

ATTACHMENT I

TXTAG DOCUMENT RETENTION SCHEDULE

Tx Tollways
TxTag Customer Service Center
Document Retention Schedule

| Scan | Document Name | Description | Doc Type | Source | Format | Location | Production Frequency | Retention Period | RRS Citation (Short Description) Agency Item No. | Responsible Area |
|------|---|--|---------------|-------------------------|----------------------|--------------------------------|----------------------|--|---|---|
| 1 | Toll Operations Collector Deposit Verification Packet 1 | Collector Variance Report, TMS Collector deposit reconciliation reports, Automatic Coin Machine deposit reports; Bank cash, coin and vault deposit reports. | Report Packet | Auditor - TMS | Printed | Audit Dept | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Internal Fiscal Reports. (NOTE: Activity reports only 1 year, but use longest retention requirement for any particular record in group (i.e. financial) | Audit |
| 2 | Daily Activity Report - Worksheet | Lead Auditor takes electronic copy received from Frost and creates Excel spreadsheet for each Auditor to reconcile CVR deposits to Frost. | Report | Frost - Auditor | Printed | Audit Dept | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Cash Management and Deposit Records | Audit |
| 3 | Interim Bank Statement -- Reconciliation Document | Received electronically from Frost, Lead Toll Auditor prints one copy and Auditors map collector deposits to statement making notes on hard copy. | Report | Frost | Printed | Audit Dept | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF04-Bank Statements | Audit / Accounting |
| 4 | TTA IOP Module EFT Summary Report | Used by the CSC Auditor to track funds due to the CSC from away agencies and vice-versa. | Report | IOP Module | Electronic - Printed | Auditor's Desk | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Internal Fiscal Reports. | Reconciliation Auditor / Business Analyst |
| 5 | VES0001C Clerk Transaction Summary - Packet 2 | Used by the CSC Auditor and Supervisors to reconcile all the transaction of a specific clerk for an adjustable span of time with VTX. | Report | VTX | Electronic - Printed | Auditor's Desk | As needed | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACCC09-Internal Fiscal Reports. | Reconciliation Auditor |
| 6 | TTA IOP Module Transaction Reconciliation Detail Report | Used by the CSC Auditor to reconcile interop issues (including rejected, but posted tolls) that result from monthly reconciliation. | Report | IOP Module | Electronic - Printed | Auditor's Desk | Monthly | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Receipts/Receipts Logs/Reconciliations | Reconciliation Auditor / Business Analyst |
| 7 | Interim Bank Statement | Used by the CSC Auditor to reconcile deposits made to the bank. | Report | Frost | Electronic - Printed | Auditor's Desk | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACCC20-Bank Statements | Audit / Accounting |
| 8 | Postage Report | Used by the CSC Auditor to compare to the Outgoing Mail Log and reconcile to two. | Log | Postage Machine | Printed | Back Office | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87AD010-Postage/Postage Expense Records | Back Office |
| 9 | Kit Tracking Batch Transmittal | Used by CSC Back Office staff to transmittal a batch of kits to another CSC staff member. | Form | Physical Count/Batching | Printed | Call Center (CallCtr2) | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF14-Inventory Records | Back Office |
| 10 | CSS Daily Reconciliation Form - Packet 2 | Used by the CSC Storefront Supervisor and storefront staff to reconcile all walk-in transactions with their fulfillment and the funds taken for the transactions on a daily basis. | Form | Physical Count/Batching | Printed | Call Center (CallCtr2) | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Receipts/Receipts Logs/Reconciliations | Store Front |
| 11 | TxTag Sales Receipts - Packet 2 | Used by CSS Storefront Supervisor as receipt for single payment to multiple accounts. | Form | CSR | Printed | Call Center (CallCtr2) | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Receipts/Receipts Logs/Reconciliations | Store Front |
| 12 | NSF - Returned Check Letters | Letter is generated when a returned check is processed in the system upon receipt from bank. (and envelopes--almost a drawer full) | Letter | VTX | Printed | Call Center (Dep. Ops Manager) | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Cash Management and Deposit Records | Deposit Clerk |
| 13 | NSF - Returned Check Notices | Notices are received from the bank when a check is returned. Notices are sent to the CSC (along with copies of the returned checks) for processing. | Letter | Frost | Printed | Call Center (Dep. Ops Manager) | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Cash Management and Deposit Records | Deposit Clerk |
| 14 | Refund Check Letters | Letter is generated when a refund check is sent to a customer. Copy of letter is retained along with copy of the refund check itself. | Letter | VTX | Printed | Call Center (Dep. Ops Manager) | As needed | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Cash Management and Deposit Records | Call Center / Back Office |
| 15 | Daily Cash Reconciliation Worksheet - Packet 3 | Used by the CSC Deposit Clerk to reconcile cash transactions pre-deposit on a daily basis. | Log | Physical Count/Batching | Printed | Deposit Reconciliation Room | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Receipts/Receipts Logs/Reconciliations | Deposit Clerk |
| 16 | Bank Deposit Slips (copy) - Packet 3 | Used by the CSC Deposit Clerk to denote the amounts, dates, and lines of deposits taken to the bank. (one copy goes to Mgr.) | Form | Frost | Printed | Deposit Reconciliation Room | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Cash Management and Deposit Records | Deposit Clerk |
| 17 | Daily Bank Deposit Log - Packet 3 | Used by the CSC Deposit Clerk to denote the amounts, dates, and lines of deposits taken to the bank kept in a folder with Packet 3 contents. | Log | Physical Count/Batching | Printed | Deposit Reconciliation Room | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03-Cash Management and Deposit Records | Deposit Clerk |

