

# MnDOT Retention Schedule for 2021

## Purpose

[Minnesota Statutes §15.17; 138.17](#) and [Policy DM006](#) require MnDOT to make and keep all records necessary to accurately document the agency’s official activities. The MnDOT Retention Schedule sets rules for how long records must be kept and what happens at the end of their lifecycle.

## Content Key

Column Name	Definition
Retention Series Number	Unique numerical ID for each record series.
Record Series Title	Short name for each record series.
Description	Longer record series explanation.
Retention Starts At	Point that “Time to Keep in Years” begins.
Time to Keep in Years	Number of years that a record needs to be kept.
When Retention Time is Finished	Action required once “Time to Keep in Years” ends.

## Accountability

For questions regarding this document or to request it in Excel spreadsheet format, please contact:

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## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
1	Product/Service Complaint Management	Customer Response Management (unsolicited) Public issues/complaints and responses; general inquiries/input from public that warrant a response/product	Final	7
2	Market Research Materials	Information from Market Research Projects which may include: Analysis & Presentation Materials; Data Collection Documents; Market Research Plan; Market Research Request; Marketing Proposals; Project Lists; Relevant Notes; Survey Applications includes market research projects funded and performed other than by the Market Research.	Date created	5
3	Awards And Nominations	Awards given to MnDOT or awards presented by MnDOT, such as Paving Awards, FHWA awards, professional association awards, and others.	Date received	1
4	Interdepartmental Bulletins, Announcements, Circulars, And Notices	General internal notices from any office or district.	Keep newest only; if information is outdated, destroy or delete.	0
5	Commissioner's Correspondence	Incoming correspondence from citizens, and official MnDOT responses.	Appointment End Date	4
6	Distribution Lists	Distribution lists in any office or district for things such as news releases, publications, manuals, bulletins, etc.	Keep newest only; if information is outdated, destroy or delete.	0
7	Marketing Programs And Content	Communications, public affairs and outreach plans and programs.	Date created	5
8	Departmental Photographs	General, non project-specific photographs. (see project files for project specific)	Date created	0
9	News Releases	News releases, public service announcements, official public statements in any medium (interview, speech, online, etc.).	Date created	1
10	External Communications Publications	Brochures, guides, articles, posters, etc. for public communications	Keep newest only; if information is outdated, send to State Archive	0

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
11	Internal Communications Publications	Internal newsletters or similar publications	Date created	1
12	Websites (Internal and External)	Are used for reference only and are updated on a regular basis. Final records are not stored on the web. This includes youtube, ihub, etc...	Keep newest only; if information is outdated, destroy or delete.	0
13	Ombudsman Case Files	All records relating to pending, current, and past resolutions of issues that came before the Ombudsman.	Date created	5
14	Allotment Records & Appropriation	Budget data related to allotment and appropriation.	Date created	6
15	Budget Model: 5 - 20 Year Forecast Of Revenues And Expenditures	Long range budget models.	Date created	6
16	Budget Development	Budget development records such as requests, needs, justification and working papers.	Date created	7
17	Capital Bonding Building Requests	MnDOT requests for capital bond building projects.	Date created	7
18	Force Account Documentation	Includes Equipment Rate Approval Worksheet, Daily Equipment Labor Rental Record, Summary of Daily Force Account, and supporting documentation. 49 CFR 18.42	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
19	Land And Or Building Sales Record Packets	Original and Duplicate	Start of sales process	Permanent
21	Parcel Acquisition Agreements (Parcel File)	Acquisition agreement for each parcel of land acquired by MnDOT. This file could include Leases, Agreements, easements, terms and conditions of sale.	First contact with landowner	Permanent
27	Federal Aid Grant Management File	Grant file	Date created	Permanent
28	Professional Technical Vendor Bonds, Claims, Complaints	Records relating to performance bonds, claims against the bonds and complaints not covered elsewhere.	Final Disposition Date	7
29	Proposals for DB or CMGC Projects	Contractor proposals for Design Build or Construction Management/General Contractor projects	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
30	State Aid Financial Bond Records	Bond books	Life of Bond	5
31	Sub-recipient Single Audits	Annual audit reports of local government and nonprofit organizations to whom the department sub-grants federal funds. OMB Circular A-133; Required by Legislative Auditor.	Date created	4

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Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
32	Pre - Award Audit Files	Audit conducted prior to awarding a contract, based on the proposal	Date created	4
34	Federal Project Financial Files (FHWA)	The documents required by the Federal Highway Administration (FHWA) for financing federal projects.	Final Payment Date	11
35	Federal Aid Reimbursement Request And Voucher	Request for reimbursement. Required by Legislative Auditor.	Final Payment Date	4
36	Bank and Merchant Statements	Reflect payments for ABC Ramp access and MnPass accounts. Outside of OFM: for OFCVO reflects payments in Routebuilder, for Aeronautics reflects payments in Air Registration system.	Date created	10
37	General Ledger Trial Balance	SWIFT generated reports or MMB produced pdf reports of Account balances in the General Ledger (GL).	Date created	5
38	General Ledger Journal Entries	All records relating to general ledger entries not classified elsewhere. May include corrections, journal entries, reports, expenditures. All records relating to reconciliation of accounts not classified elsewhere	Date created	5
39	Agency Project Financial System	It tracks what MnDOT has paid on County and City State Aid Projects. SAAS	Final Payment Date	7
42	Aeronautics Grant Agreement (Excluding Land)	Aeronautics grants that do not involve land. MN Stat. 360.305 subd. (d)(1)	Contract Completion Date	20
43	Transit Asset Management Record	MnDOT Transit Asset Management Plan, Annual System Vehicle Condition Rating Report, Annual System Facility Monitoring Reports	Final Payment Date	10
44	County State Aid Highway (CSAH) Annual And Historical Apportionment Information	These are long term final documents includes how MnDOT apportioned State Aid money and how it was distributed. May include distribution data, screening board, apportionment books, annual apportionments.	Date created	Permanent
45	County & City Project Bids Close		Final Payment Date	7
47	County State Aid Highway (CSAH) Reconciliation Sheets	Monthly SAAS to SWIFT Reconciliation Sheets	Date created	Permanent
49	Average Bid Prices	Yearly report that gives all items used that year on construction projects let by MnDOT and the average unit price for each item.	Date created	10
50	Purchasing Card Application	Application for an employee to use a State credit card (also referred to as a P-card) or a telephone calling card.	Employee separation or Purchasing Card is cancelled	4
51	Department Requisitions	Requisition for Purchase (EIOR)	Date created	10
52	Warranty Information	Warranties for MnDOT assets (ice Buildings, Construction, Equipment, Services)	Warranty Expiration Date	0

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Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
53	Deposit Slip	Deposit with State Treasurer	Date created	4
54	Accounts Receivable Documentation And Invoices	Includes credit memos, invoices, statements, remittance advices and closing statements.	Date closed	4
55	Cash Voucher	All records relating to short term cash transactions. Could include receipts, approval forms, daily cash, etc. Required by Legislative Auditor.	Date created	4
56	Orders For Maps And Other Publications	Also known as Maps and Manuals Sales	Date created	0.25
57	Outdoor Advertising Device Fees	Can include rent or for sale signs. Required by Legislative Auditor.	Date created	4
58	Financial Reports	Nov and Feb Forecast and revenue reports	Date created	5
59	Damage restitution	May contain Invoices, Credit Invoices, Motor Vehicle Crash Reports, Damage Claim Reports and any additional supporting documentation	Closed Date	4
60	Account And Resource Tracking Codes Maintenance	Maintenance of various accounting codes, office codes and other tracking codes. Required by Legislative Auditor.	Date created	4
61	Construction Project Letting Data And Tabulations Reports	All records relating to the letting of data and tabulations relating to a single project.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
62	Construction Project Procurement - Proposals	Technical and Price Proposals for construction projects, may include construction project awards, submittals, abstracts and unsuccessful bids. 49 CFR 18.42	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
63	Project Final Documentation Submittal	The documentation used to final out a construction project. May include Small Business Contracting (DBE, TGB, VETS) Contract Clearance And DBE Goals. 49 CFR 18.42	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
64	Employee Expense Report	Employee expenses and supporting documentation	Payment Date	4
65	Out Of State Travel Employee Package	Out of state travel employee package may include Requests, Agendas, quotes, tickets, Itinerary, reservations, summaries.	Payment Date	4
66	Out Of State Travel Plan And Reports By Office	Out of state logs and summaries by office	Date created	5
67	Financial Expenditure Reports	Records about financial expenditure not classified elsewhere.	Date created	5

