



NEVADA DEPARTMENT OF TRANSPORTATION

Records Retention and Disposition Schedule

Revised March 13, 2018

*This version supersedes
all previous versions*

The Committee to Approve Schedules for the Retention and Disposition of Official State Records
Barbara K. Cegavske, Secretary of State, Committee Chairman

PREFACE

The Records Management section of the Nevada DOT (NDOT) has prepared this records retention and disposition schedule to give NDOT divisions the legal authorization to retain and dispose of department records. This schedule supplies a timetable that provides for the regular and legal disposal of records of non-permanent value. It also lists the permanently valuable records, which should be properly protected and transferred to the Central Records office for archival care. In preparing this schedule, the Records Management section consulted with representatives from various divisions, and obtained approval by the Committee to Approve Schedules for the Retention and Disposition of Official State Records, pursuant to NRS 239.080.

For additional guidance on managing records, including detailed instructions on retention and disposition, refer to the [NDOT Records Management Program Policy and Procedures Manual](#).

RETENTION GUIDELINES

A records retention and disposition schedule identifies the minimum time period the listed records must be retained in accordance with NRS 239.080, meaning records disposition must not occur before this retention time period expires. When the minimum retention period has been met, the recommended disposition of the records, such as destroy or transfer to Central Records, may be initiated. All employees must implement regular, routine disposition procedures. Certain events called "disposition holds" may occur that will require a stop to the regular disposal of records. Disposition holds include events such as audits, investigations, litigation, and open public records requests. Upon the completion and resolution of the event, the records may be disposed of in accordance with the records retention and disposition schedule.

DISPOSITION GUIDELINES

CAUTION! Before destroying any record, the [Records Destruction Form](#) (NDOT 075-004) must be completed. Most records may be disposed of by normal means, such as recycling or deleting. Some records may contain confidential, personal identifying, restricted (NRS 239C.090), or sensitive information. These records must be destroyed in a secure manner that prevents reconstruction or retrieval of the information (NAC 239.722). If you are in doubt about the sensitivity of certain documents or about an appropriate disposal method, you should contact the NDOT Records Manager.

Disposition Statements

- **Destroy** means unsecured destruction, to delete or recycle records that do not contain confidential or sensitive information.
- **Destroy securely** means secured destruction, such as shredding, to destroy the records in such a manner that the information cannot be reconstructed.
- **Permanent** means retained by the originating office in the electronic records repository OR transferred to the Records Management Central Records Office for Archival care, as specified in the schedule.

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1. Administrative

TRDA 2014002 Accident Reports – Fatal (Administrative)

Reviewed: 2/12/2014

Description: This record series documents the reports of fatal accidents. The files may contain, but are not limited to: accident reports including police reports; witness statements; reports and records from other state and local agencies including the Attorney General, Department of Public Safety; injury reports including copies of medical records; related correspondence.

Retention: Retain for three (3) calendar years from the resolution of all claims or any legal action, or from the date of the accident if no claims or legal action is involved.

Disposition: Destroy securely.

TRDA 2014005 Adopt/Sponsor-a-Highway Records (Administrative)

Reviewed: 3/14/2018

Description: These records document the Adopt-a-Highway program administered by PIO. Records include but are not limited to: applications, assignments and related correspondence.

Retention: Retain until expiration of the assignment.

Disposition: Destroy.

TRDA 2014022 Certificates of Destruction (Administrative)

Reviewed: 5/10/2017

Description: These records document the destruction of records in accordance with NRS 239.085(3). The records include Records Destruction Forms (NDOT Form 075-004) and destruction certificates from document destruction vendors, containing the date the records were destroyed, a general description of what the records were, and a statement or signature certifying that the records have been destroyed.

Retention: Retain for a period of three (3) calendar years from the date the certificate was issued.

Disposition: Destroy.

TRDA 2014028 Construction Contract: “As Built” Plan Sets (Administrative)

Reviewed: 2/12/2014

Description: These records comprise “As-Built” plan sets for construction contracts. This series also applies to specialty agreement files (e.g. Design Build, CMAR, P3, etc.) and construction services agreements.

Retention: Retain for seven (7) calendar years from the date of final pay of the contract.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, final pay. Transfer to State Archives after retention. Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act.

TRDA 2014029 Construction Contract: Certified Payroll Reports (Administrative)

Reviewed: 2/12/2014

Description: These records consist of reports from contractors and sub-contractors for construction projects (both highway construction and facilities construction) documenting compliance with State and Federal regulations.

Retention: Retain for seven (7) calendar years from the date of final pay of the contract.

Disposition: Destroy securely.

TRDA 2014030 Construction Contract: Contract Approvals (Administrative)

Reviewed: 2/12/2014

Description: These records comprise the approvals to advertise and award construction contracts and may include but are not limited to: approval to advertise (processing memo) or FHWA; approval and concurrence to award correspondence; enterprise approval (DBE/SBE memo); Qualified Product List and change order approvals.

Retention: Retain for seven (7) calendar years from the date of final pay of the contract.
Disposition: Permanent: Transfer to NDOT Records Management at, or before, final pay. Transfer to State Archives after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act.

TRDA 2014031 Construction Contract: Contract Form (Administrative)

Reviewed: 2/12/2014
Description: These records comprise the Contract Form including: "Contract Form", "Special Provisions", "Plans", "Invitation to Bid" and "Contractor's Proposal". This series also applies to specialty agreement files (e.g. Design Build, CMAR, P3, etc.) and construction services agreements.
Retention: Retain for seven (7) calendar years from the date of final pay of the contract.
Disposition: Permanent: Transfer to NDOT Records Management at, or before, final pay. Transfer to State Archives after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act.

TRDA 2014032 Construction Contract: Work Management and Resource Files (Administrative)

Reviewed: 2/12/2014
Description: These records are comprised of the working records of a contract and may include, but are not limited to: project release documents, contractor bulletin, award and NTP documents, construction diaries, field reports, payment documentation, claims correspondence general correspondence, etc. This series also applies to specialty agreement files (e.g. Design Build, CMAR, P3, etc.) and construction services agreements.
Retention: Retain for a seven (7) calendar years from the date of final pay of the contract.
Disposition: Destroy or destroy securely: Transfer to NDOT Records Management at, or before, final pay. Destroy after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

TRDA 2014033 Correspondence Files Executive (Administrative)

Reviewed: 2/12/2014
Description: Executive-level correspondence (letters, memos, emails, social media, etc) dealing with significant decisions and/or policies of the administration of a department, board, commission, division bureau, program, etc. This correspondence documents the entity's function, patterns of action, policies and achievements. These files will contain correspondence pertaining to, but not limited to: budgeting, fiscal, decisions, positions, planning, directing; policy, rulemaking; prominent, celebrated, and/or note-worthy achievements, announcements, awards and/or events.
Retention: Retain for four (4) calendar years from the end of the calendar year to which they pertain.
Disposition: Permanent: Transfer to NDOT Records Management after two (2) calendar years. Transfer to State Archives after retention.

TRDA 2014034 Correspondence Files Routine Business (Administrative)

Reviewed: 2/12/2014
Description: Correspondence (letters, memos, emails, social media, etc.) that is work related and deal with the day-to-day office administration and activities. Examples may include, but are not limited to: internal correspondence; external correspondence from various individuals, companies, and organizations requesting information pertaining to the agency business and other routine inquiries.

Note: Correspondence that is part of a specific subject file, e.g.; case file, client file, contract file, purchasing file, personnel file, project file, budget/fiscal file, etc. is retained with that subject file and according to the authorized retention period for that subject file.

Retention: Retain for one (1) calendar year from the end of the calendar year to which it pertains or for the authorized retention period per subject file.
Disposition: Destroy

TRDA 2014035 Correspondence Files Transitory (Administrative)

Reviewed: 2/12/2014

Description: These records consist of correspondence (letters, memos, emails, social media, etc.) that do not document core functions or activities of an agency or department and do not require an official action. Examples may include, but are not limited to: general announcements including meeting reminders, notices of upcoming events; informational copies (cc or bc) of correspondence which do not document administrative action; correspondence kept only for convenience; follow-up or suspense (tickler); transmittal letters that do not add information to the transmitted material or attachments; requests for routine information or publications provided to the public by the agency which are answered by standard form letters; spam, junk mail, unsolicited vendor mail, personal mail.

Retention: Retain only as long as the record holds value to the Department but no longer than one year.

Disposition: Destroy.

TRDA 2014039 Delegation of Authority Records (Administrative)

Reviewed: 2/12/2014

Description: These records are used to authorize, assign authority for and verify approval of various departmental actions. The files may contain: list or documents of individuals who have been delegated authority to verify approvals for purchasing, grant authorized entry to restricted areas, to grant use of vehicles or equipment, to perform personnel actions, to grant authorization for access to computers and computer systems, etc.; as well as all supporting documentation required to establish such an authorization and verification process.

Retention: Retain for three (3) fiscal years from the end of the fiscal year in which the authorization was withdrawn.

Disposition: Destroy securely.

TRDA 2014040 Disadvantage Business Enterprise Certification Records (Administrative)

Reviewed: 2/12/2014

Description: These records document the NDOT certification (or denial of certification) of disadvantaged business enterprise (DBE) which also includes women owned business enterprise (WBE) and small business enterprise (SBE). The records include but are not limited to: application for certification, annual affidavit of no change, and related correspondence. This series does not include records generated by the Nevada Unified Certification Board (see "Minutes of Public Bodies" TRDA 2014091)

Retention: Retain for as long as administratively useful but no longer than a period of three (3) calendar years from the date the enterprise was decertified, the application was denied or final action was taken.

Disposition: Destroy securely.

TRDA 2014052 Estimates, Projections and Model Outputs (Administrative)

Reviewed: 3/14/2018

Description: These records document projections and model outputs created and/or conducted by the Department either on a regular, periodic or special (one-time) manner to support the administrative and planning functions of the Department, resulting in a final report. The files may contain, but are not limited to: formal estimates (not including project related engineer's estimates), projections and/or model outputs.

Retention: Retain permanently.

Disposition: Permanent. Held by Agency.

TRDA 2014056 Facilities Construction Contract: "As Built" Plan Sets (Administrative)

Reviewed: 2/12/2014

Description: These records comprise "As-Built" plan sets for facilities construction contracts. This series also applies to specialty agreement files (e.g. Design Build, CMAR, P3, etc.) and construction services agreements.

Retention: Retain for seven (7) calendar years from the date of final pay of the contract.
Disposition: Destroy securely. Transfer to NDOT Records Management at, or before, final pay. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information.

TRDA 2014057 Facilities Construction Contract: Contract Approvals (Administrative)

Reviewed: 2/12/2014
Description: These records comprise the approvals to advertise and award construction contracts and may include but are not limited to: approval to advertise (processing memo); approval and concurrence to award correspondence; enterprise approval (DBE/SBE memo); "Qualified Product Lists" and change order approvals.
Retention: Retain three (3) calendar years from the date the facility was abandoned, sold, demolished or otherwise vacated.
Disposition: Permanent: Transfer to NDOT Records Management at, or before, final pay. Transfer to State Archives after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act.

