records confidential. ALSO NOTE: Mitigation planning or implementation may be completed after the award of a construction contract.	13 TAC §24.
ENV02	5.2	Environmental reviews studies and documentation	Environmental reviews studies and documentation submitted to districts for public transportation projects.	AV				AV = Resulting environmental documentation may be incorporated into individual project records.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ENV04	5.1	Statewide Consultant Services project management	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 = Completion of the work authorization according to its terms.		Records related to specific construction project incorporated into individual project records retained per DEC 01	
ENV05	2.1	Project/parcel hazardous materials file	District database	AV							
ENV06	1.1	Coordination and compliance with cemetery guidelines with local and state authorities	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 = Retention of records may depend on the category of cemetery. Category 1 and 2 cemeteries plotted on right of way and project maps. SEE CRM01 for handling of archaeological project records. Confidential per 13TAC §24.13(3).	13TAC §24.13(3).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ENV07	1.1	FHWA environmental correspondence files	Correspondence files between FHWA and TxDOT relative to the interpretation; administration, and execution of environmental aspects of the Federal-aid Highway Program.	AC	3			AC= After resolution of a particular issue for which the file is created.		Reference 2014 FHWA-TxDOT NEPA Assignment MOU and Chapter 4, FHWA Order No. 1324.1B. Three years after close, transmit to FHWA. See 2014 FHWA-TxDOT NEPA Assignment MOU 8.3.2(A).	2014 FHWA-TxDOT NEPA Assignment MOU and Chapter 4. FHWA Order No. 1324.1B. 2014 FHWA-TxDOT NEPA Assignment MOU 8.3.2(A).
ENV08	1.1	FHWA assigned environmental impact statements (EIS) and DOT Section 4(f) reviews and approvals	Files containing reviews and approvals of EIS and Section 4(f).	AC	8			AC= After the approval of the final statement.		Reference 2014 FHWA-TxDOT NEPA Assignment MOU and statements for which TxDOT in assuming FHWA responsibilities is the lead agency. See 2014 FHWA-TxDOT NEPA Assignment MOU 8.3.2(B).	2014 FHWA-TxDOT NEPA Assignment MOU. 2014 FHWA-TxDOT NEPA Assignment MOU 8.3.2(B).
ENV09	1.1	Other federal lead agency	Files containing reviews and comments furnished by TxDOT to other federal agencies following review of an EIS for which another agency is the lead agency.	AC	5			AC= After resolution.		2014 FHWA-TxDOT NEPA Assignment MOU and Chapter 4, FHWA Order No. 1324.1B. Five (5) years after close, transmit to FHWA. Reference 2014 FHWA-TxDOT NEPA Assignment MOU 8.3.2. (C).	2014 FHWA-TxDOT NEPA Assignment MOU and Chapter 4. FHWA Order No. 1324.1B. 2014 FHWA-TxDOT NEPA Assignment MOU 8.3.2(C).



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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ENV10	1.1	Noise abatement measures	To comply with 23 CFR 772.12(f) regarding noise abatement measures reporting, files containing correspondence, publication, presentations, installation reports for wall barriers by private industry.	FE	4					FE= After close of federal fiscal year in which the particular file is closed. Reference 2014 FHWA-TxDOT NEPA Assignment MOU and Chapter 4, FHWA Order No. 1324.1B. See 2014 FHWA-TxDOT NEPA Assignment MOU 8.3.2. (E).	2014 FHWA-TxDOT NEPA Assignment MOU and Chapter 4. FHWA Order No. 1324.1B. 2014 FHWA-TxDOT NEPA Assignment MOU 8.3.2(E).



