

11-1 Overview

This chapter describes the guidelines for managing traffic engineering records. A records management system must comply with state and Washington State Department of Transportation (WSDOT) record-keeping rules, and provide for record storage in easily accessible locations. Both paper records and electronic records are equally subject to public record laws and the retention rules provided by these guidelines.

11-2 WSDOT's Record Management Guidelines

- A. Originals and Copies** – The office that creates the original document is responsible for the maintenance, retention, and destruction of the document, except:
- When an original document is sent to another office/division/region within WSDOT, the office receiving that original assumes the responsibility for the maintenance, retention, and destruction of the document.
 - When an original document is sent outside WSDOT, the copy made for the WSDOT sender's file becomes the original and must be maintained accordingly.
 - When the content of a copy is changed, the resultant copy becomes a new original and must be maintained accordingly. However, a copy that has not been changed is not subject to a retention schedule.

B. Two Types of Retention Schedules

1. The Washington Secretary of State's general records retention schedule covers records that represent the operations of all state agencies.
2. The WSDOT unique retention schedule covers records created specifically for WSDOT. This schedule is managed by the department's Records and Information Services Office.

Public records may not be destroyed until they have been retained for the minimum time period identified in the retention schedule (see [Section 11-4](#)).

- C. Paper Record Destruction** – Shred paper records having confidential and/or sensitive information. The Records Destruction Log (WSDOT Form 720-025) must be completed and signed by the Records and Information Services Office prior to destruction.

Paper records not having confidential and/or sensitive information may be recycled.

11-3 Secretary of State's Office, General Records Retention

The Secretary of State's general records retention schedules identify 47 record series titles, arranged into six functional areas. The six categories cover records relating to audit, contracts and purchasing, general office operations (non-executive), executive level documents, legal files, legislative relations, and administrative material.

Specific items within each category have an assigned retention period and may have special instructions for the items after the retention period has elapsed.

11-4 Traffic Engineering Records Retention

Retention schedules are based on WSDOT and Secretary of State guidelines and must be approved by the Office of Records and Retention, the Secretary of Transportation and the Secretary of State. This section covers records relating to Traffic Operations (Office Number 175) and displays the latest, approved records retention schedule by the Office of Records and Retention, the Secretary of Transportation and the Secretary of State on February 2, 2021.

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
21-02-69620 Rev. 0	<p>Regional Traffic Policies, Studies, and Calendar Actions</p> <p>Records relating to Regional traffic policies, studies, and calendar actions that support region decision making for traffic operation actions. Includes but is not limited to:</p> <p>Region Policies:</p> <ul style="list-style-type: none"> • Signal Policy • Illumination Policy • Pre-Planned Detours <p>Region Studies:</p> <ul style="list-style-type: none"> • Ball Bank Studies <p>Region Calendar Action Items:</p> <ul style="list-style-type: none"> • Stop Controlled Installation • Turn Movement Restrictions • Tow-Away Zones • Weight Restrictions • Regulatory Speeds in Rest Areas, Weigh Stations, and Ferry Terminals • Pedestrian Prohibitions on Partial or Modified Access Control Highways • Roadside Parking Restrictions (except for angle parking) • Prohibitions on Fishing or Jumping from Bridges • Emergency or Construction Closures • Midblock Pedestrian Crossings • See <i>Traffic Manual Chapter 6, Regulations</i>, for a Comprehensive List of Calendar Action Items 		Retain until superseded then destroy	Non-Archival
Archival?	Yes No			
Essential?	Yes No			
Exempt?	Yes No			
Imaged?	Yes No			
<p>Description</p> <p>These records are retained at the Region. All approved Region Calendar Actions shall use electronic Adobe signatures.</p>				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition								
21-02-69621 Rev. 0	<p>Speed Related Records & Headquarters Calendar Actions</p> <p>Records relating to calendar actions. Includes but is not limited to:</p> <ul style="list-style-type: none"> • Regulatory Speeds (outside construction and maintenance work zones) • Computerized Listing of Posted Speed Limits • 20 mph School Speed Zones Established Under WAC 468-95-330 • Bicycle Prohibitions on Limited Access Highways • Truck Restrictions (including trucks hauling hazardous material) • HOV Lane Designations • Hard shoulder running • Angle parking on state and federal-aid highways • Parking restrictions for park and ride lots and other parking facilities • Regulation of sales within state parking facilities • Permanent weight restrictions. • See <i>Traffic Manual Chapter 6, Regulations</i>, for a Comprehensive List of Calendar Action Items 		Retain until superseded then Transfer to Washington State Archives for permanent retention	Archival								
Archival? Essential? Exempt? Imaged?	<table border="0"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> </table>	Yes	No	Yes	No	Yes	No	Yes	No			
Yes	No											
Yes	No											
Yes	No											
Yes	No											
<p>Description</p> <p>These records are retained at Headquarters. All approved Calendar Actions shall use electronic Adobe signatures.</p>												