TRDA 2014058 Facilities Construction Contract: Contract Form (Administrative)

Reviewed: 2/12/2014
Description: These records comprise the "Contract Form" including: "Contract Form" (or agreement) "Scope of Work", "Plans", "Invitation to Bid" and "Contractor's Proposal".
Retention: Retain for three (3) calendar years from the date the facility was abandoned, sold, demolished or otherwise vacated.
Disposition: Destroy securely. Transfer to NDOT Records Management at, or before, final pay. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information.

TRDA 2014059 Facilities Construction Contract: Work Management and Resource Files (Administrative)

Reviewed: 2/12/2014
Description: These records are comprised of the working records of a contract and may include, but are not limited to: project release documents, award and NTP documents, construction diaries, field reports, payment documentation, claims correspondence general correspondence, etc.
Retention: Retain for a period of seven (7) calendar years from the date of final pay of the contract.
Disposition: Destroy or destroy securely: Transfer to NDOT Records Management at, or before, final pay. Destroy after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

TRDA 2014070 General Project Files (Administrative)

Reviewed: 2/12/2014
Description: These records pertain to overall projects that are not specific to property acquisition; construction contract or other project related records specified in this schedule.
Retention: Retain for a period of seven (7) calendar years from the date when the project was completed, cancelled, rejected, withdrawn or administratively stopped. If a general file is transitioned to a property acquisition; construction contract or other project specified in this schedule, the general project file will assume the retention and disposition schedule of the specified project.
Disposition: Destroy or destroy securely. Transfer to NDOT Records Management at, or before, completion cancellation, rejection or withdrawal. Destroy after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

TRDA 2014078 HIPPA Compliance Records (Administrative)

Reviewed: 2/12/2014

Description: These records document compliance to the federal Health Insurance Portability and Accountability Act of 1996 (HIPAA). The files may include, but are not limited to: policies and procedures (45 CFR 164.316(b)(2)(i)); disclosure and access training records (45 CFR 164.530(j)); disclosure records including authorizations (45 CFR 164.508(b)(6) & 45 CFR 164.524(e)); Notice of Privacy Practices (45 CFR 164.520(e)).

Retention: Retain for six (6) calendar years from the date of receipt or creation of the record.

Disposition: Destroy securely.

TRDA 2014080 Historical Reports (Administrative)

Reviewed: 2/12/2014

Description: This record series documents the narrative and statistical reports such as: annual, semi-annual and biennial reports; reports required by statute or regulation; formal reports, or reports produced on a regular basis.

Retention: Retain this record series for a period of three (3) calendar years from the date of production or last use.

Disposition: Permanent. Transfer to NDOT Records management after one (1) calendar year from the date of production or last use. Transfer to State Archives after retention.

TRDA 2014079 History Files (Administrative)

Reviewed: 2/12/2014

Description: These records document the history of the Department and are used as an informational and reference source. The record may contain but is not limited to: artifact files of historical significance to the Department.

Retention: Retain for a period of three (3) calendar years from the date of production or last use.

Disposition: Permanent. Transfer to NDOT Records management after one (1) calendar year from the date of production or last use. Transfer to State Archives after retention. Exception: Some materials are only available in specialized formats (e.g. GIS information) and will remain on-site.

TRDA 2014086 Local Public Agency (LPA) Project Files (Administrative)

Reviewed: 3/14/2018

Description: These project files document any oversight, consultation or construction of projects for LPAs.

Retention: Retain for seven (7) calendar years from the completion of the project or until the project is cancelled, rejected, withdrawn or administratively stopped.

Disposition: Destroy securely.

TRDA 2014087 Logs (Administrative)

Reviewed: 2/12/2014

Description: These records are used to control the status of work functions, correspondence, reports, etc. They may include, but are not limited to: Mail logs; Telephone logs; Lists & schedules used to monitor work functions

Retention: Retain for one (1) fiscal year to which the records pertain.

Disposition: Destroy securely.

TRDA 2014211 Maintenance Crew and Permit Inspection Diaries (Administrative)

Reviewed: 3/14/2018

Description: This record series consists of daily diaries used by maintenance crews documenting all activities, personnel, equipment used, material used, crew hours worked, etc.; daily diaries used by permit inspectors documenting inspections on permits; and other division diaries. This does not include diaries for construction contracts (TRDA 2014032) or facilities construction contracts (TRDA 2014059).

Retention: Retain for five (5) calendar years from the date of last entry.

Disposition: Destroy securely.

TRDA 2014088 **Maps, Diagrams, and Surveys Historical (Administrative)**

Reviewed: 2/12/2014

Description: These records are maps, surveys and related documents that record the history of roads and transportation projects. The maps, diagrams and surveys (including aerial maps and surveys) document data that contain but is not limited to: access roads; road alignments; mileposts; plats; radio site; utility location; and material sites (both public and private).

Retention: Retain these records for a period of ten (10) calendar years from the date of production or last use.

Disposition: Permanent. Transfer to NDOT Records management after one (1) calendar year from the date of production or last use. Transfer to State Archives after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act.

TRDA 2014090 **Materials Testing - Reports, Certifications and Classifications (Administrative)**

Reviewed: 2/12/2014

Description: These records document the testing of materials and the final report, certification or classification of materials.

Retention: Retain these records for a period of three (3) calendar years from the date of production or last use.

Disposition: Permanent. Transfer to NDOT Records management after one (1) calendar year from the date of production or last use. Transfer to State Archives after retention.

TRDA 2014096 **Organizational Chart (Administrative)**

Reviewed: 2/12/2014

Description: These records are used by the Department to chart the organization and/or lines of authority within the agency. The record may contain, but is not limited to: computer files and printouts; sketches, drawings, etc.; related correspondence.

Retention: Retain only as long as useful to the agency.

Disposition: Permanent: Transfer to NDOT Records Management at production. Transfer to State Archives after the remaining retention.

TRDA 2014102 **Performance Audit – Agency Copy (Administrative)**

Reviewed: 2/12/2014

Description: These records are maintained by the Department administrators to document performance audits of their agency conducted by regulatory or over-sight entities. The record may include but is not limited to: audit report; agency reports relating to performance with supportive documentation; compliance documentation (correspondence and reports relating to how the agency complied with the audit recommendations); related correspondence.

Retention: Retain for a period of six (6) calendar years from the date of the formal audit report.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, one (1) year from the audit report. Transfer to State Archives after the remaining retention.

TRDA 2014106 **Permit Files – Short-term Activities and Events (Administrative)**

Reviewed: 5/10/2017

Description: These records document the issuing (or denial) and receipt of fees for permits issued for activities and events lasting less than one year. Examples include right-of-way temporary occupancy permits, over-dimensional vehicle permits, etc. The records may contain, but are not limited to: applications, permits, copies of site plans, and related documents. Note: If a short-term permit becomes associated with a long-term permit or other subject file, the short-term permit will be filed with and assume the retention of the specified subject file.

Retention: Retain for seven (7) calendar years from the date of permit expiration or date of last action.

Disposition: Destroy.

TRDA 2014111 **PIO Records (Administrative)**

Reviewed: 2/12/2014

Description: These records pertain to the public relations activities of an agency, usually administered by a public information officer. The files may contain, but are not limited to: public service announcements, news releases, etc.; speeches and presentations; audio-visual material; and related correspondence.

Retention: Retain for six (6) calendar years from the end of the calendar year to which they pertain.

Disposition: Permanent. Transfer to NDOT Records Management at or before three (3) calendar years. Transfer to State Archives after retention.

TRDA 2014120 **Public Records Request Files (Administrative)**

Reviewed: 9/10/2014

Description: This file documents requests for public records fulfilled by the agency. The file may contain, but is not limited to: Request form, acknowledgment letter, response letter, denial, logs. NOTE: Related invoices and accounting documentation are retained in accordance with the Nevada Department of Transportation Retention and Disposition Schedule; see TRDA 2014003 "Accounting Files – NDOT Copy."

Retention: Retain for administratively useful. It is recommended that these records be retained for no longer than ninety (90) days from the date the request was granted. Check Division-Specific Schedule for exceptions.

Disposition: Destroy securely.

TRDA 2014174 **Qualified Product Vendor Files (Administrative)**

Reviewed: 2/12/2014

Description: These records document vendors which have either qualified to have products listed on the NDOT "QPL" (Qualified Products List) or are applying to have products listed. The files may contain, but are not limited to: Applications for QPL listing, vendor contact information, product related specifications and information and related correspondence

Retention: Retain for three (3) calendar years from the date the vendor was removed from the QPL, the application was denied or final action was taken.

Disposition: Destroy securely. Transfer to NDOT Records Management at or before one (1) calendar year from the date of final action.

TRDA 2014123 **Quality Assurance Review: Audits & Reports (Administrative)**

Reviewed: 2/12/2014

Description: These records consist of quality control reviews performed by the Department to check the effectiveness of policies and procedures [such as office security, training, safety, personnel, customer relations, emergency and similar procedures]. The record may contain, but is not limited to: investigative reports; checklists; supportive documents; staff reviews; regular and final reports; and related correspondence.

Retention: Retain for three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014212 **Quality Based Procurement: Agreement Files (Federally Funded) (Administrative)**

Reviewed: 8/13/2014

Description: These records may contain, but are not limited to, the successful proposal; agreement; amendments and task orders; agreement related general correspondence; Review Ranking spreadsheet; Form 2A and payment vouchers for quality based procurement.

Retention: Retain for seven (7) calendar years from the date of final pay of the last project (EA) associated with the agreement.

Disposition: Destroy or destroy securely. Transfer to NDOT Records Management at Agreement execution. Destroy after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

TRDA 2014124 Quality Based Procurement: Agreement Files (Non Federally Funded) (Administrative)

Reviewed: 2/12/2014

Description: These records may contain, but are not limited to, the successful proposal; agreement; amendments and task orders; agreement related general correspondence; Review Ranking spreadsheet; Form 2A and payment vouchers for quality based procurement.

Retention: Retain for seven (7) calendar years from the date of final audit or agreement close whichever is later.

Disposition: Destroy or destroy securely. Transfer to NDOT Records Management at, or before, Agreement execution. Destroy after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

TRDA 2014125 Quality Based Procurement: Review Committee Score Sheets (Administrative)

Reviewed: 2/12/2014

Description: Review Committee Score Sheets, Review Committee Assignment memo, Jury Letters

Retention: Retain securely until scores are transferred to Review Ranking Spreadsheet

Disposition: Destroy securely.

TRDA 2014126 Quality Based Procurement: RFA, RFI, RFQ or RFP - Unsuccessful Proposals (Administrative)

Reviewed: 2/12/2014

Description: Unsuccessful proposals and any related documents associated with unsuccessful proposals, including documentation regarding denied award disputes.

Retention: Retain for a period of one (1) calendar year from the date of submittal.

Disposition: Destroy or destroy securely. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

TRDA 2014127 Quality Based Procurement: Unsolicited Proposals – Unsuccessful (Administrative)

Reviewed: 2/12/2014

Description: Unsolicited proposals that are not converted into an NDOT project or contract (successful, unsolicited proposals will become part of a project or contract file).

Retention: Retain for ten (10) calendar years from date of submittal.

Disposition: Destroy securely. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information.

TRDA 2014131 Rejected or Cancelled Construction and Facility Construction Contracts (Administrative)

Reviewed: 2/12/2014

Description: These records contain all of the documents for a construction contract to the point the contract is cancelled, rejected, withdrawn or administratively stopped.