STATE OF TEXAS
Records Retention Schedule

SLR 105
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ENV11	5.2	Environmental Studies	Studies, inventories, reports. Including, but not limited to, historic bridge inventories, Depression-Era studies, Potential Archeological Liability Maps (PALM), rare species and habitat studies, Historic American Building Survey/Historic American Engineering Record (HABS/HAER), etc. Records include notes, correspondence, public involvement documents, draft/final reports, publications, drawings, schematics, photographs/negatives, maps, Geographic Information Systems (GIS) data and light imaging. Detection and Ranging (LiDAR) and laser scanning survey data.	AV					R	NOTE: Cultural resource records confidential. Studies of some sites may have long-term/historical significance. Forward to TxDOT Records Management for State Archives review.	13 TAC §24.
ENV12	5.2	Environmental reviews of maintenance programs	Records related to the environmental reviews of maintenance programs for coordination and review by state environmental resource agencies to develop effective environmental protection measures for maintenance programs.	US	5					US = Environmental reviews are reviewed, revised as appropriate and re-coordinated with resource agencies at least every five years.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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RDS01	5.2	Standard Plan Sheets	Standard Plan Sheets	AV							
BCA01	1.1	DBE/HUB Files	Certification/denial of Disadvantaged Business Enterprise and HUB. Includes unsuccessful DBE/HUB applications and related documentation and reviews.	AV							
BCA03	1.1	Third-party certification challenge investigations	Records related to third-party certification challenge investigations.	AV							
BCA04	1.1	Uniform report of DBE commitments/awards and payments	FHWA & FTA 1st and 2nd half.	FE	9						
PGM01	1.1	Aerial Film File	Aerial film photographs of various cities and highways in the state and related project documentation.	PM						Retained as reference/research file.	
PGM02	1.1	Aerial Photographs and Map Files	Controlled aerial photos, glass diapositives, multidisciplinary engineering maps, flight strips of photos with mapping sheets drafted over. Includes negatives of locations in district.	AV					R		



STATE OF TEXAS
Records Retention Schedule

SLR 105
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TEN01	1.1	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 = After project completed.		Confidential safety information not subject to release. Refer requests for information to OGC. Individual project records retained in districts under TRF03.	Title 23 USC §409.
TEN04	5.2	Speed zoning, coordination	Speed zoning, coordination with districts and/or municipalities for Commission action.	US						US = Records supporting current speed zone.	
TEN06	5.2.	Traffic Engineering Standard Sheets	Traffic Engineering Standard Sheets.	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.	
TEN07	5.2	Intelligent Transportation System (ITS) Project Files	Documentation related to specific ITS projects (Excluding PS&E)	AV							
IPM01	2.2	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	AV						Retain records related to contracted services. Retain minimum FE+3 if needed to document outcome, efficiency and explanatory measures in the TxDOT appropriations request or strategic plan.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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BPM01	5.2	Gauging stations and other similar instrumentation attached to bridges	Records related to gauging stations and other similar instrumentation attached to bridges.	LA						LA = Expiration, termination or revision of the instrument according to its terms. Vital while active.	
BPM02	5.2	Review and approval of preliminary bridge and railroad overpass/underpass layouts	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 = Approved layouts returned to district. District documentation retained with district project design records. Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.
INV01	1.1.065	Complaint and Grievance Tabulation	Complaint and Grievance Tabulation	AV							
CRM01	1.1	Archeological Resources Records	Photographic records of archaeological projects, artifacts, field resources, notes, log books, coordination with other agencies, permits, research materials, and publication files for reports.	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 CMR02. SEE ADM18 for requirements related to published archeological reports.	13TAC §24.13.