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
21-02-69622 Rev. 0	Safety Analysis Records relating to safety analysis. Includes but is not limited to: <ul style="list-style-type: none"> • Crash Analysis Reports (CAR)s • IAL, CAL, CAC Lists and Methodology • Region Safety Studies <ul style="list-style-type: none"> - Supporting analysis and documentation • Field Assessment Safety Studies <ul style="list-style-type: none"> - Supporting analysis and documentation 		Retain for 10 years after completion of study then Transfer to Washington State Archives for permanent retention	Archival
Archival?	Yes No			
Essential?	Yes No			
Exempt?	Yes No			
Imaged?	Yes No			
Description The CARs, IAL, CAL, CAC Lists and Methodology are retained at Headquarters. All approved CARs shall use electronic Adobe signatures. The Region Safety and Field Assessment Safety Studies are retained at the Region.				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
GS 10016 Rev. 0	Major Traffic Studies Records relating to traffic studies and work orders. Includes but is not limited to: <ul style="list-style-type: none"> • Intersection Control Analysis/ Evaluation (ICE) Reports • Region State Force Work <ul style="list-style-type: none"> - Work Orders - Supporting analysis and documentation • Region LCE Q Projects <ul style="list-style-type: none"> - Supporting analysis and documentation • Region Speed Studies • Region Traffic Analysis <ul style="list-style-type: none"> - Traffic model files - Traffic modeling assumptions, parameters, outputs 		Retain for 6 years after completion of study then Transfer to Washington State Archives for permanent retention	Archival
Archival? Essential? Exempt? Imaged?	Yes No Yes No Yes No Yes No			
Description The ICE reports are retained at Headquarters; all other records are retained at the Region. All ICE reports shall use electronic Adobe signatures.				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
80-09-25558 Rev. 3	<p>Project Development and Construction Traffic Support Documentation for all Capital and Preservation Projects</p> <p>Records relating to preliminary engineering records used to program projects and construction projects. Includes but is not limited to:</p> <ul style="list-style-type: none"> • Project Summary Files • Vicinity Maps • Estimates • Scope of Work Agreements • Work Zone Approvals, Traffic Control Strategy, Washington State Patrol Agreements • Speed Reduction Approvals • Temporary Service Agreements • Backup Calculations <p>Note: Final traffic records are located in Design Documentation Package (80-09-25558) and the Construction Contracts, Plans and Specifications; Final Records, As-Builts (80-04-24635</p>		Retain for 75 years after design approval date then Transfer to Washington State Archives for permanent retention	Archival
Archival? Essential? Exempt? Imaged?	Yes No Yes No Yes No Yes No			
<p>Description</p> <p>This is for Capital and Preservation Projects funded outside of the Q Program. All original records are sent to the Design Office.</p>				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
GS 01050	<p>Agreements Records relating to maintenance or other agreements. Instruments signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit. Includes but is not limited to:</p> <ul style="list-style-type: none"> • Memorandum Of Understandings (MOUs) and Letter Of Understandings (LOUs) with Local Agencies and Others • Interagency, intra-agency, and inter-agency agreements • Related correspondence/ communications 		6 years after termination or expiration of instrument	Non-Archival
Archival?	Yes No			
Essential?	Yes No			
Exempt?	Yes No			
Imaged?	Yes No			
Description				
These records are retained at the Region. All approved Agreements shall use electronic Adobe signatures.				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
81-08-28722 Rev. 2	<p>Traffic Operations Assets Records relating to traffic operations assets. Includes but is not limited to:</p> <ul style="list-style-type: none"> • Illumination Devices • ITS Devices • Traffic Control Signs • Sign Replacement Records • Traffic Signal File <ul style="list-style-type: none"> - <i>Manual of Uniform Traffic Control Devices</i> warrants - Analysis - Signal Permit - Related Support Documentation <p>Note: The Traffic Signal File shall contain all records relating to the documentation and basis for installation of traffic signals.</p>		3 years after life of asset then destroy	Non-Archival
Archival? Essential? Exempt? Imaged?	Yes No Yes No Yes No Yes No			
<p>Description These records are retained at the Region. All approved Signal Permits shall use electronic Adobe signatures.</p>				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
88-01-41517 Rev. 1	<p>Records relating to Traffic Service Files (TRACTS files)</p> <p>Records relating to customer traffic services inquiries. Includes but is not limited to:</p> <ul style="list-style-type: none"> • Constituent Correspondence • Agency Responses • Resolutions <p>Note: All supporting documents shall conform with the appropriate retention schedule</p>		Retain for 10 years after end of calendar year then destroy	Non-Archival
Archival?	Yes No			
Essential?	Yes No			
Exempt?	Yes No			
Imaged?	Yes No			
Description				
These records will be contained in the new version of the TRACTS Program.				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
84-08-34393 Rev. 3	<p>Traffic Management Center (TMC) Documentation Package Records relating to the Traffic Management Center's operations records. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Routine roadway operations such as ramp metering, bridge and tunnel alerts, mountain pass reports, variable speed limit information, and maintenance notifications; • Emergency roadway operations such as detour routes, signal plans, road closure coordination, region emergency operations center activation and disaster notifications; • Washington Incident Tracking System (WITS) and incident management such as notifying/ dispatching incident response crews, ITS device operations, incident alerts, and weather monitoring alerts; • Traveler information such as ROADS/511/Web data input, highway advisory radio, and variable message sign operation; • Radio and administrative operations such as communication with field personnel, AMBER/ Silver/Blue/missing person alerts, road condition alerts, and service requirements; • Multi-agency coordination such as disseminating incident information and TMC correspondence with other agencies during an incident. 		Retain for 6 years after end of fiscal year then Destroy	Non-Archival
Archival?	Yes No			
Essential?	Yes No			
Exempt?	Yes No			
Imaged?	Yes No			
<p>Description Database or other electronic files related to statewide and joint operational applications are inventoried and retained with Headquarters. All other systems (e.g. NG_TMS), media, and paper files are retained at the Region.</p>				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
20-06-69497 Rev. 0	<p>Traffic Management Center (TMC) Closed Circuit Television (CCTV) Feed</p> <p>CCTV images captured by WSDOT cameras on state highways. Feed may include all or portions of the following documentation:</p> <ul style="list-style-type: none"> • Automatic image; • Video recording. <p>Excludes:</p> <ul style="list-style-type: none"> • Video footage of security incident or emergency which requires further review covered by Security Incidents and Data/Privacy Breaches (DAN GS 25008) 		Retain until no longer needed for agency business, then Destroy	Non-Archival
Archival? Essential? Exempt? Imaged?	Yes No Yes No Yes No Yes No			
<p>Description</p> <p>Records related to statewide and joint operational applications are retained with Headquarters. All other systems are retained at the Region.</p>				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
80-09-25916 Rev. 5	Auto Traffic Recorder Data – Base Data Records relating to daily and sub-daily travel data captured by permanent traffic recorders.		10 years after end of calendar year then Destroy	Non-Archival
Archival? Essential? Exempt? Imaged?	Yes No Yes No Yes No Yes No			
Description All records are retained at the Region.				