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| 18 | Daily Safe Log - Packet 3 | Used by the Storefront Supervisor to determine the amount of funds that should be located in the storefront safe at any time. | Log | Physical Count/Batching | Printed | Deposit Reconciliation Room | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Cash Management and Deposit Records | Store Front |
| 19 | Deposit Bag Receipts - Packet 3 | Receipts from the individual deposit bags for each batch deposited. There is one for Deposit Clerk and one for Front Desk Clerks. | Form | Physical Count/Batching | Printed | Deposit Reconciliation Room | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Cash Management and Deposit Records | Deposit Clerk / Store Front |
| 20 | Deposit Reconciliation Summary - Packet 3 | Used by Deposit clerk and Auditor to reconcile daily depository funds. | Log | Physical Count/Batching | Printed | Deposit Reconciliation Room | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Cash Management and Deposit Records | Reconciliation Auditor |
| 21 | Dunbar Courier Deposit Receipt Log | Signed by Courier when picking up Deposits | Log | Dunbar | Printed | Deposit Reconciliation Room | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Cash Management and Deposit Records | Deposit Clerk |
| 22 | VES0004 Deposit Summary - Packet 3 | Used by Walk-in Store Front Supervisor to document deposit totals in VTX. | Report | VTX | Printed | Deposit Reconciliation Room | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Cash Management and Deposit Records | Store Front |
| 23 | Change Fund Sheet | Used by CSC Storefront Supervisor to track change requests for available Storefront funds | Form | Physical Count/Batching | Printed | Front Desk Supervisor | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Cash Management and Deposit Records | Store Front |
| 24 | NCO File Transfer | Used by Reconciliation Auditor to monitor volation collection payments deposited by NCO into TADOT's Custodial Account. | E-Mail | Collection Agency | Electronic | Audit Dept | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Cash Management and Deposit Records | Reconciliation Auditor |
| 25 | Tag Inventory Sheet * | Used to track tag lot bins as they are received into inventory. (Recommend destroying hard copies) | Form | VTX | Electronic | Front Desk Supervisor | As needed | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF14—Inventory Records | Back Office |
| 26 | Transaction Detail Report (Paymenttech) | Used by the CSC Auditor to reconcile any issues (including timing issues) that result from the daily credit card reconciliation. | Report | Paymenttech | Electronic | S/drive | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Internal Fiscal Reports. | Procurement Agent |
| 27 | VES0010-AG Transaction Control Summary by Agency | Used by CSC Auditor and Operations to deliver a big picture, large-scope review of all transactions occurring for an adjustable span of time. | Report | VTX | Electronic | Audit Dept | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Internal Fiscal Reports. | Call Center / Lead Auditor |
| 28 | Card Type Summary Report (Paymenttech) | Used by the CSC Auditors to reconcile credit card totals with the VTX reports. | Report - Finance | Paymenttech | Electronic | S/drive | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Receipts/Receipts Logs/Reconciliations | Procurement Agent |
| 29 | Credit Card Reconciliation Worksheet (VTX to Paymenttech) | Used by the CSC Auditor to reconcile credit card payments from VTX to the bank. | Report - Finance | VTX/Paymenttech | Electronic | S/drive | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Receipts/Receipts Logs/Reconciliations | Procurement Agent |
| 30 | Deposit Reconciliation Worksheet | Used by the CSC Auditor to reconcile deposits from VTX to the bank on a daily basis. | Report | VTX / Frost | Electronic | S/drive | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Receipts/Receipts Logs/Reconciliations | Reconciliation Auditor |
| 31 | IOP Reconciliation Worksheet | Used by the CSC Auditor to reconcile IOP transactions between VTX and the TTA IOP Module. | Report | VTX/IOP Module | Electronic | S/drive | Daily | FE-3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03—Receipts/Receipts Logs/Reconciliations | Reconciliation Auditor / Business Analyst |
| 32 | Batch Control Log | Used by the Back Office staff to log daily tracking forms. (10 - 2" binders for one year) | Form | Physical Count/Batching | Printed | Back Office | Daily | 1 Year | 87ADMAS—Logs/Log Books | Back Office |
| 33 | Batch Tracking Form | Used by the CSC Back Office Supervisors and staff to track batches as they go through the fulfillment process. | Form | Physical Count/Batching | Printed | Back Office | Daily | 1 Year | 87ADMAS—Logs/Log Books | Back Office |
| 34 | Inter-office Mail Log | Used by CSC Back Office Supervisors to track the distribution of inter-office mail. | Log | Physical Count/Batching | Printed | Back Office | Daily | 1 Year | 87ADMAS—Logs/Log Books | Back Office |

