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TOLL OPERATIONS DOCUMENT RETENTION SCHEDULE S

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
Bank Deposit Slips (copies)	Used by the Operations/Accounting Deposit Clerk to denote the amounts, dates, and times of deposits taken to the bank (one copy goes to Mgr.)	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
Batch Control Log	Used by the Operations staff to log daily tracking forms. (10 - 2" binders for one year)	1 Year	86ADO09--Logs/Log Books
Batch Tracking Form	Used by the Operations Supervisors and staff to track batches as they go through the fulfillment process.	1 Year	86ADO09--Logs/Log Books
Call Monitoring Form	Used by Operations Supervisors	1 Year	86IRM05--Activity Monitoring
Call Classification Form	Used by Operations Supervisors and Managers to develop call statistics and report upon them daily. (Recommend destroying hard copies after entering into Daily Report)	1 Year	86ADM08--Operations Reports
Card Testing Log	Used by the Operations Supervisors and staff to track the testing of account management cards. (Recommend destroying hard copies)	1 Year	86ADO09--Logs/Log Books
Card Type Summary Report	Used by the Operations/Accounting Auditors to reconcile credit card totals with the Account Management System reports.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
Change Fund Sheet	Used by Operations Storefront Supervisor to track change requests for available Storefront funds	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
Credit Card Reconciliation Worksheet (Account Management System to Credit Card Processor)	Used by the Operations/Accounting Auditor to reconcile credit card payments from Account Management System to the bank.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
Operations Daily Report	Used by the Operations Management team to report call center and storefront statistics..	1 Year	86ADM08--Operations Reports
Summary of Fulfilled Tag Requests Report	Account Management System report used by Operations Manager to identify number of tag fulfillment requests processed for the day.	1 Year	86ADM08--Operations Reports

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
Phone System (Queue) Activity Report	Phone system report used by Call Center Supervisor to identify activity for each call center queue.	1 Year	86ADM08--Operations Reports
Phone System Activity Report by Interval	Phone system report used by Call Center Supervisor to identify activity for each call center queue in 30 minute intervals.	1 Year	86IRM05--Activity Monitoring
Phone System Agent Summary Report	Phone system report used by Call Center Supervisor to identify activity for each individual agent.	1 Year	86IRM05--Activity Monitoring
CSR Daily Reconciliation Form	Used by the Operations Storefront Supervisor and storefront staff to reconcile all walk-in transactions with their tag fulfillment and the funds taken for the transactions on a daily basis.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
CSR Transaction Qualification Form	Used by the Operations Call Center CSRs to track call type statistics and then used by the Operations Managers and Supervisors for QA procedures. (One drawer for one year)	1 Year	86IRM05--Activity Monitoring
Daily Activity Report	Used by Operations staff to document activity and tasks completed each day. (each supervisor maintains workgroups' logs) 10 - 12 Binders	1 Year	86ADM08--Operations Reports
Daily Bank Deposit Log	Used by the Operations/Accounting Clerk to denote the amounts, dates, and times of deposits taken to the bank.	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
Daily Cash Reconciliation Worksheet	Used by the Operations/Accounting Clerk to reconcile cash transactions pre-deposit on a daily basis.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
Daily Safe Log	Used by the Operations Supervisor to determine the amount of funds that should be located in the Operations center safe at any time.	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
Deposit Reconciliation Summary	Used by Deposit clerk and Auditor to reconcile daily depository funds.	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
Deposit Reconciliation Worksheet	Used by the Operations/Accounting Auditor to reconcile deposits from Account Management System to the bank on a daily basis.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations