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Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
68	Request For Reimbursement Of Special Expenses	All state agencies are required to comply with MMB Administrative Procedure 4.4. Special expenses are expenses incurred in connection with official functions of an agency or assigned duties of a State employee, which are not addressed in other expense regulations.	Payment Date	4
69	Fuel receipts	Fuel receipts for MnDOT vehicles. May include random fuel audit receipts.	Date created	4
70	Tax Statements	Property tax statements. Required by Legislative Auditor	Payment Date	4
73	Affirmative Action Reports	Quarterly or annual affirmative action statistics by job category, submitted to Minnesota Management and Budget (MMB) and/or Federal Highway Administration (FHWA). Required by Legislative Auditor	Date created	4
74	Affirmative Action Plan	Plan containing information by professional class, submitted to Federal Highway Administration (FHWA) and/or Minnesota Management and Budget (MMB). The purpose is to reach equal employment opportunities for all persons. Required by Legislative Auditor	Date created	4
75	Employment Verification/and Background Check (Employees Hired)	Background check results. Documents may include, but are not limited to: Credit checks, licenses, criminal checks, education verification, employment checks, and/or driver's license.	Separation Date	4

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76	Employment Eligibility Verification Form (I-9)	Required for identity and work authorization documents. 8 U.S.C. §1324(a) (Immigration and Nationality Act) Private - MN Stat. 13.43 subd. 2; ALSO 8 CFR 274a.1	Separation Date	Retain completed Form I-9 for as long as the individual works for the employer. Once terminated, either 3 years after date of hire, or 1 year after date employment is terminated, whichever is longer.
77	Equal Employment Opportunity Commission (EEOC), Mn Department Of Human Rights And Discrimination Charges	Formerly known as EEO Complaint Hearing File. 29 CFR 1602.14	Final Disposition Date	5
78	Employee Grievances And/Or Complaints	Filed under a labor agreement; resolved up to, and including, through the third step and arbitration.	Final Disposition	7 years
79	General Harassment Complaint File(s)	Complaints of conduct that have the effect of interfering with employee's work performance that may cause fear, create an intimidating, hostile or offensive work environment.	Separation Date	4
80	Civil Rights External Investigations	MnDOT investigates external parties; scope could include Title VI, Title VII. Required by Legislative Auditor	Investigation Close date	4
81	Reasonable Accommodation Request and Documentation	Employment-related reasonable accommodation requests, whether granted or not. 29 CFR 1602.31	Whichever is later, separation or personnel action	2 years

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82	Personnel File	Can include but is not limited to: Achievement Awards and any related documentation, Military documentation, Conflict of Interest requests, Correspondence with or about employees (NOT related to Affirmative Action, Worker's Compensation, Labor Relations, or Vacancy Filling), and Discipline. Employee performance reviews, Interagency request for State employee services. Documentation re: Layoffs, Leave of absence, Requests for leave of absence, Personal leave or separation documentation. Position description. Telecommuting agreement.	Separation date	4
83	State Employee history cards	Documents with employee data prior to SEMA4 (1995). May include any type of transaction that occurred, i.e.hire, promotion, end of probation, progress increase, separation. 29 CFR 1602.31	Separation date	4
84	Employee Payroll Documentation	This supporting documentation could include time sheets, various pay adjustments and authorization forms to support the payroll processing function payroll audits	Date created	4
85	FTA drug testing	Required for federal oversight	Date created	3
86	Employee Related Lawsuit File(s)	Lawsuits alleging violations of state/federal anti-discrimination laws and corresponding settlement agreements; Human Resources lawsuits in general.	Date created	7
87	Employee Investigations	Employee workplace complaints and disputes that have the potential to lead to discipline. Written reports and/or data related to employee related misconduct. Includes but is not limited to Employee Internet Use Logs And Access Violations, Logs created to monitor Internet use by employees, and reports on password or data access violations.	Separation date	6
88	Strike Plans	Establishes procedures and responsibilities for management in preparation for and during a union strike.	Date created	1
89	Seniority Rosters	A list that defines an employee's length of service in specific classifications.	Keep newest only; if information is outdated, destroy or delete.	0



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91	Organizational Charts And Narratives	Organization hierarchy and structure.	Keep newest only	0
92	Commissioners Transition Packets	Transition packages are developed to support organizational transitions and reorganizations.	Keep newest only; if information is outdated, send to State Archive	0
93	Construction Inspection Certification Class Attendance Records	These records are generated by a construction inspection certification program.	Date created	2
94	Training Course Materials	All records relating to training course materials not otherwise classified. Course Curricula.	Keep newest only; if information is outdated, destroy or delete.	0
95	Employee Training Records	Employee specific training records. MN Rules 5206.0700 subd (d) (hazardous materials training)	Separation Date	4
96	Tuition Reimbursement Forms	The request, approval and record of classes taken and reimbursed through the program.	Date created	4
97	Class Training Records	Records about a specific training class such as attendees, applications, schedules, etc. MN Rules 5206.0700 subd (d) (hazardous materials training)	Date created	3
98	Bridge Safety Inspection Certification	Bridge safety inspection inspector certification	Date created	10
99	Worker's Compensation Files	Records relating to a work inquiry including the initial work injury documentation the workers compensation activities and relevant case communication.	Completion Date	7
100	MnDOT Motor Vehicle Accident Reports	These are the actual documents filled out when a motor vehicle accident occurs. Once they are put into the database tracking MnDOT Vehicle accidents, they can be destroyed.	Completion Date	10
101	Employee Primary Medical Records	First Certification File could include: Insurance Applications, Report of Workability, Supervisor's Incident Investigation Report, Incident Description form, Return to Work Form, Fitness for Duty, Medical Exam Evaluation Results, Medical Referral and Authorization. FMLA Certification. 29 U.S.C. § 260;29 and 29 C.F.R. § 825.500 Private - MN Stat. 13.43 Title 29 › Subtitle B › Chapter XVII › Part 1910 › Subpart Z › Section 1910.1020	Separation Date	4

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102	Employee Exposures, Monitoring, Evaluation And Related Medical Records	Records monitoring the use of a toxic substance or harmful physical agent, and related medical records concerning the health status of an employee. See separate record series for lead exposure. 29 CFR 1910.1020	For exposure records, Date of Exposure plus 30 years; for medical records, Separation Date plus 30 years	30
103	Hearing Conservation - Audiometric Test	Testing to determine if employees are experiencing hearing loss. The testing is done by a contracted vendor. 29 CFR 1910.95(m)(3)	Separation Date	0
104	Employee Lead Exposure	Monitoring of employee lead exposure. 29 CFR 1910.1025(n)(1)(iii)	Separation date plus 20 years, or no trigger plus 40 years, whichever is later	20 or 40
105	MnDOT Safety Audit/Inspection Reports	All audits or inspections related to safety or security not used elsewhere.	Date created	3
106	Commercial Driver Drug And Alcohol Process & Testing	Includes alcohol test results of 0.02 or greater, positive controlled substance test results, documentation of refusals to take tests, driver evaluation and referrals, calibration information, testing program administration records, and annual summary. Includes records related to the alcohol and controlled substances collection process 49 CFR 382.401(b)	Date created	Positive results (positive for controlled substances, 0.02 or greater for alcohol), 5 years; Negative results, 1 year.
107	Hearing Conservation - Noise Exposure	This is testing conducted by the MnDOT Industrial Hygenist to determine what noise levels employees are exposed to as they perform their job duties. 29 CFR 1910.95(m)(3)	Date created	2
108	Safety Data Sheet (SDS)	Previously Materials Safety data Sheets (MSDS). May also include chemical data files	End of Use Date	30
109	OSHA 300 Logs	These are OSHA mandated forms that employers are required to fill out to record work related injuries and illnesses that meet certain criteria established by OSHA. 29 CFR 1904.33	Date created	6
110	Permit Required Confined Spaces	When employees enter confined spaces they are required to fill out a permit.  This is an OSHA requirement.	Date created	1
111	Respirators - Fit Tests	This is an OSHA requirement. Employees assigned to wear a respirator need to be tested to make sure the respirator fits properly. It is required to be done annually. 29 CFR 1910.134(m)	Keep newest only; if information is outdated, destroy or delete.	0