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| 35 | Tag Testing Log * | Used by the CSC Back Office Supervisor and staff to track the testing of tags. (Recommend destroying hard copies) | Log | VTX | Printed | Back Office | As needed | 1 Year | 87ADMM5—Logs/Log Books | Back Office |
| 36 | Escalation Log | Used by CSC Call Center Supervisors to track escalated issues and whether or not they have been resolved. | Log | CSR | Printed | Call Center (CallCh2) | Daily | 1 Year | 87ADMM5—Logs/Log Books | Call Center |
| 37 | CSR Transaction Qualification Form | Used by the CSC Call Center CSRs to track call type statistics and then used by the CSC Managers and Supervisors for QA procedures. (One drawer for one year) | Form | Physical Count/Batching | Printed | Call Center (CallCh4) | Daily | 1 Year | 87RMO5—Activity Monitoring | Call Center |
| 38 | System Back-up Tape | System Backups include the following: CS System images ITR Data files Image Files PDF Files Application Log files All other configuration files for the application | Tape | IT HelpDesk | LT02 Tape | IT | Weekly | - AC (After Completion/Backup Made) +60 Days Full System Backup Tapes are to be made every weekend. - AC (After Completion/Backup Made) +60 Days Incremental System Backups are to be made daily. - AC (After Completion/Backup Made) +1 Year Weekly Full Backups are to be retained offsite. - AC (After Completion/Backup Made) +60 Days Hot Backups to tape are to be made before any major change. - CSC Backups are to be kept and NTFS and vice versa, transfers to be made daily. | N/A—Records on backup tapes are not individually accessible. | Domain Administrator |
| 39 | Toll Operations Daily Activity Log | Toll Ops daily journal of unusual plaza activity. | Log | Physical | Printed | Plaza | Daily | 1 Year | 87ADMM5—Logs/Log Books | Plaza |
| 40 | VTX/HP User Productivity Report | Used by Image Review Supervisor to identify images reviewed by individual clerks. | Report | VTX | Electronic | S:drive | Daily | 1 Year | 87RMO5—Activity Monitoring | Image Review |
| 41 | Card Testing Log * | Used by the CSC Back Office Supervisors and staff to track the testing of account management cards. (Recommend destroying hard copies) | Log | VTX | Electronic | IT - Back Office Drive | As needed | 1 Year | 87ADMM5—Legal/Log Books | Back Office |
| 42 | Call Monitoring Form | Used by CSC Supervisors | Form | Call Monitor | Electronic | IT - Shared Drive | Daily | 1 Year | 87RMO5—Activity Monitoring | Call Center |
| 43 | CSG Activity Report by Interval | Cisco report used by Call Center Supervisor to identify activity for each call center queue in 30 minute intervals. | Report | Cisco System | Electronic | Cisco | Daily | 1 Year | 87RMO5—Activity Monitoring | Call Center |
| 44 | CSG Agent Summary Report | Cisco report used by Call Center Supervisor to identify activity for each individual agent. | Report | Cisco System | Electronic | Cisco | Daily | 1 Year | 87RMO5—Activity Monitoring | Call Center |
| 45 | Detailed Call, CSQ, Agent Report | Cisco report used by Call Center Supervisor to identify activity for each individual agent, itemizing individual calls. | Report | Cisco System | Electronic | Cisco | Daily | 1 Year | 87RMO5—Activity Monitoring | Call Center |
| 46 | TTA Operational Audits | Any audit of TxTollways operational processes and systems by TTA or its GEC. | Log | Physical | Printed | QA/QC | Daily | AC (After Completion/ Publication & Release of Audit Findings)+7 years | 87ADM29—Audits | Office/Dept. of Primary Responsibility |
| 47 | Affidavits (Leased Vehicle & RAC) | Affidavits received from leasing and rental car agencies indicating the responsible party for toll transactions. | Form | Mailed Documents | Printed | Call Center | Daily | AC (After Completion/ Final Resolution)+3 years | 87ADM33—Legal Case Files | VTR Group |
| 48 | VES/FOLLOW - Follow-up Notes | Used by CSC Call Center Supervisors to identify escalated issues from CSRs or customers that may require follow up. | Report | VTX | Printed | Call Center (CallCh2) | Daily | AC (After Completion/ Final Resolution)+2 years | 87ADM26—Complaint Files (NOTE: Issues resulting in legal action retained AC+3 per 86ADM43, Legal Case Files. | VTR Group |
| 49 | Enrollment Form | Used by CSC CSRs to enroll new customers in the TxTag system. Contain credit card numbers and must be secured and destroyed accordingly. | Form | Customer-generated | Printed | Call Center (CallCh2) | Daily | 90 Days AY (As long as administratively valuable) | 87ACF03—Credit Card Account Record | Store Front |