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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CRM02	1.1	Cultural resources photographic records	Cultural resources photographic records including, but not limited to negative, slides and digital images.	AV					A	Forward to TxDOT Records Management for State Archives review when no longer of administrative value.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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OGC01	1.1.048	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 in processing the case. For purposes of the record retention schedule, a "contested case" includes a decision by department staff and department rules to 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 TAC §21, subch.1.)	AC	3			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.	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. 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. On the expiration of the retention period, the OGC will contact TxDOT Records Management to coordinate a review by the State Archives to evaluate cases that set legal precedent or exhibit historical value.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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OGC02	1.1	Hearing Files	Records related to hearings for which OGC is the office of record, subject files of hearings records.	AV							
OGC03	1.1.014	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. Includes opinions and advice related to former Department of Aviation.	AV					R	Attorney General's copy retained permanently. Some correspondence may be confidential pending issuance of AG opinion. Forward to 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.	
OGC05	1.1.026	Texas Register Submissions	Copies of all proposed (includes drafts), 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 = Date of publication in Texas Register.		SEE: ADM27 for minimum retention requirements related to agency rules	
OGC06	1.1.048	Case Files	Out-of-state services records.	AC	2			AC = File closed by office.	R	TxDOT not a party to litigation.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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OGC07	1.1.072	Public Information Reports	Reports on TxDOT public information activity submitted to the Attorney General's Office.		2					Records may be managed on a CE or FE basis.	
RAD01	5.1	Coordination with the FCC (Federal Communications Commission)	Records related to coordination with the FCC (Federal Communications Commission) for departmental base station licensees/operations.	AV						Individual base station operators retain original licenses minimum two years per DMT08.	
MSO01	1.1.065	Synthetic aggregate research	Synthetic aggregate research.	AV						Reviewed on annual basis. Retained indefinitely for reference purposes.	
MSO02	1.1.065	Investigative Projects	Investigative Projects.	AV						Reviewed on annual basis. Retained indefinitely for reference purposes.	
ENG01	1.1	Legal Zoning Ordinances	Forms prepared to assist communities in drafting airport zoning ordinances.	US	1					US = Supersession/revision of ordinance.	
ENG02	5.1.001	Airport Project Participation Agreements.	Airport Project Participation Agreements.	AC	20			AC = Completion of agreement according to its terms.		Retain 20 years per Transportation Code §21.105.	Transportation Code §21.105.
ENG03	5.2	Airport Drawings	Airport Drawings.	AV							



