



**Agency Records Disposition Schedule**

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Accounting Transaction Correction Documents – Federal Grants

**CUTOFF:** End of federal fiscal year

**DESCRIPTION:** Documentation includes journal voucher (JV) requests and project charge transaction corrections for federal grants.

**RETENTION:** Years: 12 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23696

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Accounting Transaction Reconciliation and Correction Documents - State

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Includes reconciliation documents for inventory, fixed assets, capital leases, infrastructure, and International Registration Plan (IRP) Jurisdiction Netting summarized in financial records, bank accounts, cash receipts and self-insurance drawdowns. Includes financial summary, financial report, journal voucher (JV) requests, inventory adjustments, capital asset corrections, cash receipt corrections, payroll accounting adjustments and other corrections to financial transactions, JVs to recognize revenue from deferred revenue, State of Missouri governmental funds and other funds such as Missouri Transportation Finance Corp (MTFC), Medical and Life Insurance, Self Insurance and Local Fund.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:** See 23696 for federal grant transaction correction documents.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23745

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



**Agency Records Disposition Schedule**

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Accounts Receivable Documents

**CUTOFF:** EOSFY after final payment or write-off

**DESCRIPTION:** Supporting documents for billings to customers, partners, and other entities. Includes property damage claims files, credit unions, Missouri Transportation Finance Corporation (MTFC), Chief Counsel's Office (CCO) settlement reports, other agencies' use of car wash, Gas Tax refunds, Missouri Diesel refunds, Railroad Assessments, and Federal Emergency Management Agency (FEMA), State Emergency Management Agency (SEMA) or Federal Highway Administration (FHWA) disaster reimbursements. Includes, but is not limited to supporting documents for billings to insurance plan members and other entities, motor carrier customer accounts and jurisdiction receipts, receivable cancellation requests and write-off requests.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:** Does not include project billings to FHWA 23684 or reimbursement from federal grants.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23699

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Bank Account Records and Checks

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Includes, but not limited to bank statements, cancelled checks, deposit receipts, electronic transaction source documents and reconciliation documents for Missouri Transportation Finance Corporation (MTFC), Medical and Life Insurance, Self Insurance, Local Fund, and Motor Carrier Services.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23640

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



**Agency Records Disposition Schedule**

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Bond Records, Receipts and Payments

**CUTOFF:** End of state fiscal year of final redemption (payment) of bond

**DESCRIPTION:** All records supporting bond issuances: Bond transaction records including the trust indenture and bond counsel opinion; documentation evidencing expenditure of bond proceeds (this includes infrastructure project files – fiscal and invoices); documentation evidencing all sources of payment or security for the bonds, documentation pertaining to any investment of bond proceeds.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:** Records for refunded bonds must be maintained until after the final redemption of both bond issues. Per section 103 of the Internal Revenue Code.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23663

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Cash Receipt and Revenue Transmittals

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Forms sent to the Department of Revenue listing amounts received and to be deposited with the State Treasurer. Includes cash receipt documentation, Automated Clearing House/Electronic Funds Transfer (ACH/EFT) notifications and cash receipt report. Includes Motor Carrier Services Revenue Transfer reports.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:** Cash receipt data from bond funds must be retained 5 years from the bond maturity date or the refunding date of the bond. See 23663.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23750

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Check Register from Office of Administration Financial System

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Records in a state financial accounting system, whether electronic or paper, that document account activity.

**RETENTION:** Years: 2 Months: 0 Days: 0

**NOTES:** Agency copy.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23736

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



### Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Employee Payroll File, Payroll Deduction and Pay Instruction Forms – Official Record

**CUTOFF:** End of calendar year in which superseded or obsolete

**DESCRIPTION:** Forms received from employees requesting deductions from their paycheck or other instructions regarding how an employee's pay is issued to the employee. Includes fringe benefit income documentation, check cancellation requests and replacement check affidavits.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:** Forms that do not get superseded (ex. One-time pay or one-time deductions) are kept 3 calendar years after the end of the calendar year of the event.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23681