Retention: Retain for seven (7) calendar years from the date when the project was cancelled, rejected, withdrawn or administratively stopped.

Disposition: Destroy or Destroy Securely: Transfer to NDOT Records Management at, or before, final pay. Destroy after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

TRDA 2014105 Reports to Other Public Bodies (Administrative)

Reviewed: 3/14/2018

Description: Formal reports to other public bodies to document compliance with programs or projects administered, managed or governed by those bodies.

Retention: Retain for ten (10) calendar years from the end of the calendar year in which the record was created.

Disposition: Destroy securely.

TRDA 2014133 Restricted Document Log (Homeland Security Act) (Administrative)

Reviewed: 2/12/2014

Description: These records document the access granted to restricted records in accordance with the Homeland Security Act (See NRS 239C.090) and contains information on the date access was granted, the individual's name, a copy of a photographic form of identity, the name of his/her employer, citizenship status, and purpose for accessing the restricted documents.

Retention: Retain for three (3) calendar years from the end of the calendar year to which it pertains.

Disposition: Destroy securely.

TRDA 2014147 Special Reports (Administrative)

Reviewed: 2/12/2014

Description: These records document the special reports produced as directed by the legislature, a court, a regulatory agency, the Federal Government, the Governor, agency administrator/ manager, etc. The files may contain, but are not limited to: reports plus direct supportive documents and related correspondence.

Retention: Retain for three (3) calendar years from the completion of the report.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, one (1) year. Transfer to State Archives after the remaining retention.

TRDA 2014148 Standard Plans and Specifications (Administrative)

Reviewed: 2/12/2014

Description: Records related to the development and publication of Standard Plans and Standard Specifications for Road and Bridge Construction.

Retention: Retain at the Department as long as administratively useful.

Disposition: Permanent. Transfer each publication to State Archives at the time of publication.

TRDA 2014152 Strategic Plan Files (Administrative)

Reviewed: 2/12/2014

Description: These records document the process of creating, reporting on and modifying strategic plans for the Department, from the Department's director, administrator and/or program manager. The record may contain, but is not limited to: strategic plan with supportive material with related correspondence.

Retention: Retain for six (6) calendar years from the end of the calendar year to which they pertain.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, three (3) years. Transfer to State Archives after the remaining retention.

TRDA 2014153 Structural Design, Inspection, Maintenance and Testing Records (Administrative)

Reviewed: 3/14/2018

Description: These records document structural design, inspection, maintenance and testing, and related records.

Retention: Retain for twelve (12) years from the date of the disposition of the structure.

Disposition: Destroy securely.

TRDA 2014154 Studies (Administrative)

Reviewed: 2/12/2014

Description: These records document studies created and/or conducted by the Department either on a regular, periodic or special (one-time) manner to support the administrative functions of the Department, and

may or may not result in a final report analyzing data. The files may contain, but are not limited to: formal report and direct support documentation; and related correspondence.

Retention: Retain for ten (10) calendar years from the completion of the study.

Disposition: Permanent or destroy. Formal reports will be kept permanently; all other records will be destroyed after retention. Transfer formal reports to NDOT Records Management at, or before, five (5) years. Transfer to State Archives after the remaining retention.

TRDA 2014168 Unsuccessful Bids for Construction or Facilities Construction Contracts (Administrative)

Reviewed: 2/12/2014

Description: These records are the unsuccessful bid packages for construction and facilities construction contracts.

Retention: Retain until execution (or rejection/cancellation) of contract.

Disposition: Destroy. Return or release bid bond to contractor before destruction.

TRDA 2014213 Work Orders and Incident Report Forms (Administrative)

Reviewed: 3/14/2018

Description: This records series consists of reports to NDOT documenting public contacts concerning issues with Nevada Highways. This series usually contains the following information: date and time of contact, contact information for caller, description of the incident being reported, and the action taken by NDOT in response to the contact.

Retention: Retain for five (5) calendar years from the date of action taken.

Disposition: Destroy securely.

2. Budget

TRDA 2014018 Budget Development Files (Budget)

Reviewed: 2/12/2014

Description: These records document the budget prepared and submitted to the Budget Division by the Department for inclusion in the "Executive Budget" that goes to the State Legislature. These files may consist of but are not limited to: "Agency Requested (Proposed) Budgets" with supportive documentation; Mission Statement; report values of Performance Indicators; and related correspondence.

Retention: For items entered into or otherwise found in NEBS (Nevada Executive Budget System), and for copies of the budget instructions; retain for thirty (30) days after the end of the legislative session for which they were prepared. For items not in NEBS, retain for a period of three (3) fiscal years from the fiscal year in which the budget was submitted to the Budget Division.

Disposition: Destroy securely.

TRDA 2014019 Budget Work Management and Resource Files (Budget)

Reviewed: 2/12/2014

Description: These records document the managing of the legislatively approved budget. These files may contain, but are not limited to: work programs; work program revisions; supportive documentation; and related correspondence.

Retention: Retain for three (3) fiscal years from the end of the fiscal year to which the record pertains.

Disposition: Destroy securely.

TRDA 2014021 Capital Improvement Project Files (Budget)

Reviewed: 2/12/2014

Description: These records document the development and justification for projects for the physical improvement (modification) or new construction of buildings, structures, warehouses, communication & utility facilities and similar physical NDOT controlled facilities. The record may include but is not limited to: drawings, blueprints, renderings, etc.; architect and/or engineering reports; financial estimates, budgets, site proposals; contractors proposals; photos, maps, etc.; and related correspondence.

Retention: Retain for a period of seven (7) calendar years from the date the project was completed, rejected, cancelled, withdrawn or administratively stopped.

Disposition: Destroy securely.

TRDA 2014036 Cost Allocation Files (Budget)

Reviewed: 2/12/2014

Description: These records are used to report cost allocations by program/division administrators.

Retention: Retain these records for three (3) federal fiscal years from the date of the summary report.

Disposition: Destroy.

TRDA 2014092 Mission Statement Files (Budget)

Reviewed: 2/12/2014

Description: This record series consists of the official mission statement of the agency and its divisions, sections, offices and branches listing the goals and objectives.

Retention: Retain until superseded.

Disposition: Permanent: Transfer to NDOT Records Management at production. Transfer to State Archives after the remaining retention.

TRDA 2014103 Performance Indicators Computation Files (Budget)

Reviewed: 2/12/2014

Description: These records administer the gathering of raw data and computation of performance measures. The record may contain but is not limited to: spreadsheets; statistical databases and computer printouts; surveys with summaries; and related correspondence.

Retention: Retain for three (3) fiscal years from the fiscal year to which they pertain.

Disposition: Destroy.

TRDA 2014104 Performance Indicators Files (Budget)

Reviewed: 2/12/2014

Description: These records document the reported values of performance measures with definitions and corresponding internal guidelines of the Department. Some of the values are reported to the Department of Administration and printed in the Executive Budget. These records are needed to justify the reported values for a Legislative and/or an internal performance audit. The record may consist of, but is not limited to: agency policy statements and guidelines; agency definitions and outlines of performance measures; reported values of performance measures for each reporting period with supportive documentation, and; related correspondence.

Retention: Retain for six (6) fiscal years from the fiscal year to which they pertain.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, three (3) years from the fiscal year to which they pertain. Transfer to State Archives after the remaining retention.

TRDA 2018004 Project Programming Permanent Files (Budget)

Reviewed: 3/14/2018

Description: These files comprise the permanent financial records of transportation projects and may include but are not limited to: Project Approval and Engineering Authorizations and contract/agreement estimates.

Retention: Retain permanently.

Disposition: Permanent: Held by the agency.

TRDA 2018005 Project Programming Work Management Files (Budget)

Reviewed: 3/14/2018

Description: These files comprise the working records documenting the scheduling and programming of the various phases of transportation projects and may include, but are not limited to: requests for scheduling and programming, scope budget changes, project information, obligated funds reports, etc.

Retention: Retain for three (3) calendar years from the date of the close of the project.

Disposition: Destroy securely.

3. Employee Development

TRDA 2014027 Continuing Education (CE) Files (Employee Development)

Reviewed: 2/12/2014

Description: These records document the CE and/or training that may be required for renewal of a professional license/certificate or to strengthen the talents and skills of employees. The record may consist of, but is not limited to: educational transcripts; attendance rolls; course/workshop documentation; CE credit slips; CE/Training forms; training program course approval documentation; training plans; stipend and educational leave approvals; evaluations; training reports.

Retention: Retain for three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

4. Environmental

TRDA 2014024 Chemical Accident Prevention Program (Environmental)

Reviewed: 2/12/2014

Description: These records document the Chemical Accident Prevention Program (CAPP) of the Department. The record may consist of but is not limited to: registration documentation; accident history; hazard assessment; emergency response program; process hazard analysis; operating procedures; training procedures; Incident reports; related correspondence.

Retention: Retain for five (5) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014025 Climatology and Meteorology Records (Environmental)

Reviewed: 2/12/2014

Description: These records are reports of analytic data of climatology and meteorology.

Retention: Retain these records for a period of ten (10) calendar years from the end of the calendar year in which the report was created.

Disposition: Destroy.

TRDA 2014048 Environmental Protection Records (Environmental)

Reviewed: 3/14/2018

Description: These records document the environmental protection of historic, natural, cultural and archeological resources and wildlife and wilderness habitats. The files may include but are not limited to: artifact files; operating agreements or permits; site investigations and reports; scientific studies of the effect of intended land use; maps, diagrams, surveys, etc. subject files including reports, correspondence, certificates and documents of a similar nature.

Retention: Retain permanently.

Disposition: Permanent. Held by Agency.

TRDA 2014071 Hazardous Waste Files (Environmental)

Reviewed: 2/12/2014

Description: These records document the annual registration (See NRS 459.3818 to 459.3874 and NAC 449.952 to 459.95528) and operation of generators of hazardous waste (See NRS 459.485, NAC 444.8655 et seq. and 40 CFR Part 262). The files may consist of but are not limited to: registration forms with associated documentation; summary of off-site consequence analysis; 5-year accident history; emergency response program; hazard assessment with related reports; Executive Summary; biennial reports; waste shipment manifests; inspections; variances; and similar records.

Retention: Retain for five (5) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy.

TRDA 2014073 Geotechnical Reports and Memoranda (Environmental)

Reviewed: 2/12/2014

Description: These records are geotechnical reports and memoranda including supporting documentation.

Retention: Retain three (3) calendar years from the date of production or last use.

Disposition: Permanent: Transfer to Records Management one (1) year after the date of production or last use. Transfer to State Archives after the remaining retention.

5. Fiscal

TRDA 2014003 Accounting Files, NDOT Copy (Fiscal)

Reviewed: 2/12/2014

Description: These records administer and document the financial transactions and accounting functions of the Department (See the state accounting system in NRS Chapter 353). The record may consist of but is not limited to: Bank statements; Cash receipts; Deposit receipts; IFS Advantage™ reports and supporting documentation; Ledgers; Journal entries and work files; Disbursement logs; Reconciliation documentation; Billing claims; Work program documentation; Purchasing documentation; Invoices; Accounting spreadsheets; Travel documentation including Fleet Services records, travel requests and authorizations, etc.; checks and associated documents.

Retention: Retain for three (3) fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy securely.

TRDA 2014016 Audit – Final Report (Fiscal)

Reviewed: 3/11/2015

Description: These records document the final report of internal audits.