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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PAV01	5.2	Load zoning (including rejection of load zoning removal and emergency load zoning)	Documentation regarding load zoning (including rejection of load zoning removal and emergency load zoning), copies of minute orders for load zoning/width restrictions.	US							
PAV02	1.1.065	PMIS (Pavement Management Information System) reports	PMIS (Pavement Management Information System) reports, including distress ratings, ride quality, deflection testing, and skid resistance results and other data.	AV						Confidential safety information not subject to release. Refer requests for information to OGC.	Title 23 USC §409.
PAV03	1.1	Strategic Highway Research Program Records	Strategic Highway Research Program Records.		3				R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review.	
MOP01	5.4.003	U.S. Coast Guard Boat Inspections Records, Certificates	U.S. Coast Guard Boat Inspections Records, Certificates.	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.	
MOP02	5.6	Operations Logs	Ferry operations logs; automobile/passenger statistics.		1					Files may be managed on CE, FE, or as-completed basis.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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MOP03	5.6	Vessel blueprints, electrical diagrams, revisions.	Vessel blueprints, electrical diagrams, revisions.	AV					R	Do not destroy these records locally. Forward to TxDOT Records Management for State Archives review when no longer of administrative or engineering value to TxDOT.	
MOP04	5.4.003	Vessel Electrical Inspections	Surveys, reports, infrared survey reports, insulation test readings.	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.	
MOP05	5.4	U.S. Coast Guard Report of Marine Accidents and Pollution Cases.	U.S. Coast Guard Report of Marine Accidents and Pollution Cases.	AV						Retain indefinitely to support state in potential claims.	
MOP06	5.6.	Ferry Pilot's License Verification	Documentation related to required crew certifications.	AC	5			AC = Expiration/termination of license.			
EOR01	3.3	Employee Benefits Other than Insurance – Wellness Program	Program records and information related to the agency's Wellness Program.	AC	2			AC = Until superseded or program termination.			
EOR02	3.1.018	Grievance appeals case files.	Grievance appeals case files.	AC	3			AC = Final decision on appeal.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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EOR03	3.3	Employee Assistance Program Files	Documentation related to Employee Assistance Program. (No EAP client confidential information will be included in this file).	AC	3			AC=Until superseded or program termination.			
EOR04	3.1.018	Grievance Records	Facilitation records and action plans produced as a result of facilitations.	AC	3			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.	
WFA01	3.3.015	Job Classification Analysis Files	Job Classification Analysis Files.	US	3					Files may be managed on FE basis.	
WFA02	3.1.023	Job Description and Indexes	Job Description and Indexes.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).
COS01	3.3	Recruiting Files	Records related to department recruiting programs, college recruiting, career fairs.		2					Files may be managed on CE, FE, or as completed basis.	
COS02	3.3.023	Conditional Grant Files	Records related to administration and grant payment for the department's Conditional Grant Program for minority students.	AC	5			AC = Fulfillment of contract, employee termination or repayment of grant.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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RSI01	5.4	Industry Accident Records	Reports, Investigations/reports, Industry Accident Database.	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.	Tex. Govt. Code §§552.103. Tex. Govt. Code § 552.137.
RSI02	5.2	Clearance Deviation applications.	Clearance Deviation applications.	CE	3						
CDA01	2.1	Crash Records Information System	Crash data and reports assembled from local jurisdictions.	CE	5						
CDA02	5.6	Form CR-2 Driver's Crash Report	Form CR-2 Driver's Crash Report.	CE	1						
CDA03	5.6	Form CR 1001 Death/Toxicology Report	Form CR 1001 Death/Toxicology Report.	CE	1						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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FOD01	5.6	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					Send inactive titles and odometer statements to Support Services Division, Property Management Section after LA.	
FOD02	5.6.003	Master Equipment File, Part 2	Periodic and major inspection records, maintenance and repair orders (Forms 1614, 1614A) for state-owned vehicles.	LA	3					Combine with FOD01 upon retirement or transfer of equipment item. SEE FOD06 for Pre-trip Inspection Checklists.	
FOD03	5.6	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					Combine with FOD01 upon retirement or transfer of equipment item.	
FOD04	5.2.009	Equipment Transfers	Major equipment transfers for equipment transferred from shops to districts.	FE	3						
FOD05	5.6	Vehicle Use Authorization Files	Shuttle car authorizations, and routine reports related to after-hours use of state vehicles.	US	3					Files may be managed on CE, FE or US basis for retention	
FOD06	5.6.005	Equipment Utilization	Daily equipment request (Form 4.85 and 1535), EOS (Equipment Operating System Form 122-B, and Shuttle car daily logs.	FE	3						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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FOD07	5.6	Daily Equipment Pre-Trip Checklists	Daily Equipment Pre-Trip Checklists.					3			FMCSR § 396.11.
FOD08	5.2.003	Master plan drawings	Master plan drawings.	PM					R	Retained as a history file of equipment and construction plans.	
FLS01	4.7.004	Aircraft Records – Bill of Sale	Aircraft Records – Bill of Sale.	LA	3						
FLS02	5.6.007	Aircraft Registration	Aircraft Registration.	LA	3						
FLS03	5.6.003	Equipment History/Service Files	Equipment History/Service Files.	LA	3						
FLS04	5.6.001	Airplane Flight Logs/Repair and Maintenance records	Airplane Flight Logs/Repair and Maintenance Records.	LA	3					Logs to remain in aircraft if it is sold or traded.	
FLS05	5.6.002	Flight Manifests	Flight Manifests	FE	3						
FLS06	5.6.008	Pilot Files – Statewide	Pilot Files – Statewide	AC	5			AC=Termination of employment.		FAA Regulation.	
MFP01	5.2	Investigational projects and reports	Investigational projects and reports.	FE	3						
MFP02	5.4.003	Proficiency programs	Documentation and miscellaneous files.	AV							
MTR01	5.2.018	Materials Test Reports	Evaluations, inspection reports, source data, mill tests, etc. maintained by lab number.		2					Files may be managed on CE, FE or as completed basis.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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MTR02	5.2	Materials Test Data/Worksheets	Technical data cards, support documentation, information folders, etc. for all sections.	AV							
MTR03	5.2	Materials test reports and test results worksheets	Materials test reports and test results worksheets (for project testing) maintained by lab number.		3					Files may be managed on CE, FE or as completed basis.	
SUP01	5.2	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						
SUP02	5.2.009	Audit List	Weekly transaction report and supporting documents related to particular stock accounts in Austin and regional supply centers.	FE	3						
SUP03	5.3	Receiving Records	Documentation related to receipt of department purchases and new minor equipment, receiving reports, packing slips, adjustments, and related information.	FE	3						