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112	Chemical Lab Hygiene Plan	This is an OSHA requirement. Labs are required to have a Hygiene plan that addresses safety and health concerns specific to their location.	Keep newest only; if information is outdated, destroy or delete.	0
113	Flight Check Report	Federal Aviation Administration (FAA) inspection of radio navigation aids.	End of Service Date	7
114	Airport Licensing And Correspondence File	For public/private and personal use airports.	Closed Date	5
115	Aircraft Flight Logs	Log of every flight	Date created	4
116	Pine Creek Airport File	For Pine Creek Airport records ONLY. Special issue as it is jointly owned by USA and Canada.	Date created	Permanent
117	State Bicycle Map	Files about bike system as a whole both proposed and current.	Keep newest only; if information is outdated, destroy or delete.	0
118	Bridge Construction Records	Records relating to a specific bridge and to the waterway, including but not limited to pile driving reports; bridge survey; structural metals fabrication; testing reports; quality control reports; certificate of compliance; construction plans; as-built plans.	Bridge removal	1
119	Pre-stressed Concrete Bridge Girder Construction and Box Culverts greater than 12 feet.		Bridge removal	1
120	Bridge Ratings For Counties And Municipalities		Date created	Permanent
121	Bridge Reports, memos	Field contact reports, Historic management plans, Bridge planning reports, posting memos, fatigue analysis reports	Bridge removal	1
122	Drainage System Design, Construction, and Operations	Records related to drainage systems that include drainage area maps, calculations, model outputs, construction and maintenance information.	Removal Date	0
124	State Project photos showing environmental conditions	Photos of pre and post-construction conditions so we can defend projects or know the extent of damage. Photos of permitted conditions so we can maintain to those permitted conditions.	When Structure is removed	0

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Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
125	FEMA land files	Flood or water over the road. When we go back and try to understand a problem site. If a road goes underwater, that is a hazard that should have attempts made to rectify during the next project.	Until mitigated	0
126	Intersection Files (Long-Term)	Intersection files including cabinet prints, ramp metering, signalized intersections, schedules, etc.	End of Service Date	0
127	Signal Shop And Traffic Signal Maintenance Reports (10 Year Intersection Files)	May include but is not limited to system turn on or turn off, retroreflective data, signal maintenance reports for intersections, source of power.	Date created	10
128	Rail Crossing File List	This is the filing system/indexing for rail crossing "D" and "F" files, railroad agreement files related to Trunk Highway construction projects and Railroad right of way files that do not have parcel numbers assigned to them.	Keep newest only; if information is outdated, destroy or delete.	0
129	Rail Clearances	Applications under MN Stat. §219.047 for a variance of the clearance requirements around RR tracks	Date created	Permanent
130	Rail Crossings	Applications under MN Stat. §219.072-219.074 to establish, change or vacate a rail grade crossing	Date created	Permanent
131	Condemnation Files	All records related to the condemnation of property for Right of Way. May include Final Certificate	Date created	Permanent
132	Project Turn back File	All records relating to the turn back of MnDOT right of way.	Signed agreement	Permanent
133	Unsuccessful Conveyance	If a conveyance does not sell is dropped or denied by the district.	Time of non-sale, date when drop or denied status set.	Permanent
134	Right Of Way Property Sales	This relates to the transaction itself.	Request from landowner	Permanent
135	Plan Approvals (Plans And Grade)		Date created	Permanent
136	Right Of Way Certification		Letting	Permanent
137	Rail Abandonment Status File	This file contains information about contacts made to shippers on lines that a railroad company plans to abandon. It also contains notifications to municipalities, counties, and legislators.	Date created	Permanent
138	Building Removal Construction Plans	All documents relating to building removal. Hazardous waste and remediation are classified elsewhere. May include Building and bridge demolitions,	Date created	Permanent
139	Public Lands Survey Records	Records of the Public Lands Survey System (PLSS) corner monuments	Date created	Permanent

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
140	County Ditch Files	County Ditch files as they relate to State Right of Way. Documentation on whose feature it is, assessment costs, maintenance and ownership	Date created	Permanent
141	Parcel File	All records relating to the purchase, sale, or conveyance of a parcel of land for MnDOT Right of way unless otherwise classified. May include Remediation, appeals, appraisals and their records, Appraisal Reimbursement Form, Tax assessments, Certificate of title, Settlements, Easements, Encroachments, Offer Letter, Warranty Deed compensation for landowner impacts (easements, drainage, agreements etc.), Building sketches, Records related to the actual money transfers related to Right of way purchasing, Environmental Investigation documents. May include invoices, interest information, closing costs, incidentals, reimbursements, appraisal reimbursement form, Building Books And Ledgers. etc.	First contact with landowner	Permanent
142	Land Management Work Orders	All records related to land management work orders. Required by Legislative Auditor	Work Complete Date	4
143	Relocation	All records related to the relocation of MnDOT Right of Way. Right Of Way Relocation Payments	First contact with landowner	Permanent
144	Right Of Way Project Review Files	Right of Way project review files.	Project initiation	6
145	Utility Coordination	Central Office records include Notice & Orders (N&O); N&O Letters; other correspondence between Central Office and utility owners. District records include: Utility Identification Letters; Utility Meeting Letters; Requests for Relocation Plans; Verification Letters; Previously Issued N&O Letters; Easement questionnaires and responses; other correspondence between District and utility owners; relocation plans received from utility owners.	Date created	Permanent
146	Purchased plats and surveys for Land management	Purchased or acquired copies of subdivision plats, condominium plats, county right of way plats, registered land surveys, certificates of survey, etc. used for land management business purposes should be retained and not disposed.	Date created	Permanent
147	Certificates of Location of Government Corner	This document records information related to the location of a Public Land Survey Section Corner and is typically recorded in the County Recorder's Office in which the specific section corner is located.	Date created	Permanent

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148	Survey Reports for MnDOT R/W Plats	This is a report that documents the survey activities related to the R/W plats including PLSS Section Corner history, Subdivision monumentation search efforts, what was found, coordinate lists, pictures, permission notices, concerned citizen response to field work, alignment recovery and related data	Date created	Permanent
149	Short term right of way permits	Permits that are not required to be kept long term. For example Parade permits	End of fiscal year	2
150	District Level Survey & Mapping Data	All final data relating to the retracement of former surveys (including the PLS), boundaries, title lines, centerline alignments, survey monuments, and all data relating to the production of construction plans.	Date created	Permanent
151	Infrastructure Asset Inventory and inspection Data	Non-bridge and non-pavement asset inventory, inspection and condition data. Includes signals, lighting, ITS, WIM/ATR, signs, ERS, noise walls, traffic barrier, and pedestrian infrastructure	Date created	Permanent
152	Maintenance Activity Data	Non-bridge and non-pavement activity data that includes asset maintenance and operations data such as mowing, spraying etc	Date created	Permanent
153	Control Section & Route Numbering Files	All information regarding a control section on the highway system. May include Control Sections, Bridge And Job Numbers And Codes.	Date created	Permanent
154	Traffic Forecast	Traffic forecast reports. May include Truck Weight And Vehicle Classification Studies (Traffic Data)	Date created	20
155	Functional Classification Reports And Studies	Functional classification reviews and reports; truck weight and vehicle classification studies	Date created	Permanent
156	Great River Road Information (Long Term)	Great River Road records needed for long term such as Grant in Aid Records, FHWA Authorizations, Historic Records, and road slides.	Date created	Permanent
157	Great River Road Information (Short-Term)	Information about the Great River Road which is short term in nature, such as correspondence, Contact reports, etc.	Date created	10
158	Municipal And County State Aid Highway Mileage Reporting And Certification	Municipal State Aid Street (MSAS) and County State Aid Highway (CSAH) mileage for reporting to the Federal Highway Administration (FHWA).	Date created	Permanent
159	Pavement History	Previously called Roadway History or Road Life Cards.	Date created	Permanent
160	Interstate Highways Files	Short term information and reports on the Interstate highways. May include highway signing layouts.	Date created	10