Retention: Retain records for a period of seven (7) calendar years from the date of the final pay of the last project (EA) associated with the agreement.

Disposition: Destroy securely.

TRDA 2014017 Audit – Work Management and Resource Files (Fiscal)

Reviewed: 3/11/2015

Description: These records are used to document financial, performance and other types of audits. They may be performed by the NDOT Internal Audits Division or other auditing entities. The files may consist of, but are not limited to: reports from auditors (not including the Final Audit Report with supportive material; internal agency reports (including spreadsheets); copies of accounting records; corrective action documentation; and related correspondence.

Retention: Retain for seven (7) calendar years from the date of the final pay of the last project (EA) associated with the agreement.

Disposition: Destroy securely.

TRDA 2014037 Credit Card Receipts (Fiscal)

Reviewed: 2/12/2014

Description: These records are signed or system generated credit card receipts for services and or fees charged by the Department.

Retention: Retain for a period of ninety (90) days from the date of the receipt

Disposition: Destroy securely.

TRDA 2014038 Debt Files Paid Off (Fiscal)

Reviewed: 2/12/2014

Description: These records document the payment of debts, including fines, fees and penalties. The record may consist of but is not limited to: copy of fine and penalty records; copy of hearing documentation; fiscal records; demand letters; copy of citations; related correspondence.

Retention: Retain for three (3) fiscal years from the end of the fiscal year in which the debt was paid off.

Disposition: Destroy or destroy securely. Some of these documents may contain confidential information, such as the Social Security Number or other personal identifying information (NRS 239B.030) and should be destroyed securely. All other documents may be destroyed in a normal manner.

TRDA 2015021 Employee Payroll Records (Fiscal)

Reviewed: 7/8/2015

Description: These records document deductions and certain pay adjustments. The files may include, but are not limited to: Authorization forms for elective deductions, child support deduction records, court

execution records, direct deposit forms, W-4 employer copies, levies against employees, retroactive pay adjustments, and related correspondence.

Retention: Retain for six (6) fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy securely.

TRDA 2014068 **Freight Records (Fiscal)**

Reviewed: 2/12/2014

Description: These records document the transactions with private carriers concerning freight services for heavy and large items. The files may contain but are not limited to: shipping company information; invoices, bills of lading, shipping tags, shipping receipts, shipment log, documentation on the item's being shipped, etc.; insurance documentation; loss and/or damage reports with supportive documentation; related correspondence.

Retention: Retain for three (3) fiscal years from the fiscal year to which it pertains.

Disposition: Destroy.

TRDA 2015018 **Pay Register Reports and Timesheets (Fiscal)**

Reviewed: 7/8/2015

Description: These records document the pay and benefits earned by employees. The pay register report is a listing of each employee containing information not limited to: Name and personal identifying information of the employee, wage and deduction information, and leave earned and used. The timesheet contains dates worked and work codes of each employee.

Retention: Retain for forty (40) fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy securely.

TRDA 2015019 **Payroll Reports (Fiscal)**

Reviewed: 7/8/2015

Description: These records document reports produced on payroll matters used for administrative purposes. The reports may include, but are not limited to: Payroll maintenance reports, direct deposit reports, deduction reports, longevity reports, retirement reports, PEBP reports, furlough reports, and employee year to date gross reports.

Retention: Retain for four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014114 **Postal Tracking Records (Fiscal)**

Reviewed: 2/12/2014

Description: These records administer and document the transactions with the U.S. Postal Services and other private couriers (such as FedEx, UPS, etc.) concerning letter and parcel post type postal services. The files may contain, but are not limited to: postal meter records; receipts for postage stamps, registered and/or certified mail, insured mail, etc.; insurance documentation; special delivery records; loss reports; related correspondence.

Retention: Retain for three (3) fiscal years from the fiscal year to which it pertains.

Disposition: Destroy.

TRDA 2014159 **Tax Abatement Records (Fiscal)**

Reviewed: 2/12/2014

Description: These records document the decisions made in administering tax abatements including but not limited to: the Renewable Energy Partial Tax Abatement Program (See NRS 701A.300 to 701A.390 and adopted regulations found in R094-10); the Leadership in Energy Efficiency and Design (LEED) and Green Buildings Tax Abatement Program (See NRS 701A.110 and NAC 701A.220 to 701A.290), and; partial tax abatements issued by the Commission on Economic Development (See NRS 360.750, NRS 372.397, NRS 374.357, NRS 361.0687, NRS 363B.120 and NRS 701A.210). The files may contain, but are not limited to: Copy of pre-application and processing documentation; Copy of application with supportive documentation including denied and incomplete applications; Redacted copy of

application; Copy of fiscal notes; Copy of Public Hearing Documentation; Copy Certificate of Eligibility with associated documentation, including agreements; Abatement Certification/Verification from Department of Taxation; Copy of compliance determination and associated documentation; Termination records.

Retention: Retain for a period of six (6) calendar years from the termination of the abatement and then transfer the records to the State Archives.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, three (3) years. Transfer to State Archives after the remaining retention.

TRDA 2015020 Time Maintenance Records (Fiscal)

Reviewed: 7/8/2015

Description: These records document time, leave, and pay adjustments. The files may include, but are not limited to: Leave payouts, time and leave adjustments (CPER / PPERs), overpayment adjustments, and related correspondence.

Retention: Retain for three (3) fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy securely.

TRDA 2014165 Unclaimed Property Files (Fiscal)

Reviewed: 2/12/2014

Description: These records document the abandoned accounts and property in accordance with NRS Chapter 120A. The record may contain, but is not limited to: financial documentation; reports of unclaimed property; supportive documentation; related correspondence.

Retention: Retain for seven (7) calendar years from the end of the calendar year in which the report was filed with the State Treasurer.

Disposition: Destroy securely.

TRDA 2014166 Uncollectible (Written Off) Debt Files (Fiscal)

Reviewed: 2/12/2014

Description: These records document the Division's copy of financial records relating to bad debts in accordance with NRS 353C.220 and other state Law. The record may consist of, but is not limited to: invoices; billing statements; returned (uncashed) checks; payment statements; statements from collection agencies; copies of State Controller's records; request to remove debt as uncollectible; related correspondence.

Retention: Retain for three (3) fiscal years from the fiscal year in which the removal of the debt was approved by the State Board of Examiners or as otherwise approved in state law.

Disposition: Destroy securely.

TRDA 2014170 Vendor Files (Fiscal)

Reviewed: 2/12/2014

Description: These records document vendors for services, equipment or supplies. The record may contain, but is not limited to: vendor contact information; copies of accounting documents with supportive material; related correspondence.

Retention: Retain for three (3) fiscal years from the fiscal year to which it pertains.

Disposition: Destroy securely.

6. Grants

TRDA 2014012 Applications Not Funded – NDOT as Applying Agency (Grants)

Reviewed: 2/12/2014

Description: These records are used by the Department to apply for a grant (federal, state, or private organization) that was denied and not funded. The files consist of but are not limited to: application material which may include federal forms such as SF-424 “Application for Federal Assistance” or “Facesheet”, grant narrative; transmittal letter, denial letter and related correspondence.

Retention: Retain no longer than three (3) calendar years from the date the application was denied or final action was taken.

Disposition: Destroy securely.

TRDA 2014013 Applications Not Funded – NDOT as Granting Agency (Grants)

Reviewed: 2/12/2014

Description: These records document applications for a grant that was denied and not funded when the Department is the granting (or subgranting) agency. The files may consist of but are not limited to: application material; grant narrative; transmittal letters; staff reports; denial letter, appeal documentation; related correspondence.

Retention: Retain no longer than three (3) calendar years from the date the application was denied or final action was taken.

Disposition: Destroy securely.

TRDA 2014060 Federal Grants: Administrative Records (Grants)

Reviewed: 2/12/2014

Description: These records are used in the program administration of federal grants subject to the “Common Rule for Grants Management.” Some federal granting agencies make exceptions to this “Common Rule,” please see https://www.whitehouse.gov/omb/grants_chart. The files may include, but are not limited to: copy of grant application documents [including forms SF-424 Facesheet, SF-424a Budget Information (Non Construction), SF 424b Standard Assurances (Non Construction), SF-424c Budget Information (Construction), and SF-424d Standard Assurances (Construction)]; grant narrative, amendments and copy of cooperative agreements; copies of accounting and budget records; performance reports (annual, semi-annual and/or quarterly); subgrantee reports; related correspondence.

Retention: Retain for three (3) federal fiscal years from the date of the annual or final performance report.

Disposition: Destroy securely.

TRDA 2014061 Federal Grants: Appeals and Compliance Reviews (Grants)

Reviewed: 2/12/2014

Description: These records are used to document the appeals made to the federal regulatory agency concerning actions against state plans and the compliance reviews that occur during the lift of the state plan. The files may include, but are limited to: complaints; investigation reports; documentation of informal meetings to resolve differences; hearing and appeal documentation; plan of corrective action; compliance reviews; documentation of debarment and/or suspension; related correspondence.

Retention: Retain for five (5) federal fiscal years from the date of final action.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, three (3) years from final action. Transfer to State Archives after the remaining retention.

TRDA 2014062 Federal Grants: Financial Management Records (Grants)

Reviewed: 2/12/2014

Description: These records are used in the financial management of federal grants subject to the “Common Rule for Grants Management.” Some federal granting agencies make exceptions to this “Common Rule,” please see https://www.whitehouse.gov/omb/grants_chart. The files may include, but are not limited to: copy of grant application documents; financial reports, including “Financial Status Report”,

“Request for Advance or Reimbursement”, “Outlay Report and Request for Reimbursement for Construction Programs”, “Report of Federal Cash Transactions”, etc.; indirect cost rate proposals, cost allocation plans, cost adjustment documents, etc.; cash adjustment documents, invoices etc.; audit records including Auditor Reports, audit data collection forms, financial statements, schedule of expenditures, summary schedule of prior audit findings, corrective action plans, etc.; supportive documentation including copies of IFS Advantage™ printouts, executive budget printouts, accounting work papers, spreadsheets etc; related correspondence.

Retention: Retain for three (3) federal fiscal years from the date of the annual or final financial status report.

Disposition: Destroy securely.

TRDA 2014063 Federal Grants: State Plan (Grants)

Reviewed: 2/12/2014

Description: These records are used to document state plans required by various laws and regulations. The files may include, but are not limited to: plan narrative including amendments; identification of the Department; statewide program objectives; resource allocation plan; state assurances; area plans, state and federal certifications; funding formulas; evaluations; related correspondence.

Retention: Retain for five (5) federal fiscal years from the date the plan was accepted or superseded. When the federal granting agency requires a longer retention period, report this to the Records Manager and these exceptions shall be noted on the Records Retention and Disposition Schedule.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, three (3) years from final action. Transfer to State Archives after the remaining retention.

TRDA 2014122 Private Grants (Grants)

Reviewed: 2/12/2014

Description: These records document the management of grants received from private sources. The files may include, but are not limited to: grant application documents; financial reports with supportive documentation; audit records with supportive documentation; related correspondence.

Retention: Retain for three (3) federal fiscal years from the date the plan was accepted or superseded. When the federal granting agency requires a longer retention period, report this to the Records Manager and these exceptions shall be noted on the Records Retention and Disposition Schedule.