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition								
GS 50012 Rev. 0	<p>Records Documented as Part of More Formalized Records</p> <p>Records where the evidence of the business transaction has been documented as part of another more formalized record of the agency which is retained in accordance with the current approved minimum retention period.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • Working, rough notes, voicemail messages, text messages, social media posts, etc., • Raw data, statistics, survey responses that have been consolidated, aggregated into another record. <p>Excludes:</p> <ul style="list-style-type: none"> • Electronic records (such as emails) that have been printed to paper. <p>Note: Electronic records need to be retained in electronic format in accordance with WAC 434-662-040.</p>		Retain until verification of successful conversion, keying, transcription then Destroy	Non-Archival								
Archival? Essential? Exempt? Imaged?	<table border="0"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> </table>	Yes	No	Yes	No	Yes	No	Yes	No			
Yes	No											
Yes	No											
Yes	No											
Yes	No											
<p>Description</p> <p>All records are retained at the Region.</p>												

Disposition Authority Number (DAN)	Record Title	Media Type	Retention	Disposition
81-04-27589 Rev. 1	Radio Licenses Provides a license to operate two-way radios and radio facilities within the State of Washington.		10 years after expiration of license	Non-Archival
Archival?	Yes No			
Essential?	Yes No			
Exempt?	Yes No			
Imaged?	Yes No			
Description Depending on FCC regulations, a master copy will be retained at the ITS Communications & Wireless Technology Office, at the Site and/or at the Region.				