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161	Log Point Listing	Sequential listing of landmarks one crosses when driving along road in the increasing (reference post) direction	Keep newest only; if information is outdated, destroy or delete.	0
162	Road Changes Updates	Files related to road status	Date created	3
163	Highway Performance Monitoring System	Documents and data supplied to the FHWA on an annual cycle for the HPMS, a national highway information system including data on the extent, condition, performance, use and operating characteristics of the nation's highways. The HPMS also contains administrative and extent of system information on all public roads.	Date created	Permanent
164	Noise Measurement Data	Traffic noise measurement collected by MnDOT starting in 2009	Date created	Permanent
165	Traffic Safety Program Studies And Reports	Includes traffic safety programs such as the Highway Safety Improvement Program (HSIP) and Toward Zero Deaths (TZD).	Date created	10
166	Americans With Disabilities Act (ADA) Reporting	Reports for pedestrian infrastructure compliance (curbs, signals, etc.)	Date created	5
167	Airport Construction Project Numbers	Assignment of state project numbers for airport construction projects.	Date created	Permanent
168	Bridge Project File	The final project documentation for a bridge project. 49 CFR 18.42	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
169	Radio Site And Tower Construction Documentation	Radio site and tower construction information.	End of Life of Radio Site or Tower Date	0
170	Environmental Project Record		Date created	11
171	Public Hearing Records	Public hearing information related to transportation projects such as notices, correspondence, transcripts, etc.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
172	Construction Project Files (Final)	The final documentation of a State Project (SP) or State Aid Project (SAP). May include Final Documentation Submittal Form, Overrun/Underrun Report (FFO, or SAFO projects), Statement of Estimated Quantities Plan Sheet(s), All Change Orders, All Work Orders, Final Voucher Date Tracking Form, Final Vouchers with Certificate of Final Contract Acceptance; Minnesota State Withholding Tax Form IC-134; (Only Prime Contractor copy is required with Final records; Subcontractors IC-134 can remain in Engineers files.), Final Inspection Report by Construction Standards Engineer. (District State Aid Engineer or designee for State Aid projects.), Material Certification Exceptions Summary Form TP-02171-04. 49 CFR 18.42	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
173	Rail Project Files (Contracts Including Status Reports)		Final Payment Date	21
174	Construction Project working files	Temporary documents which would not be submitted to the final project file. May contain solicited project public engagement.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
175	Project Planning And Scoping	Includes project planning lists and reports, scoping reports, project summary reports, total project cost estimates, etc.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
176	Design Memorandum	The Design Memo documents the design standards and the design exceptions, if any, for a highway project.	Date created	40
177	Environmental Monitoring Documentation And Data	MnDOT environmental monitoring of air, water, noise, etc.	Date created	25
178	Cultural Resources	Cultural Resources - Documentation to support the Cultural Resources Unit's (CRU) findings for MnDOT or local agency projects and includes reviews of historic and archeological sites.	Date created	Permanent
179	Endangered Species Consultation	Records related to endangered species as part of the Environmental Review Process includes items such as correspondence, biological opinions and biological reports.	Date created	10
180	Forestry And Vegetation Plan And Assessment	The planning and valuation of vegetation on MnDOT ROW and includes items such as forestry plans, tree valuations, vegetation reviews, etc.	Date created	8



## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
181	Categorical Exclusion Determination (Formerly Project Memo)	Environmental document required for minimal impact projects. Typically used when an EA or EIS is not required.	Date created	10
182	Contaminated Materials – Highway, Transit & Other Multi-Modal Construction	Contaminated soil or groundwater investigations conducted for construction projects. Critical documents include Phase I Environmental Site Investigation and Phase II (drilling) Investigation final reports. May include Project correspondence, notes and research; Regulatory agency correspondence, applications and approvals; Other final reports; Environmental agreements/covenants; and Photo logs.	Date created	Permanent
183	Water Quality Project Files	These files contain information about water quality testing for various sites in Minnesota.	Date created	30
184	Environmental Impact Statement	All records that are a part of the Environmental Impact statement such as Final Scoping decision, Interagency statements, MnDOT decisions, Final, section 4(F), section 6(f), determinations, etc.	Date created	Permanent
185	Regulated Materials – Highway, Transit & Other Multi-Modal Construction	Assessment, removal and management of regulated materials for bridge demolition or rehabilitation, and building demolition or relocation. Also asbestos containing waste materials (dumps) and asbestos pipes.	Date created	Permanent
186	Wetland Conservation Act And Project Files	All data, forms, permits and financial transactions documenting wetland development whether it impacts or creates a wetland and compliance.	Date created	25
187	Design Computations - Bridge		When Structure is removed	0
188	Bridge Design Working Files	Temporary documents that would not be submitted to the final project file.	Final Payment Date	1
189	Municipal Consent Files	Includes the Municipal Consent submittal package (transmittal, request, copy of staff approved layout (the staff approved layout record is retained separately), project report, and city cost share estimate); City Council Resolution; other official correspondence including changes, new layouts, or appeals as applicable, staff approved layouts, Environmental Assessment Worksheets And Documentation.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
190	State Aid Plans	Counties and municipalities send original copies of plans to State Aid for approval.	Date created	Permanent

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
192	Construction Plans	This could include Original Construction Plans, Original Consultant Plans, As Built Construction Plans or As Let Plans.	Date created	Permanent
193	Plans by Other Agencies for Work on Trunk Highways (Cooperative Work)	Filed with road plans or scanned for plan file or State Aid.	Date created	Permanent
195	Projects Rejected	Includes all types of rejected projects that are not classified elsewhere.	Date created	3
196	Program Plans	Various program plans such as DBE Program Plan, Title VI Program Plan, and others.	Keep newest only; if information is outdated, destroy or delete.	0
197	Federal and Interstate Status Records	Project Development and construction Dates in State Aid Project development Database	Date created	Permanent
199	Project Tracking And Activity Information	Any records relating to the tracking or activities of a project such as Status Updates, Activity reports, etc.	Date created	5
200	Historical Roadway Plans/Concepts	Original plans and concepts of roads that have been built in the past. A concept shows how a road was intended to be built.	Date created	40
201	Research Project File (Final Deliverable)	Deliverables, such as final reports, from formal Research Projects.	Date created	Librarians discretion
204	Applications & Proposals For State And Federal Aid Grants	All records relating to the application and proposal to State and Federal Aid grants not covered elsewhere.	Final Payment Date	7
205	Bridge Repair Recommendations	Bridge Preservation and Rehabilitation Recommendations	Bridge removal	1
206	Maintenance Preservation Program	Includes Bridge and Road Conditions (BARC).	Date created	10
207	Statewide Modal Transportation Plans	Major multimodal and modal (transit, rail, highway, bike, etc.) investment plans and transportation plans, including planning reports that are legislatively or federally required. STIP used to verify local agency projects for annual federal-aid reporting	Date created	Permanent
208	Rail, Ports And Waterways Program Studies And Priorities	Related to freight, waterway, rail, and/or corridor matters.	Date created	5
209	Development Reviews	Site development reviews, planning documents and development proposals that are submitted by local units of government (LGUs) that affect or potentially affect a State or U.S. Highway or Interstate Highway; and MnDOT's review and responses.	Date created	10
210	4 year construction program	All development and final document records, including project ranking/scoring processes, related to the development of the 4-Year Capital Program for MnDOT.	End of fiscal year	20

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
212	Planning Studies And Reports	This line may include items such as Highway Bypass, Transit and other general planning studies.	Date created	10
213	Metropolitan Planning Organizations	Metropolitan Planning Organization Unified Planning Work Program (UPWP), Metropolitan Planning Organization Long Range Transportation Plan (LRTP), etc.	Date created	7
214	Value Engineering Program	Program documents and value engineering studies performed on federal-aid highway projects.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
215	Historically Significant Bridges	When a bridge reaches end of life and the bridge files are up for disposition, if MnDOT or Minnesota Historical Society deem it historically significant it can be reassigned to this record series.	When Structure is removed	0
216	Historical Road And Bridge Photographs	Includes indexes, prints, negatives, control photos, etc.	Date created	Permanent
217	Library collection	Anything cataloged by, on the shelves or within the possession of MnDOT library	Librarians' discretion	Librarians' discretion
218	Railroad Time Tables	May include schedule and status for commercial rail, commuter rail, light rail transit	Keep newest only; if information is outdated, destroy or delete.	0
220	Construction Project Log And Progress Records	Construction Diaries (Engineer and inspector), Daily Work Reports (DWRs), Changes in Construction Status reports.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
222	Data Practices Requests And Responses	Data Practices; Requests, correspondence, responses, and any other data requested or supplied under the Minnesota Government Data Practices Act.	Final Disposition Date	7
223	Daily Road And Weather Condition Reports	This is the 511 public info service for road conditions.	Date created	7
224	Weather Observation And Access Program Information	This includes National and Minnesota weather observation and access programs, including correspondence and contracts with cities and the FAA.	Program End Date	3
225	Accomplishment report summaries	Reports of maintenance activities completed. May also include reports. Monthly snow and ice reports etc. – different than Maintenance Activity Data	Date created	3