Disposition: Destroy securely.

TRDA 2014149 State Grants: NDOT as Applying Agency Records (Grants)

Reviewed: 2/12/2014

Description: These records document grants funded solely with state funds administered by the Department when they concern the Department, private and/or non-profit organization that applies for such a grant. These files may include, but are not limited to: application materials; assurances; financial and budget documentation; audit records with supportive documentation; closure documentation; program narrative; progress reports; related correspondence.

Retention: Retain for three (3) fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy securely.

TRDA 2014150 State Grants: NDOT as Granting Agency (Grants)

Reviewed: 2/12/2014

Description: These records document grants funded solely with state funds administered by the Department when the Department is the granting agency. These files may include, but are not limited to: application materials; assurances; financial and budget documentation; audit records with supportive documentation; compliance review documentation; program narrative; related correspondence

Retention: Retain for three (3) fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy securely.

7. Information Technology

TRDA 2014015 Asset Files (IT)

Reviewed: 2/12/2014

Description: This record series administers and documents the IT inventories created and maintained by the Department in accordance with various PSP's (Policies, Standards and Procedures) of the IT Security Committee. The files may include, but are not limited to: physical equipment inventory; software inventory; software libraries; software audits; data communications equipment inventory; other IT related inventories and lists, work station (and port) diagrams & assignments, inventory reports, network configuration diagrams & documentation, system communication configuration diagrams & documentation, documentation of audits of equipment, etc.

Retention: Retain for three (3) calendar years from end of the calendar year in which the inventory is superseded or an audit/review is concluded.

Disposition: Destroy.

TRDA 2014026 Computer Access Log (IT)

Reviewed: 2/12/2014

Description: This record series is used to document the access to the Department's computers. The log consists of information relating to the name of the employee, the date and time of access, a reasonable explanation of the circumstances & considerations justifying the access, the name of each person authorized to perform the access, the name of each person allowed to examine the information retrieved, the name of each person required to store / maintain and/or destroy that information, details of inappropriate use or access to the computer.

Retention: Retain for three (3) calendar years from the end of the calendar year to which it pertains.

Disposition: Destroy securely.

TRDA 2014042 Employee Access Control and Security Awareness Files (IT)

Reviewed: 2/12/2014

Description: This record series documents employee security awareness training and signed documentation of agreements concerning use and access of applications and data. These files are created and maintained in accordance with the State IT Security Committee PSP (Policies, Standards and Procedures). The files may include, but are not limited to: employee access letter of agreement and/or non-disclosure agreements; employee security awareness training documentation; password disclosure statement; employee email (and other application) agreements; related correspondence.

Retention: Retain for three (3) calendar years from the end of the calendar year in which the form was modified or the employees' access rights were terminated.

Disposition: Destroy securely.

TRDA 2014051 Error Reports (IT)

Reviewed: 2/12/2014

Description: This record series administers reports produced to detect errors or potential errors of data within the system. The files may consist of paper printouts and/or on-line reports. The reports may be run on a regular or special basis.

Retention: Retain until a superseding report is run or until the action for which they were produced has been accomplished.

Disposition: Destroy.

TRDA 2014075 Hardware Documentation (IT)

Reviewed: 2/12/2014

Description: These records document the purchase of hardware. The record may include but is not limited to: copy of the "Purchase Order"; warranty documentation; related correspondence; supporting documentation.

Retention: Retain for a period of five (5) calendar years from the purchase date.

Disposition: Destroy.

TRDA 2014138 Security Logs (IT)

Reviewed: 2/12/2014

Description: These records are logs documenting access to IT systems (See IT Security Committee Policies, Standards and Procedures (PSP's)). The records may contain, but are not limited to: security and access control logs; firewall traffic log; similar logs.

Retention: Retain for three (3) months from the date of the log.

Disposition: Destroy securely.

TRDA 2014141 Security Records (IT)

Reviewed: 2/12/2014

Description: These records document the security of IT systems (See IT Security Committee Policies, Standards and Procedures (PSP's)). The records may contain, but are not limited to: physical security reviews; Security Breach Reports; Reports of Suspicious Activities; Reports of Suspected Violations; risk analysis documentation and reports; security evaluations and reviews with supportive documentation.

Retention: Retain for three (3) calendar years from the end of the calendar year to which it pertains.

Disposition: Destroy securely.

TRDA 2014145 Software Licensing Files (IT)

Reviewed: 2/12/2014

Description: These records document the license to use software. The record may include but is not limited to: copy of the Purchase Order; license including license confirmation, upgrade licenses, etc.; related correspondence; supporting documentation.

Retention: Retain for six (6) calendar years from the date the software was discarded.

Disposition: Destroy.

TRDA 2014157 Software System and Program Documentation (IT)

Reviewed: 2/12/2014

Description: This record series consists of program specifications and documentation concerned with a particular program or system as used by the agency including individual software applications. This record series may include, but is not limited to: system/program programming, modification & technical reports; programmer's notes & memos; general system design reports, test plans & results, conversion reports & addendums; specification architecture reports; and supportive records.

Retention: Retain for six (6) years after a program or system is discontinued.

Disposition: Destroy securely.

TRDA 2014158 System User Master List (IT)

Reviewed: 2/12/2014

Description: This record series administers and documents the creation, maintenance and management of IT system user access rights in accordance with the State IT Security Committee PSP [Policies, Standards and Procedures] 4.60 "Access Controls and Auditing." The master file consists of an on-line electronic file containing user names, user ID codes, access rights and privileges (to data, applications, communications and other system devices).

Retention: These on-line files may be modified and/or purged as needed in accordance with the written agency access controls (see State IT Security Committee Policies, Standards and Procedures P 4.60 "Access Controls and Auditing").

Disposition: Destroy securely.

8. Land Management

TRDA 2014053 Excess and Surplus Land Records (Land Management)

Reviewed: 2/12/2014

Description: These records document real property that is deemed in excess to a project, or is deemed to be surplus to the Department. The files may include but are not limited to: land auction records, revised plot maps, negotiation summaries, records regarding right-of-first refusal, and related correspondence:

Retention: Retain for seven (7) calendar years from the final disposition of the property.

Disposition: Destroy securely. Transfer to NDOT Records Management at or before one (1) calendar year from the date of final disposition.

TRDA 2014093 NDOT Lands Property Management (Land Management)

Reviewed: 2/12/2014

Description: These records document the use and maintenance of NDOT Lands and relocation records. The records may contain, but are not limited to: leases, authorizations, relocation files, inspections, maintenance, demolition of structures, photos or images, and related files.

Retention: Retain for seven (7) years from the termination of lease or license.

Disposition: Destroy, or destroy securely. Transfer to NDOT Records Management upon production. Destroy after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

TRDA 2017023 Permit Files – Long-term Installations (Land Management)

Reviewed: 5/10/2017

Description: These records document the issuing (or denial) and receipt of fees for permits issued for non-permanent installations lasting one year or longer, such as outdoor advertising signs. The records may contain, but are not limited to: applications, permits, copies of site plans, and related documents.

Retention: Retain for twelve (12) years from the removal of the structure or the date of last action, whichever is longer.

Disposition: Destroy.

TRDA 2017022 Permit Files – Permanent Installations (Land Management)

Reviewed: 3/14/2018

Description: These records document the issuing (or denial) and receipt of fees for permits issued for permanent installations. Examples include right-of-way standard encroachment permits, utility occupancy permits, etc. The records may contain, but are not limited to: applications, permits, copies of site plans, and related documents.

Retention: Retain permanently.

Disposition: Permanent. Held by Agency.

TRDA 2014117 Property Acquisition Permanent Files (Land Management)

Reviewed: 3/14/2018

Description: These records document the acquisition of real property (or use of property) for transportation related projects and include, but are not limited to: conveyance documents; title documents; condemnation proceeding documentation; maps and plats; and related documents.

Retention: Retain for seven (7) calendar years from the date of production or last use.

Disposition: Permanent. Held by Agency.

TRDA 2014151 State Lands Property Management (Land Management)

Reviewed: 2/12/2014

Description: These records document the use, maintenance, and monitoring of state lands placed in the custody and/or care of the Department (See NRS 321.003). The record may include, but is not limited to: maps, blueprints, diagrams, etc.; photographs, etc.; related correspondence.

Retention: Retain for three (3) calendar years from the disposition of the property or when custody is transferred.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, one (1) year from disposition.
Transfer to State Archives after the remaining retention.

9. Legal

TRDA 2014085 Legal Files – Agency Copy (Legal)

Reviewed: 2/12/2014

Description: These records are used by the Department's director and staff in keeping track of court cases, pending legal action, or any other legal matter. The record may consist of, but is not limited to: correspondence; copies of court documents; notes; transmittals; memos.

Note: These are not Attorney General, agency legal counsel, or actual court records although to some extent, they may duplicate these records.

Retention: Retain for as long as administratively useful to the agency. It is recommended that they be retained no longer than a period of six (6) calendar years from the close or other disposition of the case.

Disposition: These files may be purged of documents at the discretion of the administrator and discarded anytime within the six year period if the case has been resolved and no further action is needed or if the reference use has ceased. Some of these records may contain confidential information such as workers compensation, personnel and attorney-client information. These records must be destroyed in a secure manner that will prevent reconstruction of the information (See NAC 239.722). All other documents may be disposed of in a normal manner.

TRDA 2014095 Opinions and Letters of Advice (Legal)

Reviewed: 2/12/2014

Description: Legal opinions and letters of advice received from either the Department's legal counsel or the Attorney General, State of Nevada. These opinions are used by the agency for guidance in certain types of situations which may occur.

Retention: Agency copies are to be retained until superseded, or overturned, either in court or by an opinion of the Attorney General.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, three (3) years from final action. Transfer to State Archives after the remaining retention.

TRDA 2014112 Policies and Standards (Legal)

Reviewed: 2/12/2014

Description: These records document official standards and policies created under authority of law. These are not internal policies or desk manuals which are governed by RDA 2013047. The records may include, but are not limited to: Approved policies and standards.

Retention: Retain for a period of one (1) calendar year from the date the standard, policy or procedure was superseded.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, one (1) year from disposition. Transfer to State Archives after the remaining retention.

TRDA 2014135 Rule Making Files (Legal)

Reviewed: 2/12/2014

Description: These records are used to develop, amend, establish, or abolish regulations (See NRS 233B Nevada Administrative Procedure Act). These records may include, but are not limited to: agency development records including proposals, ad hoc committee records and supportive documentation; adoption records including public hearing documentation, supportive records, etc.; reports and surveys; related correspondence

Retention: Retain for six (6) calendar years from the date of adoption of the regulation or the date the proposal was abandoned.

Disposition: Permanent: Transfer to NDOT Records Management at, or before, three (3) years from adoption. Transfer to State Archives after the remaining retention.

TRDA 2014155 Summons and Subpoenas (Legal)

Reviewed: 2/12/2014

Description: These records document summons and subpoenas received or affecting an agency. The records may include related documentation.

Retention: Retain for one (1) calendar year from the date of the summons/subpoena.

Disposition: Destroy.