STATE OF TEXAS
Records Retention Schedule

SLR 105
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TOR01	4.7.005	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 = Statute of limitations or resolution of claim.		Parts of file remain confidential after close. Contact General Counsel for guidance. If litigation is filed, apply ADM33.	
TOR02	4.7.005	Liability Claim Files	Reports of incidents involving vehicles/mobile equipment; investigation reports, other documentation related to claims not litigated.	AC	3			AC = Settlement of claim.		Records obtainable only through subpoena. Vital while case active. Not confidential after closed.	
TOR03	1.1.048	Liability Lawsuit Files	Reports of incidents involving department vehicles/mobile equipment; Insurance carrier's investigation reports, documentation related to claims/ lawsuits.	AC	3			AC = Statute of limitations.	R	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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MAC01	5.2.005	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						
MAC02	5.4	Registration of x-ray equipment	Registration of x-ray equipment.	LA							
WCM01	5.4.001	Occupational Accident Reports and Associated Documentation	Claim files, files containing first report of injury, medical reports, bills, investigation reports and other documentation related to the claim.		50					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR §1904.33.
WCM02	3.1.014	Pre-employment Physical Files	Form 484 pre-employment physical exam records, resume sheets, and related documentation.		50					Retained in support of department's self-insurance program. Files may be managed on CE, FE or as-completed basis.	Labor Code §505.054(2)(d).
WCM03	5.4.	Oral Statements	Various media and transcripts containing statements taken during investigations of incidents.	CE	5						
WCM04	3.1	Drug Test Results	Original doctors' reports, both positive and negative for all TxDOT testing.		5						



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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BPB01	1.1	Bridge Funding Program records related to the Highway Bridge Program (HBP) and the Railroad Grade Separation Program development	Bridge Funding Program records related to the Highway Bridge Program (HBP) 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 = Selection and funding by Commission during annual update of UTP.		Retain records related to individual projects.	
ECS01	3.3	Administration policies and procedures related to employee conduct	Records related to the administration policies and procedures related to employee conduct, including, discipline, substance abuse and violence.	US	3					Individual case files retained per PER01 or PER17, as applicable.	
DIR01	1.1.055	Strategic Plans	Includes operational strategic plans prepared in accordance with Texas Government Code §§ 2054.095 and 2056.002.	AC	6			AC = September 1 of odd-numbered years.	A	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. Construction Division maintains Strategic Highway Research Program Files.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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CBS01	3.2.009	Deferred Compensation	Records of deferred compensation participants.	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 Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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PSH01	1.1	Program Scheduling Files	Records related to 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 = 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.	
PSH02	1.1	Statewide Transportation Improvement Program	Document listing projects for a three-year period.	AC	5			AC = Federal approval of STIP.			
PSH03	1.1	Project development files	Records related to programming assessment reviews, feasibility studies submitted by districts for long range project (LRP) status authorization.	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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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PSH04	1.1	Development and adoption of the annual Unified Transportation Program (UTP)	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 = 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.	
ISO01	1.1.024	Information Resources Planning	Records related to IR input for the department's strategic plan.	AC	3			AC = Inclusion in plan.		NOTE: Data processing planning records are not archival.	
ISO02	2.2	Biennial and Strategic Planning	Biennial operating plan for information resources, strategic automation planning, and department operating plans for information resources.	AC	5			AC = Submission to Legislative Budget Board.		NOTE: Data processing planning records are not archival.	
TSS01	1.1	Annual Highway Safety Plan (HSP) documentation	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 = Approval by authorities.		These records are umbrella documents for annual safety grants. NHTSA = National Highway Traffic Safety Administration.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

1. Agency Code: 601		2. Agency Name: Texas Department of Transportation									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
TSS02	4.7.008	Traffic Safety Project records	Grant Agreements, Contracts: Federal, State, and NHTSA project records as described in Chapter 5, Section 6 of the Highway Traffic Safety Program Manual.	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.
BSS01	5.3.007	Information Resource Purchasing Requests	Documentation related to input for automation equipment purchasing justification, requisition/authorization, invitation to bid or propose, bid specifications, tabulations, evaluations.	AC	7			AC= After close of all procurement activities.		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.	
TOD01	2.2	Nixies	Nixies: Returned mail marked as undeliverable by USPS.	AC				AC = On receipt individual account record updated to indicate incorrect address.			