After the retention period, the office may choose to consider the records essential and maintain them in decentralized files rather than archiving.

11-5 Key Words and Phrases

Active Records – Records that are referenced more than once per month per file drawer are considered active. Active records should be maintained in the office.

Administrative Files – Records documenting the operation, management, and administration of an office; usually distinguished from program records that relate to the office’s primary functions.

Decentralized Files – Files created, used, maintained, and controlled in or near the office of record.

Design Documentation – The documents that explain design decisions and the design process followed.

Essential Records – Public records, which are needed to protect assets, obligations, and resources of state agencies, and are necessary to provide for the continuity, preservation, and operation of state government.

File Plan – A list of records sorted by category, located at a file station, which may include retention periods, file codes, methods of filing, and disposition instructions.

Inactive Records – Records with a reference rate of less than one search per file drawer per month. Such records may be transferred to an inactive records storage center.

Non-Essential Records – Records including information-only copies of documents used for reference or convenience, transmittal memos, copies of memoranda, bulletins, personal e-mails, electronic newsletters, catalogs, published reference materials, and any documents not related to agency business.

Office Files and Memoranda – Records that have solely administrative value and do not fall within the classification of official public record.

Official Public Record – A public records classification established by [RCW 40.14.010\(1\)](#) for records having legal or fiscal value, such as vouchers, receipts, and other documents, that prove the validity of every transaction relating to the use of public property/income. Legislative records are also official public records.

Permanent Records – Archival records that should be retained without weeding or sampling because of their legal and/or historic value.

Primary Record Copy – The original or official copy of a record.

Project (Case) Files – Groups of documents that pertain to a particular action, event, person, or place, such as a speed limit change or special event approval.

Sampling – The process of selecting records from a collection, to represent the collection as a whole, and disposing of the remainder of the records.

Weeding – The process of identifying and removing records with no, or limited, administrative, legal, fiscal, or historical value.

Working File – A file of rough notes, calculations, or preliminary drafts that are assembled and used to prepare or analyze other documents. Working files are usually retained in personal desk files or filed separately until project completion.

11-6 Inventory Record of Site-Specific Traffic Control Device Installations

Some areas have site-specific traffic control device installations to address traffic operational issues. These installations typically exceed the [MUTCD](#), [Design Manual](#), or [Standard Plans](#) minimums, and are intended to be maintained, as installed, until construction projects or other factors eliminate the need for the treatments.

The regional Traffic Offices should maintain an inventory record of these locations to assure that future maintenance activities retain the pattern of the treatments applied. To help assure the desired maintenance level, store the inventory in a server accessible by both regional traffic and maintenance staff and alert maintenance staff when the site-specific treatments are installed.

11-7 Executive Orders, Statutes, and Official Guidelines

A. WSDOT Executive Order [E 1037](#), *Electronic Records and Document Management* –

This executive order directs any WSDOT employee who produces, receives, distributes, or forwards an essential electronic record or document to:

1. Create, manage, and store essential electronic records, documents, and information in an easily located format.
2. Keep essential electronic records and documents according to state and department retention guidelines.
3. Delete all non-essential records or place the non-essential records in an electronic file managed by the employee. Employees will delete these files when they become outdated, the purpose of the record is fulfilled, or no longer useful to the employee.

Store essential records on a shared server so that records are accessible by all the regional Traffic Office staff. Non-essential records may be stored on a server provided for individuals.

B. Statutes and Policies

1. [RCW 40.14](#) *Preservation and destruction of public records*
2. [RCW 42.56](#) *Public records act*

C. Electronic Records – WSDOT [Executive Order E 1037](#) *Electronic Records and Document Management*

D. Paper Records – Secretary of State’s General Records Retention Schedules

E. Public Disclosure of Record

- WSDOT [Executive Order E 1041](#) *E-Discovery and Preserving Evidence*

F. Other – WSDOT [Executive Order E 1010](#) *Certification of Documents by Licensed Professionals*

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