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Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
Detailed Call, CSQ, Agent Report	Phone System report used by Call Center Supervisor to identify activity for each individual agent, itemizing individual calls.	1 Year	86IRM05--Activity Monitoring
E-Mail Tracking Log	Used by Operations Storefront Supervisor to track number of incoming e-mails by type and resolution counts.	1 Year	86ADO07--Correspondence Tracking Record
Enrollment Form	Used by Operations CSRs to enroll new customers in the toll Account Management system. Contain credit card numbers and must be secured and destroyed accordingly.	AC (After Completion/ Account Closed)+3 years	86ACC21--Credit Card Account Record
Escalation Log	Used by Operations Call Center Supervisors to track escalated issues and whether or not they have been resolved.	1 Year	86ADO09--Logs/Log Books
Incoming Mail Log	Used by Operations Supervisors and Managers to track the collection, batching, and distribution of incoming mail.	1 Year	86ADO07--Correspondence Tracking Record
Interim Bank Statement	Used by the Operations/Accounting Auditor to reconcile deposits made to the bank.	Fiscal Year End +3 years	86ACC20--Bank Statements
IOP Reconciliation Worksheet	Used by the Operations Auditor to reconcile IOP transactions between Account Management System and the TTA IOP Module.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
Kit Tracking Batch Transmittal	Used by Operations staff to transmit a batch of kits to another Operations staff member.	Fiscal Year End +3 years	86ACC07--Inventory Records
Monthly Bank Statement	Used by the Operations/Accounting Auditor to verify all transactions to the bank on a monthly basis.	Fiscal Year End +3 years	86ACC20--Bank Statements
Outgoing Mail Log	Used by the Operations/Accounting Auditor and Management team to ensure that all outgoing mail is handled appropriately.	1 Year	86ADO07--Correspondence Tracking Record
Postage Report	Used by the Operations Auditor to compare to the Outgoing Mail Log and reconcile to two.	Fiscal Year End +3 years	86ADO10--Postage/Postage Expense Records

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
Special Events Request Form	Used by the Operations Special Events Supervisor to request equipment for a special event.	1 Year	86ADO11--Work Orders, Service Requests
Tag Inventory Sheet *	Used to track tag kit bins as they are received into inventory. (Recommend destroying hard copies)	Fiscal Year End +3 years	86ACC07--Inventory Records
Tag Testing Log *	Used by the Operations Supervisor and staff to track the testing of tags. (Recommend destroying hard copies)	1 Year	86ADO09--Logs/Log Books
Transaction Detail Report	Used by the Operations/Accounting Auditor to reconcile any issues (including timing issues) that result from the daily credit card reconciliation.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
IOP Module EFT Summary Report	Used by the Operations/Accounting Auditor to track funds due to agency from away agencies and vice-versa.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
IOP Module Transaction Reconciliation Detail Report	Used by the Operations Auditor to reconcile interop issues (including rejected, but posted tolls) that result from monthly reconciliation.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
Tag Sales Receipts	Used by Operations Storefront Supervisor as receipt for single payment to multiple accounts.	Fiscal Year End +3 years	86ACC15--Receipts/Receipts Logs/Reconciliations
Tag/Card Request Form	Used by the Operations Special Events Supervisor to request equipment for a special event.	1 Year	86ADO11--Work Orders, Service Requests
Transaction Summary Report	Used by the Operations Auditor and Operations to track all transactions in the Account Management System by all clerks for an adjustable span of time.	1 Year	86ADM08--Operations Reports
Clerk Transaction Summary	Used by the Operations Auditor and Supervisors to reconcile all the transaction of a specific clerk for an adjustable span of time with Account Management System.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
Transaction Type Detail Report	Used by Operations and Auditors to reconcile transaction details in the Account Management System for a specific transaction type with their counterparts in other systems.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.

TOLL OPERATOR DOCUMENT RETENTION SCHEDULE

Document Name	Description	Retention Period	Record Retention Schedule Citation (Short Description)
Deposit Summary	Used by Walk-in Store Front Supervisor to document deposit totals in Account Management System.	Fiscal Year End +3 years	86ACC16--Cash Management and Deposit Records
Credit Card Journal - Detail Report	Used by the Operations Auditor to reconcile specific credit card transaction in the Account Management System for all card types to their Credit Card Processor counterparts..	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
Transaction Control Summary by Agency	Used by Auditors and Operations to deliver a big picture, large-scope review of all transactions in the Account Management System occurring for an adjustable span of time.	Fiscal Year End +3 years	86ACC09--Internal Fiscal Reports.
Follow-up Notes	Used by Operations Call Center Supervisors to identify escalated issues from CSRs or customers that may require follow up by the Account Management System.	AC (After Completion/ Final Resolution)+2 years	86ADM06--Complaint Files (NOTE: Issues resulting in legal action retained AC+3 per 86ADM43, Legal Case Files.
New Accounts Added Report	Used by the Operations Call Center Supervisors to ensure that all newly enrolled accounts were properly enrolled with the correct funds posted to all new accounts.	AC (After Completion/ Account Closed)+3 years	86ACC21--Credit Card Account Record
Account Management System-IP User Productivity Report	Used by Image Review Supervisor to identify images reviewed by individual clerks.	1 Year	86IRM05--Activity Monitoring
Toll Management (TMS) Traffic, Operator, Status, Revenue Reports	Reports on revenue and traffic	Fiscal Year End +3 years	86ACC39—Internal Fiscal Reports (Using the longest retention requirement.)