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
226	Bridge Inspection, Rating, Maintenance And Repair Reports	Records relating to the inspection and maintenance of bridges, including inspection reports, load rating reports, and maintenance records.	When Structure is removed	0
227	Airport Inspection File	Inspection of airport pavement, building facilities, safety, etc.	Keep newest only; if information is outdated, destroy or delete.	0
228	State Rail Administration Inspection	FRA data collected by our state FRA-certified inspectors	Date created	10
230	Landscaping Records	All landscaping records such as plans, materials list, data sheets, etc.	Final Payment Date	10
231	Pesticide Application Record	There is a legal requirement to maintain pesticide application records. MN Stat. 18B.37 Subd. 2	Date created	20
232	Traffic Control Documentation For Maintenance Operations	Includes the information necessary to substantiate that due diligence was used in planning traffic controls for maintenance work zones such as lane closures.	Date created	0.08
233	Building equipment regulatory inspection	Records of inspection of air compressors, hoist, etc.	Life of equipment	0
234	Aerial Lift inspections	Records of aerial lift inspection	Life of equipment	0
235	Certification of materials	MnDOT Construction Materials Inspections	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3. BEFORE DISPOSAL, REVIEW FOR ITEMS OF HISTORICAL VALUE
236	Foundations And Geologic Reports	Foundation recommendations and reports, including calculations, boring logs, piezometer logs; Geologic reports	Date created	Permanent
237	Independent Assurance Sampling & Testing (IAST)	Information on project materials sampling and testing, used by Independent Assurance reviewers to verify that the testers and equipment are trained and calibrated. 49 CFR 18.42	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
238	Vibration Monitoring Data	Information on the noise and vibration analysis and reports from specific projects.	Date created	Permanent

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
239	Proctor Test	Sieve analysis, field moisture, and relative density test reports	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
240	Liquid Limit - Plasticity Limit Determination	The Liquid Limit of a soil is the water content at which the soil passes from a plastic to a liquid state. The Plastic Limit of a soil is the lowest water content at which the soil remains plastic.	Date created	Permanent
241	Bituminous Quality Management Project	Bituminous testing is generally done by the contractor.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
242	Concrete Test Beam Data	Concrete control beam specimens are intended to verify opening strengths and therefore cure them in a similar manner as the pavement. Third point loading recording charts are used to determine the Modulus of Rupture for each control beam specimen.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
243	Lab Test And Inspection Reports	All data and reports for lab tests not associated with bridges	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
245	Rock Core Samples	All rock cores tested in MnDOT. Send representative Physical Material samples to DNR after testing.	Test Completion Date	0
246	Structural Metals Test And Certifications	This includes structural metals test and certifications (metallurgical, chemical, physical, pilings, radiographs and mills.	When Structure is removed	0
247	Automatic Traffic Recorder Data And Summaries (Continuous Data)	This is continuous data, as distinguished from short duration data. Truck Weight Data From Weigh In Motion (WIM) Sensors. Truck Weight And Vehicle Classification Studies (Traffic Data).	Date created	30
248	Traffic Volume Count Data (Short Duration)	This is short duration data as distinguished from continuous data. Vehicle Classification Count Data (Short Duration) And Data Summaries	Date created	30
249	Speed Data And Speed Data Summaries	Speed studies & samples	Keep newest only; if information is outdated, destroy or delete.	0

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
250	Traffic Camera Video	Video imagery recorded from public access highway and freeway traffic management monitoring and detection.	Date created	3 days
251	Traffic Camera Video involving crashes resulting in severe injury/death, or major structural damage	All video clearly depicting a fatality, significant injury, or substantive damage to infrastructure event taking place on MnDOT right of way, if known to MnDOT designated video data steward within the available time frame to save such data.	Date created	7
252	Photo and videos from continuous traffic monitoring sites	May include bicycle and pedestrian monitoring	Date created	1
253	511 Traveler Information Program	511 is a traveler information service that provides real-time, accurate information about current road conditions on state highways.	Date created	1
254	Video Log	Video images collected along the entire length of all Trunk Highways in Minnesota.	Date created	10
255	Aircraft Registration Billing Receipt Information	Tracks aircraft registration billings and amounts received. Required by Legislative Auditor	Date created	4
256	Aircraft Registration Information	This includes but not limited to Aircraft Registration Application, Affidavits Of Aircraft Licenses Lost & Duplicated, Insurance Certification Registration Certificate (Alpha & Numeric Sort). Required by Legislative Auditor	Creation	4
257	Motor Carrier Authority Cancellation And Suspension Activities	Includes suspension or cancellation or revocation letters to carriers.	Date created	7
258	Motor carrier operating authority files.	May include but is not limited to: applications and credential issuing operating authority.	Expiration Date	6
259	Driver/Vehicle Inspection Reports	Reports from inspections of commercial vehicles.	Date created	6
260	Operator Waivers	Waiver Applications (Deaf/Hard-of-Hearing, Insulin-Dependent Diabetic, Physical and Vision): Application/checklist, DOT medical examination report, medical certification (health card), physician's examination report, front/back copy of driver's license, motor vehicle driving record, and waiver reporting requirements from driver for duration of waiver	Expired waiver	2
261	Commissioner's Orders	Allows Commissioner to designate roads as temporary Trunk Hwys. Required by MN Stat. 161.16, Subdivision 2. B. Commissioner's Orders are signed and dated by the Commissioner of Transportation or designee. Orders are numbered, dated and kept permanently in eDocs by the office initiating the order.	Date created	Permanent

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
263	Commissioner's Internal Memos And Office Directives	Written communications, containing decisions and direction, from the Commissioner to members of Senior Leadership, management and agency staff	Date created	5
264	Due Process Hearings And Informal Administrative Hearings	These include informal hearings related to railroad clearance variances, speed limit determinations, rail safety complaints, and establishing or changing railroad grade crossings; also administrative reconsideration hearings pursuant to 49 C.F.R. Part 26.	Date created	10
265	Transportation Regulation Proceedings (TRP) And Contested Case Hearings	Transportation Regulation Proceedings (TRP) and Contested Case Hearings (post- July 1, 1996) These are hearings required under MN Statutes, Chapter 14 or other law. (Transportation Regulation Board (TRB) statutory powers and responsibilities were transferred to the Commissioner of Transportation on July 1, 1996, when the TRB was abolished. Historical information from the TRB, pre-July 1, 1996, is held by the Minnesota Historical Society, State Archives. Any historical information from the Railroad and Warehouse Commission that is held by MnDOT is included in this record series.) These include hearings on outdoor advertising device permit denials, prevailing wage determinations, permit and medical waiver denials by the Office of Freight and Commercial Vehicle Operations, and decisions related to railroad crossings, bridges or track and structure clearances. Documents may include the following: Commissioner's orders and memoranda, Supporting documentation, evidence and exhibits for commissioner's orders, Recommendation of the Administrative Law Judge (ALJ), ALJ hearing record and exhibits, Court documents, briefs of the parties and judgments.	Date created	Permanent
266	Condemnation Process	The Condemnation Process may include: Petition, Notice of Hearing, Request for Dismissal Memo, Order for Dismissal with Prejudice, Stipulation for Award (Legal Settlement Letter), ADMIN Settlement (Letter), Notice of Award, Notification Regarding Appeal.	Date created	Permanent
267	False Claim Investigation	Includes records of the panel review, the recommendation, and the current status of individual investigations	Investigation Close Date	21