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Escrow Receipts and Ledgers

**CUTOFF:** End of state fiscal year refunded or defined as revenue

**DESCRIPTION:** Supporting documents for receipt of funds in Road Fund Escrow Account, General Ledger and Subsidiary Ledger. Escrow funds are from local governments participating in a project's cost. The funds are separated from MoDOT operating funds and are therefore accounted for separately.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23546

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Federal Financial and Statistical Reports

**CUTOFF:** End of calendar year in which report is submitted

**DESCRIPTION:** Includes monthly and annual financial and statistical reports submitted to Federal Highway Administration (FHWA), Federal Aviation Administration (FAA), Federal Transit Administration (FTA), and Federal Railroad Administration (FRA), and supporting documentation for data in the reports. Data is collected by all states to be published.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:** See 23751 for Technical Correspondence.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23752

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



### Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Federal Highway Administration (FHWA) Billing Reports

**CUTOFF:** End of State Fiscal Year

**DESCRIPTION:** Billing reports created by MoDOT to receive reimbursement for work funded by the Federal Highway Administration. Billing reports are for finished projects and those in-progress. Includes, but is not limited to the following Progress Billing (PB) Reports: Report of FHWA Unbilled Costs, Prep (PBBP-B), FHWA Billing Turnaround Report (PB10), Report of Pended CE Costs (PB11), Federal Highway Administration Invoice (PB12), Federal Billing Summary (PB13), Third Party Billing Support (PB14A), Federal Billing Report Non FHWA (PB14B), and Federal Billing Detail Report FHWA (PB16). The reports support billed and unbilled expenditures (Memo Bills and Final Bills).

**RETENTION:** Years: 11 Months: 0 Days: 0

**NOTES:** A copy of any billing adjustments are kept in the appropriate project file 23684. PB12 bills amounts to FHWA by appropriate code and PB16 bills amounts by project number.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23677

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Financial Investments, Pledged Securities and Release Securities

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Includes investment directives, pledged securities, bank reports and bank balances covered by banks holding funds for Missouri Transportation Finance Corp (MTFC), Local Fund, Self Insurance and other agency funds as required by MoDOT's Investment policy.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23628

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Financial Reports for Office of Administration, Legislative Oversight or MoDOT Use

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Financial reports on various topics submitted to Office of Administration for inclusion in statewide reports upon request. May also include interim reports that are summarized in annual reports.

**RETENTION:** Years: 4 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23633

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



**Agency Records Disposition Schedule**

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Financial Statement Supporting Documentation - Non Comprehensive Annual Financial Report (CAFR)

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** General Journal and support for funds not summarized in a Comprehensive Annual Financial Report (CAFR). Includes, but is not limited to statements such as Financial Summary and Financial Report by Fund, Receipts and Appropriations.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23455

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Financial Statements and Comprehensive Annual Financial Report (CAFR) Support Documents

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** General Journal and support for all funds summarized in a Comprehensive Annual Financial Report (CAFR). Includes, but is not limited to audit work papers, State of Missouri governmental funds, MoDOT agency funds, and other funds such as Missouri Transportation Finance Corporation (MTFC), Medical and Life Insurance, Self Insurance, Local Fund, Motor Carrier Services, Right of Way Revolving Trust Fund and other accounts.

**RETENTION:** Years: 11 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23705

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Financial Statements, Comprehensive Annual Financial Reports, and Audit Reports

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Fiscal year financial statements, Comprehensive Annual Financial Report (CAFR), and audit reports produced by independent auditors. Includes Commission Financial Summary and Financial Report by Fund, Receipts, and Appropriations. Includes State of Missouri governmental funds, MoDOT agency funds, and other funds such as Missouri Transportation Finance Corporation (MTFC), Medical and Life Insurance, Self Insurance, Local Fund, Motor Carrier Services, Right of Way Revolving Trust Fund and other accounts.

**RETENTION:** Years: 0 Months: 0 Days: 0

**NOTES:** Does not include fund account correspondence. MoDOT will maintain the record. A copy will be sent to the Missouri State Archives.