10. Occupational Safety

TRDA 2014001 Accident Reports - NDOT Personnel, Equipment or Property Involved (Occupational Safety)

Reviewed: 2/12/2014

Description: This record series documents the reports of accidents involving NDOT vehicles, property or equipment or NDOT personnel on official Department business. The files may contain, but are not limited to: accident report form with associated documentation including police reports; witness statements; insurance information; reports and records from other state agencies including the Attorney General, Risk Management Division and Budget Division; injury reports including copies of medical records; copies of repair statements; related correspondence.

Retention: Retain for three (3) calendar years from the resolution of all claims or any legal action, or from the date of the accident if no claims or legal action is involved.

Disposition: Destroy securely.

TRDA 2014055 Exposure Control Files (Occupational Safety)

Reviewed: 2/12/2014

Description: These records document the control activities used to avoid occupational exposure to blood or other potentially infectious materials (See OSHA standards in 29 CFR 1910.1030). The records may consist of, but are not limited to: Exposure Control Plan (See 29 CFR 1910.1030 (c) (1)); exposure determination documentation (See 29 CFR 1910.1030 (c) (2)); housekeeping documentation (See 29 CFR 1910.1030 (c)(4)); communication of hazards documentation (See 29 CFR 1910.1030 (g)(1)); exposure training (See 29 CFR 1910.1030 (g)(2) and 29 CFR 1910.1030 (h)(2)); related correspondence.

Retention: Retain for three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy.

TRDA 2014065 First Aid Records (Occupational Safety)

Reviewed: 2/12/2014

Description: These records document the single treatment and any follow up visit for the purpose of observation of minor scratches, cuts, burns, splinters and other injuries which do not ordinarily require medical care. Such treatment and any follow up visit for the purpose of observation are considered first aid, even if the treatment or visit is provided by a health care provider (See NAC 618.5506). The file may contain, but is not limited to: incident report of minor injuries; first aid log; supply requests including supply expenditure reports; first-aid kit inspection reports.

Retention: Retain for one (1) calendar year from the end of the calendar year to which they pertain.

Disposition: Destroy.

TRDA 2014076 Hazard Communication Program (Occupational Safety)

Reviewed: 2/12/2014

Description: These records document the Hazard Communication Program (Program) of an agency (See 29 CFR 1910.1200). Note: this Program may be a part of the State Safety Program, see NRS 618.383. The record may consist of, but are not limited to: Written Hazard Communication Program (See 29 CFR 1910.1200(e)(f)(g) and (h)); written information produced and received by the agency on hazardous material including first-aid bulletins; training documentation; emergency first aid procedures; related correspondence.

Retention: Retain for three (3) calendar years from the creation or receipt of material or supersession of the written Hazard Communication Program.

Disposition: Destroy.

TRDA 2014077 Hazardous Material Safety File (Occupational Safety)

Reviewed: 2/12/2014

Description: These records are used to provide information on hazardous materials stored and/or used by the Department as part of the Hazard Communication Program (See 29 CFR 1910.1200(e)). This record series is specifically limited to (a) hazardous material safety data sheets (HMDS) and (b) lists of hazardous materials in the workplace.

Retention: Retain for thirty (30) calendar years from the creation or receipt of material.

Disposition: Destroy.

TRDA 2014098 OSHA Injuries and Illness Files (Occupational Safety)

Reviewed: 2/12/2014

Description: These records document the activities of the Department in administering federal and state requirements for Occupational Safety and Health. The records may contain, but are not limited to: OSHA forms including OSHA 300 "Log of Work-Related Injuries and Illnesses," 300-A "Summary of Work-Related Injuries and Illnesses," 301 "Injury and Illness Incident Report," with supportive documentation; privacy log and related documents; instructional booklets, announcements, instructional form letters and memos.

Retention: Retain for five (5) calendar years from the end of the calendar year to which they pertain. Instructional booklets, announcements & notices may be disposed of when no longer administratively useful.

Disposition: Destroy securely.

TRDA 2014099 OSHA Inspection and Violation Files (Occupational Safety)

Reviewed: 2/12/2014

Description: These records document the citations received due to state or federal OSHA inspections and/or complaints about safety issues (See 29 U.S.C. § 651 et seq. and 29 CFR Part 1903). The record may contain, but is not limited to: Complaints with supportive documentation; Inspections, conferences, reviews, consultations, etc.; OSHA citations, postings and notices; Abatement documentation.

Retention: Retain for five (5) calendar years from the date of the inspection or abatement (close) of the citation, whichever is longer.

Disposition: Destroy.

TRDA 2014108 Personal Protective Equipment (PPE) Files (Occupational Safety)

Reviewed: 2/12/2014

Description: These records document the authorization, acquisition, training for, and maintenance of PPE for an agency (See OSHA standards 29 CFR 1910.132 to 141 and 29 CFR 1910.1030). The record may consist of, but is not limited to, information on: workplace hazard assessments; PPE selection and purchase documentation; damaged/defective equipment reports; PPE request and authorization records; PPE training records; PPE certification records; related correspondence.

Retention: Retain for three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014136 Safety Program Files (Occupational Safety)

Reviewed: 2/12/2014

Description: These records document the activities and functions of the safety program established by the Department in accordance with NRS 618.195. The record may consist of, but is not limited to: documentation of health and safety issues; copies of Year End and Mid-Year Safety Reports; copies of safety committee minutes; copies of OSHA forms; Emergency Action Plans (29 CFR 1910.38, NRS 239C.090); training program attendance documentation; related correspondence. Note: the safety policies of an agency fall under the retention requirements found in the NDOT General Records Retention and Disposition Schedule TRDA 2014112 "Policies and Procedures Development Files - Legal."

Retention: Retain for three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014173 **Workers Compensation Files (Occupational Safety)**

Reviewed: 2/12/2014

Description: These records are used by the Department's personnel representative, agency safety officer or other designated staff, to keep track of workers compensation claims filed by agency staff. The record may contain, but is not limited to: Workers Compensation claims, including subsequent injury claims, and related forms; reports and forms from insurers; reports from health care providers; OSHA reports and forms; copies of payroll documents; documents from Hearings and Appeals Officers; and related correspondence.

Retention: Retain for three (3) fiscal years from the closure, resolution or cancellation of the claim or case.
HIPAA compliance statement (45 CFR 164.524 (e)): this record series is exempt as outlined in 45 CFR 164.512 (l) and therefore does not fall under HIPAA access, disclosure or retention requirements.

Disposition: Destroy securely.

11. Open Meeting Law

TRDA 2014214 Meeting Notification Requests (Open Meeting Law)

Reviewed: 9/10/2014

Description: This record series documents the requests for notification of upcoming meetings (see NRS 241.020 (3)(c)). The information may include, but is not limited to: request and notification.

Retention: Retain these records for a period of one (1) calendar year from the date of the notification.

Disposition: Destroy Securely.

TRDA 2014091 Minutes of Public Bodies (Open Meeting Law)

Reviewed: 2/12/2014

Description: These records document the meetings of all public bodies (NRS 241.015) held in accordance with the "Open Meeting Law" (See NRS chapter 241). The record may include, but is not limited to: Meeting Notice and Agenda including amendments; Committee packets; Minutes including copies of documents presented during the meeting which were requested by a member of the public body or a member of the public to be included with the minutes (see NRS 241.035 (1)(d) and (e)).

Retention: Retain in a readily accessible location for a period of five (5) calendar years from the date of the meeting and then transfer to the State Archives. Records of decommissioned and inactive public bodies must be transferred immediately upon decommissioning to the State Archives for preservation (See NRS 241.035 (2)).

Disposition: Permanent: Transfer to NDOT Records Management at, or before, three (3) years from date of the meeting. Transfer to State Archives after the remaining retention.

TRDA 2014115 Posting Documentation (Open Meeting Law)

Reviewed: 2/12/2014

Description: These records document the posting of agendas and associated materials in accordance with the "Open Meeting Law" (See NRS chapter 241). The record may include, but is not limited to: fax cover sheets including confirmations of faxing; confirmation of posting forms; mailing lists.

Retention: Retain for five (5) calendar years from the date of the meeting.

Disposition: Destroy.

TRDA 2014116 Posting Records Received from Public Bodies (Open Meeting Law)

Reviewed: 2/12/2014

Description: These records document the posting of meetings for and in behalf of other public bodies in accordance with NRS 241.020. The records may include, but are not limited to: notice of meetings, including adoption of regulations, and agendas.

Retention: Retain until the date of the meeting or notice of cancelation of the meeting.

Disposition: Destroy.

TRDA 2014130 Recordings of Meetings (Open Meeting Law)

Reviewed: 2/12/2014

Description: These records are used to record the proceedings of meetings and to transcribe the minutes of public bodies (including boards, commissions, councils, committees, etc.). The records series includes audio and/or audio/visual recordings regardless of physical format.

Retention: Retain for one (1) calendar year from the date of the meeting.

Disposition: Destroy.

12. Personnel

TRDA 2014006 Affirmative Action/Equal Opportunity (EEO) Files (Personnel)

Reviewed: 2/12/2014

Description: These records document the Affirmative Action (AA) and Equal Employment Opportunity Act (EEO) programs as required by 29 CFR Part 1602, 29 CFR Part 1608 and NRS 613.310 to 613.435. The record may consist of, but is not limited to: EEO reports and supportive documentation (See 29 CFR Part 1604); AA Plan documentation (See 29 CFR 1608); self analysis surveys; organizational profiles; placement goals; compliance monitoring documentation including investigations, special reports, etc.; and related correspondence.

Retention: Retain for three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014009 Alcohol and Drug Testing Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document any investigation and follow-up work concerning employees suspected of being under the influence of alcohol and/or controlled substances while on the job (See NRS 284.406 and 284.407). The record may include, but is not limited to: copy of the "Acknowledgement of Employee's Receipt of the State's Policy Concerning Drugs and Alcohol" with related documentation; "Alcohol/Drug Test Consent Form"; "Report form for Suspected Alcohol/Drug Impairment; Breath Test Request form; Laboratory report forms with results of tests. Note: the form names may change; contact the Division of Human Resource Management.

Retention: Retain this record series for five (5) calendar years from the date the screening was completed. This record series must be maintained separately from other personnel files as required by NRS 284.4068 (2).

Disposition: Destroy securely.

TRDA 2014010 Americans with Disabilities Act (ADA) Compliance Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document compliance with the Americans With Disability Act. These files may include but are not limited to: Administrative reports; Public inquiries; Federal ADA inquiries; Copies of compliance reports; Related correspondence. Note: ADA complaints and disability records must be filed separately (see "Reasonable Accommodations Records" – TRDA 2014128).

Retention: Retain for a period of three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014011 Application Files (Personnel)

Reviewed: 2/12/2014

Description: This record series documents: (1) unsolicited applications received by an agency from individuals seeking employment other than through the regular recruitment process; (2) applications received to fill volunteer positions; (3) to apply as interested for an opening on a board or commission, or: (4) similar functions. The files may contain, but are not limited to: resumes; application forms with related documentation; educational transcripts, certificates, etc.; letters of recommendation, and; related correspondence.

Retention: Retain for one (1) calendar year from the date the application is received.

Disposition: Destroy securely.

TRDA 2014041 **Disciplinary Actions (Personnel)**

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document and monitor disciplinary actions taken against employees. The files may contain but are not limited to: copies of "Work Performance Standards"; "Employee Appraisal and Evaluations"; "Specificity of Charges"; written reprimand; forms from the Division of Human Resource Management and Employee-Management Committee; letters of advice from the Attorney General's Office; letters of instruction dealing with work performance and conditions; notes concerning oral warnings; notes on meetings with employee; related correspondence.