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
268	Spill Investigation	Investigation of spills on highway and other MnDOT right of way. Documents will include work plan, cleanup reports, responsible party notifications, and correspondence.	Date created	10
269	Attorney General's Office Lawsuits	Attorney General's Office Lawsuits - Copy; Attorney General's Office retains originals per their retention schedule. May include: Court Filings; Court Findings; Supporting Materials. Review for items of historical or political importance.	Date received	5
270	Judgments	Judgments requiring a government agency to grant or deny money judgments.	Collection or Write-off Date	7
274	Delegation Of Authority (Commissioner)	This is the instrument by which the Commissioner delegates authority to individuals. The Secretary of State's Office has permanent archives of them.	Keep newest only; if information is outdated, destroy or delete.	0
275	Litigation Hold Data Reviewed and Produced	Litigation hold material reviewed for public or not public status and produced through discovery.	Hold Lift Date	2
276	Motor Carrier Enforcement Records	Enforcement of state and federal regulations on motor carriers of passengers and property. Includes but is not limited to: complaint files, complaint forms, investigations, dock audits, safety reviews, compliance reviews. Complaint form contains confidential data. 49 CFR 1220.6	Final Disposition Date	5
277	Civil Rights Federal Reports	Federal reports issued by OCR are performance reports required under federal regulation.	Date created	10
278	Commercial Vehicle inspections	Records of CVI inspections on motor vehicles	Time of inspection	2
279	Construction Inspection And Certification Test Scores	These records are generated by a construction inspection certification program.	Date created	2
280	Certificate Of On - The - Job Training Hours For Federal Aid Project	A form contractors submit on a monthly basis seeking on-the-job training reimbursement. The Certificate Of On - The - Job Training Hours For Federal Aid Project (only Federal Aid Projects require OJT compliance). This form can be found at the following url: <a href="http://www.dot.state.mn.us/civilrights/pdf/ojt/ojt-traininghrs.pdf">http://www.dot.state.mn.us/civilrights/pdf/ojt/ojt-traininghrs.pdf</a> 49 CFR 18.42	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
281	FHWA Training Opportunities	Annual conferences related to FHWA, for example AASTHaware, right of way, and utilities conferences. Attendance is tracked in MNDOT's learning management system, LMK/Pathlore.	Course Completion Date	1



## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
282	Title VI Program Reviews	Reports submitted to the federal government about MnDOT's Title VI activities.	Date created	3
283	Workforce Contract Compliance	For the monitoring of employment opportunities on federal-aid and state-aid projects. Includes the following documents: Annual Title 6 Report; Annual Title 7 Report; Certification of on-the-job-training hours EEO 6; Compliance data report EEO 16; Compliance Review Interview EEO 10; Compliance Review Questions EEO 11; Contractor Employment Data EEO 12; Contractor Workforce Analysis EEO 7; Corrective Action Plan EEO 24; Compliance Review Report Total Company Workforce EEO 8; Determination Letter; EEO Officer List; EEO Special Provisions; Indian Employment Special Provisions; Indian Employment Tracking Form; Investigative Summary; Monthly Employment Compliance Report EEO 13; Notification of award of county or municipal state-aid project EEO 2; Notification of EEO compliance or noncompliance review; On-the-job Training Program Approval Form and Instructions EEO 14; On-the-job Training Program Approval Letter; On-the-job Training Program Denial Letter; On-the-job Training Program Reminder Letter; On-the-job Training Program Trainee Assignment EEO 5; On-the-job Training Program Trainee Termination Form; Onsite employment review EEO 9; Preconstruction letter; Questions for project engineer/foreman EEO 25; Tribal Employee Rights Ordinance (TERO) contact list, Project Certified Payrolls	Contract Completion Date	3
284	Legislative Claim Records	Information about claims made against the department through the Joint House/Senate Subcommittee on Claims process. Required by Legislative Auditor	Final Disposition Date	4
285	Legislative Bills And Documentation	Proposed legislation, position papers, briefing reports	Date created	7
286	Fiscal & Legislative Information	Fiscal Notes and legislative summaries and analysis	Date created	7
287	Information Packets For Congressional And State Politicians	Information packets made for government leaders may show the use and needs of the Transportation System or any division thereof.	Keep newest only; if information is outdated, destroy or delete.	0

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
288	Rulemaking, Under The Administrative Procedures Act, Chapter 14	Rulemaking, under the Administrative Procedures Act, Chapter 14 - (Formerly known as Chapter 14 Rulemaking Case File, Rule Proceeding Case File, Rules for State Transit or Rules Reports). This file may contain the following documents: Publications in the State Register pertaining to the rule; all documents received by MnDOT or the Administrative Law Judge; Statement of Need and Reasonableness (SONAR); official transcript of the hearing, if applicable; Administrative Law Judge (ALJ) report; required modifications; approval or disapproval; any documents required by statute or rules of the Office of Administrative Hearings (OAH); MnDOT's Order Adopting Rules; Reviser's certificate approving the form of the rules; a copy of the adopted rule, stamped by the Secretary of State with the words ""Filed with the Secretary of State"". Retention and disposition of the original of the adopted rule is the responsibility of the Secretary of State. MnDOT, Office of Chief Counsel, is the official record holder of all other documents listed above.	Date created	Permanent
289	State-Aid Designation Resolutions By City Councils And County Board	All resolutions or executive orders for designation of a state aid road. Also includes backup documentation.	Date created	Permanent
290	Auditor Special Investigations/Reviews (External and internal)	Data files on requested projects that prompted a Special Investigation or Special Reviews. Such as complaints of collision, breakdown in processes, high risk areas, etc.	Date created	10
291	Financial And Operational Audit Reports, Follow - Up, And Correspondence	Includes recommendations, requests for responses, and responses.	Date created	7
292	Financial And Operational Audits (Internal)	Records that are created during the audit of an organizational unit within MnDOT.	Date created	7
293	Final Audit Files	Audit done at the close of professional technical contracts and some grants.	Date created	20
294	Aviation Commercial Operations License File	MnDOT licenses commercial operations in the aviation industry.	Final Disposition Date	5
295	Permit Applications Submitted By MnDOT To Other Agencies	All permit applications submitted by MnDOT including DNR, Corps of Engineers, Pollution Control, watersheds, etc.	Date created	Permanent
296	Oversize/Overweight Permits	Includes the permit data that is used to authorize the movement of loads that exceed legal size and weight limits on Trunk Highways.	Date created	7

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
297	Right Of Way (ROW) Permit	Any permit dealing with MnDOT right of way including Utility, Drainage, Obstructions, Mowing-Haying, access, rail bank, outdoor advertising permits, etc.	Date created	Permanent
298	Storm Water Pollution Prevention Program (SWPPP)	All information about storm water pollution and prevention such as storm water pollution plans, Municipal Separate Storm Sewer System (MS4), inspections, etc.	Date created	Permanent
299	Tall Tower/Structure Permits	Permits for tall towers or buildings that are potential air navigation obstructions.	Date created	3
300	Outside Agency Permits received	DNR, Corps, County Ditch, MPCA, etc. permits received from other agencies, including conditions. Adequate information to know and remember the permitted conditions.	When Structure is removed	0
302	Continuity of Operation Plans	Establishes procedures and assigns ownership of roles of responsibilities for the purpose of responding and recovering from a business interruption.	Keep newest only; if information is outdated, destroy or delete.	0
303	Emergency And Evacuation Plans	These plans provide contact information, direction and guidance for emergency procedures related to fire, weather and other events for the MnDOT's Central Office Building.	Keep newest only; if information is outdated, destroy or delete.	0
304	Agency-Wide Policies	MnDOT Policy and Governance. Includes all versions of the policies.	Date created	Permanent
305	Standards And Guidelines - Permanent	Standards and guidelines which have a significant impact on MnDOT's business, i.e. the various Engineering Manuals, Standard Specifications for Highway Construction, etc.	Date created	Permanent
306	Design Advisory Committee Review And Approval File	Comments and approval of standards from the Design Advisory Committee.	Date created	20
307	Labor And Prevailing Wage Investigation Complaint File	Labor Compliance for Prevailing Wage may include Determination Letter, Demand Letter, Order Letter; other related documentation. Required by Legislative Auditor	Final Disposition Date	10
308	Project Certified Payrolls	This is completed by the resident office and is kept in the project file unless an investigation is required. It is then submitted to Labor Compliance Unit (LCU). Includes paper payrolls and Civil Rights Labor (CRL) electronic payroll data.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
309	Records Center Inventory	An inventory of all of the records stored in offsite storage.	Keep newest only; if information is outdated, destroy or delete.	0
311	Approved Retention Schedule	MnDOT Retention Schedule was migrated to MnDOT Retention and Disposal Schedule (RADS) in 2009 from an Access database which was used from 2005 to 2009. Prior to that time the Schedule was in paper format and other media formats.	Date created	Permanent
312	Records Destruction reports	Forms submitted to records center when final record is destroyed.	Date created	Permanent
313	Access Authority Form	Take the form of Remedy Tickets requesting access to systems.	Access Expired Date	2
314	Log - On Id, Systems And Data Access Request Files	All requests for data from the central warehouse	Access Expired Date	1
315	Logon Tracking Information	Tracks AD user logins and logoffs	Date created	1
316	Visitor And Temporary Id Badge Log	A listing of ID badges issued to MnDOT employees who've forgotten or lost their badge and visitors.	Creation	0.25
317	Id Badges/Keycards	Records of persons given proximity access cards to access an agency or building.	Separation Date	0
319	Debarments And Suspensions	Debarments and Suspensions - May include debarment orders, suspension orders, suspension extensions, and certification regarding debarment and suspension.	Date created	5
320	Unified Certification Program (UCP)	DBE Certification, DBE Denials, DBE Appeals. Documents to certify a business as Disadvantaged Business Enterprise (DBE). Covers the following documents: Application Cover Letter; Application for Certification as a DBE; Application Returned Letter; Application Status Tracking Sheet; Contact List; Cover Letter to Request Documents; Facsimile Transmittal Sheet; Personal Net Worth Statement; No Change Affidavit of DBE Eligibility; Recertification Application DBE; Removal of DBE Eligibility from the Minn. UCP	Removal from DBE Program Date	7
321	Speed Limit Authorizations And Zoning	Speed limit studies, authorizations and zoning.	Date created	Permanent
323	TORT Claims Files	Information that may be used for potential tort cases. 541.05	Date of Incident	10
324	Published Maps	Official published maps, including but not limited to County, Municipality, Right of Way, Metro Street, County Bike, Drainage Maps and others.	Date created	Permanent