**DISPOSITION ACTION:** Permanent - Transfer to Missouri State Archives

**SERIES:** 23701

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

**TITLE:** Grant Files-Grantor Agency, Federal Fiscal Year

**CUTOFF:** End of federal fiscal year in which grant closes

**DESCRIPTION:** Records related to grants awarded by an agency. These files include but are not limited to all funded applications, supporting documentation, contracts, agreements, routine reports submitted by the grant recipient and documents for planning and construction.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:** Project completion has not occurred until all reporting requirements are satisfied and final payments have been made.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23570

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

**TITLE:** Grant Files-Grantor Agency, State Fiscal Year

**CUTOFF:** End of state fiscal year in which grant closes

**DESCRIPTION:** Records related to grants awarded by MoDOT. These files include all funded applications, supporting documentation, contracts, agreements, and routine reports submitted by the grant recipient. Project completion has not occurred until all reporting requirements are satisfied and final payments have been made.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23599

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011



**Agency Records Disposition Schedule**

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Infrastructure Project Fiscal File – Federal Funding

**CUTOFF:** End of state fiscal year of final voucher date

**DESCRIPTION:** Road and bridge fiscal project file for projects with federal funding. Includes, but is not limited to internal audit report, contract memorandum of understanding, cost summary, claim notification letter, federal aid ineligibility notification, noncontractual payment documentation, final voucher worksheet, report of expenditures, Site Manager report, worksheet of transfer amount or customer invoice, corporate history-detail report, federal acceptance date letter, funding arrangements and local fund transfer payments, project financial statements and financial summaries, such as those needed for design-build projects. Records are required to be maintained per CFR 49 Sec. 18.42.

**RETENTION:** Years: 7 Months: 0 Days: 0

**NOTES:** Federal funded projects closed as of final voucher date.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23684

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/19/2012

**TITLE:** Infrastructure Project Fiscal File-No Federal Funding

**CUTOFF:** End of state fiscal year of completion of project audit

**DESCRIPTION:** Road and bridge fiscal project file for projects with no federal funding. Includes, but is not limited to internal audit report, contract memorandum of understanding, cost summary, claim notification letter, noncontractual payment documentation, report of expenditures, site manager report, worksheet of transfer amount or customer invoice, and corporate history detail report, funding arrangements, local fund transfer payments, project financial statements and financial summaries, such as those needed for design-build projects.

**RETENTION:** Years: 7 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23617

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011





**Agency Records Disposition Schedule**

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Inventory Receipts and Usage

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Includes records for receipt and use of consumable inventories, including but not limited to petroleum products, maintenance materials, sign shop raw materials, district general warehouse supplies.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23572

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Lease Financial Analysis File - Capital Assets

**CUTOFF:** EOSFY in which contract expires

**DESCRIPTION:** Capital lease financial analysis forms and supporting documents required by the Office of Administration.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23697

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Lease Financial Analysis File - Operating

**CUTOFF:** EOSFY in which contract expires

**DESCRIPTION:** Operating lease financial analysis forms and supporting documents required by the Office of Administration for financial reports.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23695

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



**Agency Records Disposition Schedule**

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Levee or Drainage Taxing District File

**CUTOFF:** Life of taxing district

**DESCRIPTION:** Supporting documents for invoices paid to Levee or Drainage Taxing Districts. Including, but not limited to correspondence and legal opinions used to determine tax liability.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23638

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Long Term Grant Files - Grantor Agency

**CUTOFF:** When superseded or obsolete

**DESCRIPTION:** Records related to grants awarded by an agency for facilities that are managed by local governments including, but not limited to airports, water ports and railroads. Include, but is not limited to land certificate of title, facility accommodations, equipment installed and facility design plans that are validated by memo or certification for each grant application instead of the record being recreated for each grant application.

**RETENTION:** Years: 0 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Permanent

**SERIES:** 23680

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Overhead Audit of MoDOT Consultants-Work Papers

**CUTOFF:** Completion of audit

**DESCRIPTION:** Audit and review work papers of overhead rates billed by consultants that are needed longer than 5 years.