Retention: Retain for three (3) calendar years from the final action in the case.

Disposition: Destroy securely.

TRDA 2014043 **Employee Benefit Records (Personnel)**

Reviewed: 2/12/2014

Description: These records are used by the Department personnel representative to document and administer the benefit and insurance coverage of employees. The record may include but are not limited to: insurance and benefit enrollment forms including changes and corrections; authorization statements; COBRA actions including all related forms and documentation; and related correspondence

Retention: Retain for three (3) fiscal years from the fiscal year in which the records become inactive, expired or were superseded.

Disposition: Destroy securely.

TRDA 2014044 **Employee Insurance and Benefit Claim Files (Personnel)**

Reviewed: 2/12/2014

Description: These records are used by the agency personnel representative to document and keep track of claims filed by agency staff and document claims filed on behalf of the agency or those filed against the agency. The record may include but are not limited to: health insurance claims including copies of invoices, medical records, etc.; life and disability claims (not ADA files); property loss (Risk Management) claims including all related forms & documents; supportive documentation; related correspondence.

Retention: Retain for three (3) calendar years from the close of the claim or case.

Disposition: Destroy securely.

TRDA 2014045 **Employee Records (Personnel)**

Reviewed: 2/12/2014

Description: These records are maintained by the Department to document and administer the activities of agency personnel. The record may contain but is not limited to: Division of Human Resource Management forms and printouts including IFS reports; workplace safety acknowledgement and other OSHA forms; copies of the "Work Performance Standards", "Employee Appraisal and Evaluation" Forms and supportive documentation; "Alcohol and Drug Free Workplace" and other acknowledgements; discretionary information such as letters of commendation, resumes, news media articles, etc.; related correspondence. Note: The following records should NOT be placed in these files: employment verification documentation (INS I-9 and related records); pre-employment and recruitment documents; documents dealing with alcohol and drug testing; medical records and documents dealing with disabilities including ADA related records; investigative documents dealing with grievances and disciplinary actions; EEO complaints and related records; training and travel related fiscal records; time sheets and; documents relating to workers compensation claims.

Retention: Retain these records for three (3) calendar years from the end of the calendar year in which the employee separated from service or transferred to another agency. Discretionary information may be purged at the direction of the appointing authority or personnel representative when no longer useful to the agency. Original letters of commendation may, at the discretion of the appointing authority, be sent to the Division of Human Resource Management, Records Section. Records may be purged from the files under the following circumstances: By order of a Nevada Court of record; By order of a hearing officer – see NRS 284.091 & 284.390; By order of the Employee – Management Committee (see NRS 284.073 (5) and Attorney General Letter of Opinion dated Sept. 29, 1993); By order of stipulation, agreed statement, consent order or default in accordance with NRS 233B.12; The Division of Human Resource Management may remove any record which they determine by law or regulation should not be filed or any duplications of records, or as ordered by the Personnel Commission; By order of the Department Director or Agency Administrator in accordance with the instructions found in the Attorney General Letter of Opinion dated Sept. 29, 1993.

Disposition: Destroy securely.

TRDA 2014046 Employee Records-Not Hired by State Human Resources Management (Personnel)

Reviewed: 2/12/2014

Description: These records are used to document the work history and activities of employees of independent Boards, Commissions, Committees, etc., who were typically not hired through the State Human Resource Management Division. The record may contain, but is not limited to: job description, hire documents (including performance tests and rating sheets), employee appraisals, letters of commendation, reprimands, performance reports & standards, and similar documents; discretionary information such as: copies of memos, diplomas and educational transcripts, copies of training documents, news media articles and similar materials. Note: The following records should NOT be placed in these files: employment verification documentation (INS I-9 and related records); pre-employment & recruitment documents; documents dealing with alcohol and drug testing; medical records and documents dealing with disabilities (including ADA related records); investigative documents dealing with grievances and disciplinary actions; EEO complaints & related records; training and travel related fiscal records; time sheets and; documents relating to workers compensation claims.

Retention: Retain for thirty (30) calendar years from the end of the calendar year in which the individual separated from service. Records described under the term discretionary should be reviewed on a continuous basis, disposing of documents which are no longer administratively useful or are duplicates of records maintained elsewhere.

Disposition: Destroy securely.

TRDA 2014047 Employment Eligibility Verification Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document the verification of employment eligibility in accordance with the Immigration Reform and Control Act of 1986 as found in Title 8 of United States Code section 1324a. The record may contain, but is not limited to: US Department of Justice Immigration and Naturalization Form I-9 "Employment Eligibility Verification" (OMB No. 1115-0136) with attachments; Handbook for Employers (M-274); associated documents. Note: These files must be kept separate from other personnel records and accessed only by the appointing authority and/or his designated representative, the named employee, the agency legal counsel or legal counsel from the Attorney General's Office.

Retention: Send the I-9 and related documents to the Division of Human Resource Management, Records Section. Do not retain a copy of the I-9 and related forms: it is not required to make a copy of the documents presented as verification (the I-9 form when signed, is legal proof that the documents presented by the applicant were acceptable).

Disposition: Destroy securely.

TRDA 2014064 Fitness for Duty Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document the action when an evaluation is done to determine the employee's ability to perform the essential functions of the job due to a physical, mental or emotional disorder in accordance with NRS 284.355 (6) and NAC 284.611. The files may include, but are not limited to: incident reports with related documentation; certifications from health care providers including temporary disability return to work, and copies of medical records; copies of leave forms with supportive documentation; copies of payroll reports including time and attendance reports; "Recommendation for Separation" forms; hearing documentation including documentation from the Employee-Management Committee; related correspondence. Note: these records may be related to associated disciplinary, "Sick Leave," FMLA and/or "Reasonable Accommodation" / ADA files.

Retention: Retain for three (3) calendar years from the date of final action in the case.

Disposition: Destroy securely.

TRDA 2014067 FMLA (Family Medical Leave Act) Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document and regulate the granting and monitoring of family leave under the Federal Family and Medical Leave Act (See 29 U.S.C. § 2601 et. Seq.), and the State Parental Leave Without Pay Act (See NRS 284.360). The files may consist of, but are not limited to: "Requests for Leave of Absence" forms with related documentation; requests for parental leave without pay (NRS 284.360); copies of payroll documents; copies of medical reports and certification forms including Certification of Health Care Provider / FMLA form with related documentation; Notice of Family Leave Act (U.S. Dept. of Labor WH Publication 1420), FMLA fact sheet (No. ESA 93-24, US Dept. of Labor); notice of specific expectations and obligations; documents of disputes; documentation of employee benefits and insurance premium payment, etc.; related correspondence.

Retention: Retain for three (3) calendar years from the date of final action in the case. CAUTION: state agencies should be aware of the January 15, 2003 U.S. Supreme Court decision concerning FMLA in "Nev. Department of Human Resources vs. Hibbs et al" (#01-1368). Consult with your legal counsel or deputy attorney general.

Disposition: Destroy securely.

TRDA 2014069 General Personnel Administrative Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used to administer general personnel matters, other than payroll, within the Department. The record may consist of but not limited to: computer generated reports from the IFS Advantage™ system, other state agencies, the federal government and/or in-house work product; classification; recruitment; appointments; performance reporting; training; unemployment insurance coverage; and related correspondence. Note: these are not employee-specific documents, although they may contain the name of individual employees, but are general agency-wide records (for example: agency-wide position vacancy reports, agency-wide position status reports, agency-wide performance evaluation requirement reports, agency-wide employee training requirement reports, etc.).

Retention: Retain for three (3) fiscal years from the fiscal year to which it pertains.

Disposition: Destroy securely.

TRDA 2014074 Grievances Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document and monitor cases concerning grievances filed by an employee. These records should be filed separate from all other personnel records. The records may contain, but are not

limited to: letters of complaint; formal grievance documentation; investigation documentation and response to formal grievance; hearing and decision documentation from the Employee Management Committee; related correspondence.

Retention: Retain for three (3) calendar years from the final action in the case.

Disposition: Destroy securely.

TRDA 2014084 IRS Tax Documentation (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document the collection of income tax and federal insurance (See 26 CFR 31.6001-1, 26 CFR 31.6001-2 and 26 CFR 31.6001-5). The files may consist of but are not limited to: Payroll records documenting beginning and ending pay periods, total amount of wages earned in each payroll period, total wages, date of pay, account number, taxes collected with date of collection, etc.; personnel records documenting name, address, Social Security Number, rate of pay, date of hire, date of separation from service, dates worked, and related information; records documenting the adjustment and settlement of taxes, copies of returns including schedules and statements; copies of any statements furnished by employees; documentation of absence from work; withholding exemption certificates including W-4 and W-4E; related correspondence.

Retention: Retain this record series for a period of four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014101 Payroll Records (Personnel)

Reviewed: 7/8/2015

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document and administer the payroll activities of the Department for personnel purposes. This record series may consist of electronic records, computer generated reports from the IFS Advantage™ system, other state agencies, the federal government and/or in-house work product, and paper based files. These records pertain to, but are not limited to, information on employee: wages and salary; time and attendance; longevity; work schedules including authorizations for flex time and any alterations from a regular 40-hour work week or 8-hour work day; deductions to wages; retirement contributions; benefits; leave donations; taxes; unemployment insurance coverage; workers compensation; and related correspondence. Note: these are not to be confused with accounting / payroll (fiscal) records documenting employee pay and benefits earned; time, leave, and pay adjustments; payroll deductions; and payroll reports.

Retention: Retain for three (3) fiscal years from the end of the fiscal year to which it pertains.

Disposition: Destroy securely.

TRDA 2014121 Pre-Employment Medical Screenings (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (for example: a personnel officer) in the recruitment process for pre-employment medical inquiries in accordance with 29 CFR 1630.14 (ADA), NRS 284.4066 to 284.4068 and NRS Chapter 613. The files may contain, but are not limited to: Medical questionnaire (medical history) forms; exams for physical fitness; copies of health care records including blood work results, drug testing, results of medical exams by a health care provider, etc.; copy of the essential functions form; copies of job description; related correspondence.

Retention: Retain for three (3) calendar years from the date of the close of the recruitment process.

Disposition: Destroy securely.

TRDA 2014128 Reasonable Accommodations Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document requests for "reasonable accommodation" in the work place. This includes information regarding the medical and mental condition, history and work-related restrictions of an employee or applicant as permitted by the Americans with Disabilities Act (ADA, See 42 U.S.C. § 12101 et seq.). The files may contain but are not limited to: essential function forms; self-evaluations; copies of medical records including certifications from health care providers; documents relating to work related accommodations including formal requests for accommodations, responses, and related supportive documentations; related correspondence.

Retention: Retain for three (3) calendar years from the date of separation of employment with the agency, or for applicants that are subsequently not hired, from the date the recruitment was closed. NOTE: All records pertaining to any disability of an employee or applicant are confidential per 29 CFR 1630.14 and NAC 284.726 and must be filed separately from other personnel files and stored in a secure manner.

Disposition: Destroy securely.