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
325	Map Production Files	Computer Aided Design (CAD) and Geographic Information Systems (GIS) Files used to produce maps.	Keep newest only; if information is outdated, destroy or delete.	0
326	Project Mapping	Topographic mapping	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
327	Key Point (Log Point) Listing archive	Years that end in 5 or 0	Date created	20
328	Traffic Count Location Maps	Traffic Count Location Maps	Date created	20
329	Aeronautics Charts	An Aeronautical Chart is a map of the "highways in the sky".	Date created	Permanent
330	Aerial Photographs And Indexes	Photos and photo indexes from aerial survey photography.	Date created	Permanent
332	Traffic Flow Maps	Traffic flow maps, Metro Area grid (street series) flow maps, Municipal flow maps and other historical flow maps.	Close out	20
333	Business Project Files	For projects not classified elsewhere.	Close out	0
334	Special Management Project Information Files	Special commissioner/multiple division project files	Project Completion Date	1
335	Councils, committees, commissions, etc. (permanent)	Committee records that have a long term effect on MnDOT such as Control Section Committee, Regional Development Commission, etc.	Date created	Permanent
336	Forms, Templates And Boilerplates	These are general blank forms, templates and boilerplates. These are work product which can be reused time and time again.	Keep newest only; if information is outdated, destroy or delete.	0
337	Internal And External Conference Reports	These files contain reviews, reports, notes, attendance, etc. from management, technical and professional conferences and meetings.	Date created	3
338	Insurance Records	Insurance certification documents pertaining to goods and services procurement	Coverage End Date	1
341	Service Requests And Work Orders	General requests for service not classified elsewhere; includes motor pool, courier requests, etc.	Date created	1
342	Air Transportation Request Form and Invoicing	Both accepted and rejected	Date created	4
343	Staff Meeting Agendas And Minutes	Use this series for meetings and agendas unless stipulated somewhere else.	Date created	2
344	Shipping And Receiving Records	Records of mail and packages shipped and received.	Date created	0.5

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
345	Returned Certified Mail Cards Or Card Books	Gets returned to the office that sent the certified mail. Project oriented ones go to the project file	Date created	4
346	Transitory Records	Information which is (1) not an integral part of administrative or operational records file, (2) not required to sustain administrative or operational functions, (3) not regularly filed under a standard records classification system, (4) not required to meet statutory obligations, and (5) recorded only for the time required for completion of actions or ongoing records associated with them. General correspondence, copies, reference items generally fall under this line. Disposition records do not need to be kept for this line.	Date created	0
347	Regulated Materials - Facilities	Building assessments and regulated material and waste management facility records.	Date created	Permanent
348	Regulated Materials - Internal Audits	Hazardous/Problem Waste Internal Audits - Spreadsheet (audit dates); Field Sheets (notes/related documents) and Findings Memos; photos	Date created	7
349	Contaminated Materials - Facilities	Contaminated soil or groundwater investigations completed at sites owned by MnDOT, including district headquarters, truck stations, rest areas, storage yards and/or gravel pits. Critical documents include Environmental Site Investigation final reports and Regulatory Agency Closure letters. May include Project correspondence, notes and research; Regulatory agency correspondence, applications and approvals; Other final reports; Environmental agreements/covenants; and Photo logs	Date created	Permanent
350	Regulated Materials - External Audits	Hazardous/Problem Waste End Site Audits- Field Sheets (including Company questionnaire), spreadsheet (audit dates), Findings (approval/Rejection letters), Oil change locations, EPA ID #s, photos	Date created	20
351	Storage Tank Maintenance And Compliance	Aboveground storage tanks maintenance & management- State and Federal spill plans; deicers/brine; propane; guidance documents; district tank inventories. Underground storage tanks maintenance & management- training; bio-fuels; guidance documents; district tank inventories. District tank compliance manuals. Storage tank website.	Date created	Permanent
352	Building And Storage Site Records	Historical record of MnDOT buildings over time. Includes the building and the site it is on.	Date created	Permanent

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
353	Building Condition Assessment Reports	Reports to satisfy Dept. of Administration statewide standards.	Date created	Permanent
354	Building Maintenance Projects	Maintenance Projects on MnDOT owned facilities such as headquarters buildings, truck station, etc.	Date created	Life of Building
355	Building Equipment Preventive Maintenance Schedules	Preventative maintenance schedules for building equipment. Often in the form of an O&M manual.	Date created	4
356	Facility Maintenance Logs, Reports And Information	Maintenance documentation for MnDOT owned buildings not listed elsewhere. Lighting Maintenance Records	End of Service Date	7
357	Building Construction Project Files	Construction of MnDOT owned buildings only May include Building Specifications And Proposal	End of Life Date	5
358	Plans And Specifications For Rest Areas On Primary Highways	Plans and specifications for rest areas buildings which may include surrounding site features. Plans are sometimes referred to as drawings.	Date created	Permanent
359	Primary Rest Area Files And Inventory	Includes long term Rest areas files, plans, etc.	Date created	Permanent
360	Facilities And Equipment Use Permits	Permit to use MnDOT facilities for special use.	Event Date	2
361	Well Recommendations	Data and specific recommendations for MnDOT rest areas and maintenance building wells.	Date created	Permanent
362	Wastewater Treatment / Septic System	DMR's, sampling, usage, discharge records	Date created	3
363	B3 Facility Operations	Yearly maintenance schedule, operation records	Date created	5
364	Agency Consumable Inventory Information	Includes documentation and reports	Date created	4
365	Lost, Stolen, Damaged, Or Recovered Property Report	A Stolen, Lost, Damaged or Recovered Property Report must be completed when capital assets or sensitive items are stolen, lost, recovered, or found regardless of whether the property was located at the work site or off-site. Required by Legislative Auditor	Date created	4
366	MnDOT equipment/property records	Documentation (including approvals and item level information) for ALL MnDOT equipment assigned to employees, including: cell phones and portable computing devices, large equipment, loaders, skid steer, etc.	Return of item or end of assignment date	1
367	Fixed Asset Item Documentation	Item identification including manufacturer's information, serial number, and location of the asset.	End of Service Date	2
368	Fixed Asset Inventory Reports	Report detailing fixed asset location with service dates based on item identification records.	Date created	4