**RETENTION:** Years: 20 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23603

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Overhead Rate Calculation Documentation - Not Paid With Federal Funds

**CUTOFF:** When superseded or obsolete

**DESCRIPTION:** Supporting documents for financial overhead rates . These overheads do not get charged to projects with federal funding. The rates allow MoDOT to compare services for operations including, but not limited to the Sign Shop and flight time. The supporting documents provide the information necessary to ensure that consistent data can be collected for new rate calculations.

**RETENTION:** Years: 0 Months: 0 Days: 0

**NOTES:** One (1) prior version needs to be retained.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23671

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Overhead Rate Calculation Documentation – Paid with Federal Funds

**CUTOFF:** When superseded or obsolete

**DESCRIPTION:** Supporting documents for financial overhead rates paid with federal funds. Includes salary additive, material testing overhead, construction overhead and equipment rental rates.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23704

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Payment Support Documentation

**CUTOFF:** End of state fiscal year

**DESCRIPTION:** Original billing invoices, receipts, approval documentation, and any other documentation that supports a purchase or refunded accounts receivable. Includes expense reports and supporting documents, replacement check affidavits, and correspondence about checks in outlaw status.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:** For cash disbursement data from any bond funds see 23663.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23737

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



### Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Payment Support Documentation – Federal Grants

**CUTOFF:** End of federal fiscal year

**DESCRIPTION:** Original billing invoices, receipts, approval documentation, and any other documentation that supports a purchase paid with federal funds.

**RETENTION:** Years: 12 Months: 0 Days: 0

**NOTES:** This includes Multimodal’s Electronic Clearing House Operation (ECHO) payment supporting documents. Includes vendor invoices and contractor pay estimate documentation prior to July 1999 when SAM II and Site Manager systems were implemented.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23665

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Payroll Register prior to November 2000

**CUTOFF:** December 31, 2050

**DESCRIPTION:** Payroll Register and reports dated prior to November 2000.

**RETENTION:** Years: 0 Months: 0 Days: 0

**NOTES:** Does not include timesheets, deductions and leave balances.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23698

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Time and Attendance Files -Official Record not paid with Federal Funds

**CUTOFF:** End of calendar year

**DESCRIPTION:** Records related to timekeeping and payroll where time is not coded to federally funded projects or performed on activities qualifying for federal emergency funds - includes, but is not limited to timesheets, leave balance reports, leave donation forms, and leave adjustment forms.

**RETENTION:** Years: 4 Months: 0 Days: 0

**NOTES:** Timekeeping records coded to activities qualifying for federal emergency funds are retained per 23699 Accounts Receivable Documents. See 23700 Time and Attendance Files -Official Record paid with Federal Funds.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23744

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011



### Agency Records Disposition Schedule

Department: Department of Transportation

Section:

Division: Financial Services

Sub-Section:

**TITLE:** Time and Attendance Files -Official Record Paid With Federal Funds

**CUTOFF:** End of federal fiscal year

**DESCRIPTION:** Records related to timekeeping and payroll where time is coded to federally funded projects or federal grants including signed timesheets.

**RETENTION:** Years: 12 Months: 0 Days: 0

**NOTES:** For timekeeping records coded to activities for federal emergency funds see 23699 Accounts Receivable. 12 years applies to employees' time coded to federal projects, ex. design, construction or federal Multimodal grants. See 23744 for non federal funds.

**DISPOSITION ACTION:** Destroy

**SERIES:** 23700

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011

**TITLE:** Transportation Partnership Entities

**CUTOFF:** Life of corporation or development district

**DESCRIPTION:** Transportation Corporations (TC), Transportation Development Districts (TDD), and other entities including, but not limited to local, state and private corporations in joint development and funding of transportation projects. Includes petition to Missouri Highway and Transportation Commission (MHTC), MHTC response, and Court Order for TC or TDD formation.

**RETENTION:** Years: 0 Months: 0 Days: 0

**NOTES:** Record will be maintained by MoDOT, and one copy to Missouri State Archives.

**DISPOSITION ACTION:** Permanent - Transfer to Missouri State Archives

**SERIES:** 23464

**SERIES STATUS:** Approved

**APPROVAL DATE:**

10/13/2011