TRDA 2014129 Recruitment Files (Personnel)

Reviewed: 2/12/2014

Description: This record series is used by the Department in the recruitment process for classified, unclassified and non classified positions. These positions may be permanent, temporary, provisional, emergency, seasonal or intermittent appointments. This record series is used when the Department does its own recruitments: the State Department of Personnel handles most recruitments and is responsible for maintaining those records. The files may contain but are not limited to: job descriptions and other personnel forms; copies of applications, applicant lists, etc.; examination documents including tests, questions for oral exams, workbooks, etc.; notices of scheduled exams and/or oral interviews; training and experience evaluation forms, physical performance forms; letters and notification to applicants; internal (agency) recruitment (or Hiring) committee documentation including member score sheets, interview questions, etc., and; related correspondence.

Retention: Retain for three (3) calendar years from the date of the close of the recruitment process. NOTE: The Department is not required to maintain recruitment files for classified positions -- this is the responsibility of the Division of Human Resource Management. However, if the Department chooses to retain the recruitment files, they need to be maintained in accordance with these requirements. If the Department chooses to do recruitment for unclassified and/or non classified positions, the recruitment files must be retained in accordance with these requirements.

Disposition: Destroy securely.

TRDA 2014144 Sick Leave Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document the authorization and use of sick leave (including Catastrophic Leave) granted to employees in accordance with NRS Chapter 284 and NAC Chapter 284. The files may contain, but are not limited to: incident reports with related documentation; certification from health care providers with related medical records; copies of leave forms with supportive records; copies of payroll reports; "Request for Catastrophic Leave" forms and other Committee on Catastrophic Leave documentation; related correspondence. Note: these are not to be confused with routine accounting / payroll files documenting sick leave.

Retention: Retain for three (3) calendar years from the date of final action in the case.

Disposition: Destroy securely.

TRDA 2014156 Supervisor Personnel Records (Personnel)

Reviewed: 2/12/2014

Description: This record series is used by the supervisor in the process of work performance evaluation and settlement of grievances. Access to these files is governed by NAC 284.718-726. The records may contain, but is not limited to: Copies of personnel forms and supportive documentation; letters of complaint and commendation; Letters of instruction dealing with work performance conditions; notes on oral warnings; notes on meetings with employee-supervisor; work plans and goals, and related correspondence.

Retention: Retain these records for no longer than one review period.

Disposition: Destroy securely.

TRDA 2014167 Unemployment Insurance Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document the payroll of employees for Unemployment Insurance purposes (See 26 CFR 31.6001-4, NRS 612.220, NRS 612.260 and NAC 612.020). The files may consist of, but are not limited to: payroll records documenting beginning and ending periods, total wages and date of pay, etc; personnel records documenting name, Social Security Number, rate of pay, date of hire, date of separation from service, dates worked, total, amount of wages earned in each payroll period and related information; records documenting amounts paid into the State Unemployment Insurance Fund (See 26 CFR 31.6001-4); Related correspondence.

Retention: Retain for four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014171 Volunteer Records (Personnel)

Reviewed: 2/12/2014

Description: These records are used by the person designated by the appointing authority (such as a personnel officer) to document the volunteer employees working for an agency. The files usually contain information on all volunteer employees instead of individualized files. The files may consist of but are not limited to: applications with supportive documentation; personal information sheets; RSVP and similar organizations documentation; policy acknowledgement forms; position descriptions; internship agreements; coursework credit documentation; confidentiality agreements; related correspondence.

Retention: Retain for three (3) fiscal years from the date of separation from service.

Disposition: Destroy securely.

TRDA 2014172 Work Performance Standards (Personnel)

Reviewed: 2/12/2014

Description: This record series is used by the agency appointing authority and supervising officers to establish a statement of principal assignments and responsibilities with the results expected to each employee in the Department. This Work Performance Standard (WPS) is the basis for the required probationary and annual work performance evaluations, and is also used when special and periodic evaluations are conducted. These assignments, responsibilities and expected results are placed upon the "Work Performance Standards" form and signed by the appointing authority, supervising officers and employee.

Retention: The WPS should be filed within the agency copy of the employee personnel file (see: General Records Retention Schedule, Personnel Records, "Personnel Files: Agency Copy"). The WPS on the NPD-14 form should NOT be sent to the Division of Human Resource Management for filing in the official employee service jacket. For use in grievances, the official copy of the WPS is the signed form at the appointing authority's office.

Disposition: Destroy securely.

13. Property Management

TRDA 2014007 Aircraft Maintenance File (Property Management)

Reviewed: 2/12/2014

Description: These records document the maintenance on aircraft (including helicopters) operated by the Department. The files may contain, but are not limited to: records of the maintenance, preventive maintenance, and alteration and records of the 100-hour, annual, progressive, and other FAA required or approved inspections, as appropriate, for each aircraft (including the airframe) and each engine, propeller, rotor, and appliance of an aircraft. The records must include: a description (or reference to data acceptable to the Administrator) of the work performed; the date of completion of the work performed, and; the signature, and certificate number of the person approving the aircraft for return to service; may also contain related correspondence.

Retention: Retain until the work is repeated or superseded by other work or one (1) calendar year after the work is performed, whichever is later.

Disposition: Destroy securely.

TRDA 2014008 Aircraft Operations File (Property Management)

Reviewed: 2/12/2014

Description: These records document the operation of aircraft (including helicopters) by the Department. The files may contain, but are not limited to: purchase documentation; The total time in service of the airframe, each engine, each propeller, and each rotor; The current status of life-limited parts of each airframe, engine, propeller, rotor, and appliance; The time since last overhaul of all items installed on the aircraft which are required to be overhauled on a specified time basis; The current inspection status of the aircraft, including the time since the last inspection required by the inspection program under which the aircraft and its appliances are maintained; The current status of applicable airworthiness directives (AD) and safety directives including, for each, the method of compliance, the AD or safety directive number and revision date, and if the AD or safety directive involves recurring action, the time and date when the next action is required; Copies of the forms prescribed by 14 CFR 43.9(d) for each major alteration to the airframe and currently installed engines, rotors, propellers, and appliances. Also includes related correspondence.

Retention: Retain for three (3) calendar years from the date the aircraft is no longer in service or has been sold. When an aircraft is sold, all records pertaining to airworthiness (See 14 CFR 91.417 (b)(2)) must be transferred to the new owner.

Disposition: Destroy securely.

TRDA 2014014 Asset Files (Property Management)

Reviewed: 2/12/2014

Description: These records document the management of assets (other than vehicles and structures) in the possession of the Department. The record series may contain but is not limited to: records which contain a description of the item, original cost, location of item, budget account information, copies of purchase orders with related correspondence, and; service and maintenance records for assets & equipment including maintenance history, copies of invoices of labor and parts, routine maintenance logs and related correspondence.

Retention: Retain for three (3) fiscal years from the end of the fiscal year in which the item was disposed of by the agency.

Disposition: Destroy.

TRDA 2014020 Building Security and Protection Systems Maintenance Records (Property Management)

Reviewed: 2/12/2014

Description: These records document the service and maintenance of security and fire protection systems and equipment, including fire extinguishers, emergency lighting systems, exit signs, intrusion alarm

systems, etc. The record may contain, but is not limited to: inspection records; maintenance reports; service logs & tags; supportive documentation; related correspondence.

Retention: Retain for three (3) fiscal years from the end of the fiscal year to which the record pertains.

Disposition: Destroy securely.

TRDA 2014050 Equipment Installation, Maintenance and Calibration (Property Management)

Reviewed: 2/12/2014

Description: These records document the installation, maintenance and calibration of equipment, including, but not limited to: installation documentation; calibration verification documentation, accuracy tests, operator certifications, maintenance documentation and related correspondence.

Retention: Retain for the life of equipment.

Disposition: Destroy securely.

TRDA 2014054 Excess, Lost and Stolen Property Files (Property Management)

Reviewed: 2/12/2014

Description: This record series documents the property in the custody of a state agency which has been lost, stolen or declared excess. The files may include: "Monthly Property Report" (Purchasing Div.) which specifies all equipment for which the Department is responsible which is lost, stolen, exchanged or deemed excess within the previous month; copies of purchase orders and other fiscal records, police and internal incident reports, memos and related correspondence.

Retention: Retain for three (3) fiscal years from the fiscal year to which they pertain.

Disposition: Destroy securely.

TRDA 2014066 Fixed Asset Inventory (Property Management)

Reviewed: 2/12/2014

Description: These records document and administer the process of the Department updating and reconciling an inventory of all the fixed assets having a value of \$500.00 or more in its' possession. The files may consist of, but are not limited to: A computer generated report from the Purchasing Division (Fixed Asset Inventory); copies of purchase orders and other fiscal records; copies of the "Monthly Property Reports", and; related correspondence.

Retention: Retain for three (3) fiscal years from the fiscal year to which they pertain.

Disposition: Destroy securely.

TRDA 2014083 Inventory Files (Property Management)

Reviewed: 2/12/2014

Description: These records consist of files used to inventory assets, equipment, supplies, evidence and similar items. The files may consist of, but are not limited to: Investigative reports; checklists; copies of documents involved in a review or audit; copies of inventories; inventory reports; related correspondence.

Retention: Retain these records for three (3) fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy.

TRDA 2014109 Pest Control (Extermination) Records (Property Management)

Reviewed: 2/12/2014

Description: These records are used to administer a pest control program (See 29 CFR 1910.141 (a)(5) - OSHA). The files may contain, but are not limited to: "Extermination Log"; incident reports; exterminator (contractor) reports; related correspondence.

Retention: Retain for three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy.

TRDA 2014140 Security Records (Property Management)

Reviewed: 2/12/2014

Description: These records are used to document the administration of the security program. The files may contain, but are not limited to: personnel identification (photograph) records; crime/incident reports;

vehicle registration files; visitor control log; inspection reports; key accountability records; investigation reports; associated correspondence.

Retention: Retain for a period of five (5) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy securely.

TRDA 2014142 Security Surveillance Recordings (Property Management)

Reviewed: 2/12/2014

Description: This record series documents routine surveillance recordings.

Retention: Retain recordings used as evidence or subpoenaed until all legal action has been resolved. Retain other recordings for a minimum period of seven (7) days or for the period needed to review the recordings, whichever is longer.

Disposition: Destroy securely.

TRDA 2014169 Vehicle Files (Property Management)

Reviewed: 2/12/2014

Description: These records document and administer the use and repair history of vehicles in the possession of the Department. The record series may contain but is not limited to: documents which contain a description of the vehicle, manufacturers owners and repair manuals, budget account information and copies of purchase orders; Service and maintenance records for vehicles including copies of invoices of labor and parts, routine maintenance logs and related correspondence.

Retention: Retain for three (3) fiscal years from the fiscal year in which the vehicle was disposed of.

Disposition: Destroy securely.

14. Voting

TRDA 2014110 Petition Sign-up Site Records (Voting)

Reviewed: 2/12/2014

Description: These records document the area within a public building that has been designated for the gathering of signatures on a petition (See NRS 293.127565). The record may consist of, but is not limited to: designation forms/letters sent to the Secretary of State and related correspondence.

Retention: Retain for one (1) calendar year from the submission of the form to the Secretary of State.

Disposition: Destroy.



NDOT RECORDS RETENTION AND DISPOSITION SCHEDULE

State of Nevada Department of Transportation | Records Management, Central Records Office
1263 S. Stewart Street, Room 013, Carson City, Nevada 89712 | (775) 888-7437