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
369	Equipment Inspection, Maintenance, Calibration And Certification	All documentation about equipment; maintenance, calibration, repair and certification not used elsewhere.	End of Service Date	0
370	Mobile Unit Reports By Unit Or Inventory Number	Report by individual unit or inventory number regarding usage.	Date created	1
372	Liquidation Record (Accounting)	Record documenting liquidation of an asset including service dates and values.	Date created	5
373	Aircraft Maintenance Records (Including Correspondence)	Logbooks and other documents used to track maintenance on: airframe, engines and propellers.	Life of Airplane	0
374	Project Vehicle And Equipment Usage		Final Payment Date	10
375	Motor Vehicle Application, Title And Registration		End of Service Date	0
376	Certification Of Materials	Includes aggregates and granular materials	Date created	Permanent
377	Approved Products	All approved or decertified materials products. This includes Hazard Evaluation Process analyses to determine environmental performance of select products.	Keep newest only; if information is outdated, destroy or delete.	0
378	Soils Profile	Soils Borings, Analysis, profile logs and reports	Date created	Permanent
379	Project Pit Usage	This Includes Daily Street Diary (Bituminous Plant Mix), Pit Material Request and Pit Payroll Records.	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
380	Pit Files	Includes aggregate source (quarry) data and analysis and pit withdrawals	Date created	Permanent
381	Pavement Selection Data And Reports Life cycle cost analysis (LCCA)	The data and analysis which went into the selection of pavement.	Date created	Permanent
382	Annual Pavement Condition Data	Contains analysis and/or pavement data and its current state on an annual basis	Date created	Permanent
383	Construction Project Inventory And Disposition Of Surplus And Salvage Materials	All materials relating to the disposition of surplus inventory and salvage for construction projects. 49 CFR 18.42	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
384	Sample Identification Card	Lab activity related to trial mix	Date created	10
385	Materials Disposition Form	Form used to document quantity and action taken on material determined to be failing based on laboratory testing.	Date created	10



## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
386	Lab Letter - Grading And Surfacing	Includes grading and surfacing reports	Whichever is later; Project final, or FHWA Final payment	Project final plus 10 or FHWA Final payment plus 3
387	Materials Design Recommendations Report	Specifies for the contractor what is required on a project. Formerly referred to as the Soils Letter.	Date created	Permanent
388	Project Trial and Job mix designs (includes concrete and bituminous)	The job mix formula and the main recipe (trial mix) that the job mix formula is applied to.	Date created	Permanent
389	Control Survey Data Files	All Final data relating to the creation, preservation, and positioning of geodetic survey monuments.	Date created	Permanent
390	Right Of Way Plats	Surveys showing the parcel(s) that are owned by MnDOT. May include Monumentation, Certificate of correction, Right of way plats, Boundary data, railroad station.	Date created	Permanent
391	Certificate Of Survey	Long term surveying and certificates	Date created	Permanent
392	Specific Easement Descriptions	Documentation on easements onto MnDOT right of way. May include Easement descriptions, Request form, Subdivision plat, and ROW boundary coordinates.	Date created	Permanent
394	Radio Tower Federal Studies (FAA and FCC)	Various federal studies needed for compliance with Federal Aviation Administration (FAA) and Federal Communications Commission (FCC) rules.	Keep newest only; if information is outdated, destroy or delete.	0
395	Accounts payable documentation and invoices	Includes invoices, vendor documents, and receipts.	Payment Date	6
396	Passenger Carrier Complaint	A passenger carrier complaint is initiated with a complaint filed with MnDOT's OFCVO alleging a violation of intrastate passenger carrier (special transportation services, limousine, or motor carrier of passengers) laws. OFCVO staff investigates complaints and, based on findings, may issue citations or take other enforcement action. A passenger carrier complaint file may contain documents related to any of these stages of a complaint investigation.	Close out	5
397	MnDOT Americans with Disabilities Act/Rehabilitation Act Grievance	All written complaints, appeals, and responses	Last correspondence	7
398	Purchasing Files	Purchasing file including any notes, supplemental documents or information for any MnDOT purchase from request through purchase	Creation	7

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
399	External Engagement Data	Solicited, non-project based) Information collected from the public which may include data collection and documentation of ongoing public engagement activities, including: public	Final Disposition Date	8
400	Corporate boundaries data	Contains documents and drawings for municipal boundary changes to cities, townships, and unorganized territories (CTU) in Minnesota. These documents and drawings involve the creation, annexation, detachment, or consolidation of municipalities.	Date Created	Permanent
401	Environmental Assessment	A federal environmental document prepared under the National Environmental Policy Act (NEPA) used to determine the need for an Environmental Impact Statement (EIS). All records that are part of the EA such as the Finding of No Significant Impact (FONSI), Section 4(f) and Section 6(f).	Creation	20
402	Environmental Assessment Worksheet (EAW)	A state environmental document prepared under the Minnesota Environmental Policy Act (MEPA) used to determine the need for an (Environmental Impact Statement (EIS). All records that are part of the EAW such as the Findings of Fact and Conclusions Document.	Creation	20
403	Adopt a Highway agreement		Creation	7
404	Position Audit File	Formerly known as Job Audit Files, Job Audit Correspondence, and Job Audit Form. Job Audit documentation may include but is not limited to audit cover sheet, audit analysis, position description, org chart, class option action form, class specifications, Hay evaluation quality assurance form (Form 385); written Hay analysis.	Personnel Action Date	4
405	Recruitment and Selection Materials	Employee Selection Assessment Tools. Recruitment and selection materials may include but not limited to: requisitions, candidate roster, job announcements, ads, job postings and bids/interest bids/expressions of interest, resumes, cover letters, applications, test scores, interview questions/records, final interview scores, reference checks, employment verification check (Information and Release Authorization), employment verification check results, claimer requests; job offer letters, layoff list, monitoring the hiring process form, notice of hire, et al. 29 CFR 1602.31	Personnel Action Date	4
406	Public Social Media Content	Public content on MnDOT's social media accounts, including posts and tweets. Accounts to be used for reference only and are updated on a regular basis. Accounts could include MnDOT's profiles on Facebook, Twitter, YouTube, Instagram.	Date Created	0

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
407	Social media direct/private message	Messages from the public that are sent through an inbox feature on social media. Messages are only visible to the constituent that sent the message and the MnDOT account (not public).	Last correspondence	0
408	Lab Test And Inspection Reports Bridge	All data and reports for lab tests which are associated with Bridges	When Structure is removed	0
409	Daily vehicle operator checklists	Daily pre and post operator checklists for MnDOT vehicles	Creation	3
410	Unit Service Book	Service record for MnDOT vehicles	Vehicle Removal	0
411	Short Term Contracts	Includes all contract types (and corresponding sub-types) unless specified elsewhere. Includes all amendments to those contracts. Short term contracts does not include contracts with perpetual maintenance requirements, or other ongoing requirements.	Contract Completion Date	10
412	Long term Contracts	Contracts intended to be "perpetual" (without a fixed completion or expiration date); Property/Facility contracts in the following sub-types: Shared facility, Miscellaneous, Rail bank; Collaborative/Intergovernmental contracts in the following sub-types: maintenance agreement, cooperative agreements with perpetual maintenance requirements. Other contracts related to real estate.	Permanent	
413	Highway Sponsorship Licenses	Highway Sponsorship Licenses for the enhancement and maintenance of the of the truck highway right of way.	Creation	Permanent
414	Planning and Environmental Linkages (PEL)	Planning and Environmental Linkage (PEL) is a process that documents transportation planning decisions and analysis; including purpose and need, identification of preliminary alternatives, and elimination of unreasonable alternatives, to inform environmental review.	Creation	20
415	Unified Carrier Registration	The UCR Agreement is the interstate agreement, developed under the UCR Plan, governing the collection and distribution of registration information and fees generated under the UCR Agreement. Title 49 of the U.S. Code, section 14504a MN Stat. 221.60	creation	3
416	Seasonal Load limits	Public memos regarding all winter load increases (WLI), spring load restrictions (SLR), middle-range overweight permits and full-summer overweight permits. Document showing historical dates of load limits. Documents defining frost zone boundaries.	creation	Permanent

## MnDOT Retention Schedule 2021 as of 06/07/2021

Retention Series Number	Record Series Title	Description	Retention Starts at	Time to keep in years
417	Construction materials quality analysis data	The database used to analyze construction data for quality analysis. Contractors record project data and state inspectors determine if the results comply with state specifications.	creation	10