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| 50 | Y | VESNEWACCT New Accounts Added Report | Used by the CSC Call Center Supervisors to ensure that all newly enrolled accounts were properly enrolled with the correct funds posted to all new accounts. | Report | VTX | Printed | Call Center (CallCtr2) | Daily | AC (After Completion/Account Closed)+3 years | 87ACF03--Credit Card Account Record | Call Center |
| 51 | N | Daily Activity Report | Used by CSC staff to document activity and tasks completed each day. (each supervisor maintains work groups logs) 10 - 12 Binders | Log | Physical Count/Batching | Printed | Back Office | Daily | 1 Year | 87ADM09--Operations Reports | Back Office |
| 52 | N | Incoming Mail Log | Used by CSC Back Office Supervisors and Managers to track the collection, batching, and distribution of incoming mail. | Log | Physical Count/Batching | Printed | Back Office | Daily | 1 Year | 87ADM43--Correspondence Tracking Record | Back Office |
| 53 | Y | Outgoing Mail Log | Used by the CSC Auditor and Management team to ensure that all outgoing mail is handled appropriately and that no personal mail is being sent with CSC funds. | Log | Physical Count/Batching | Printed | Back Office | Daily | 1 Year | 87ADM43--Correspondence Tracking Record | Back Office |
| 54 | N | Call Qualification Form * | Used by CSC Supervisors and Managers to develop call statistics and report upon them daily. (Recommend destroying hard copies after entering into Daily Report) | Form | Physical Count/Batching | Printed | Call Center (CallCtr2) | Daily | 1 Year | 87ADM08--Operations Reports | Call Center |
| 55 | N | TxTag Tag/Card Request Form | Used by the CSC Special Events Supervisor to request equipment for a special event. | Form | Special Event Coordinator | Printed | Call Center (CallCtr2) | Daily | 1 Year | 87ADM46--Work Orders, Service Requests | Special Events |
| 56 | N | Special Events Request Form | Used by the CSC Special Events Supervisor to request equipment for a special event. | Form | Special Event Coordinator | Printed | Call Center (CallCtr4) | Daily | 1 Year | 87ADM46--Work Orders, Service Requests | Special Events |
| 57 | Y | Calendars | Record of meeting and appointments of executives and managers must be retained | Log | Physical | Printed | IT | Daily | 1 Year | 87ADM09--Operations Reports | Office/Dept. of Primary Responsibility |
| 58 | Y | eMail | Project Related email, routine/general correspondence; email transmitting an attachment (with no content) may be deleted. Informal conversations should be deleted. | Log | Physical | Printed | IT | Daily | 1 Year | 87ADM09--Operations Reports | IT |
| 59 | Y | CSC Daily Report | Used by the CSC Management team to report call center and storefront statistics to TXDOT management. | Report | VTX | Electronic | S:drive | Daily | 1 Year | 87ADM09--Operations Reports | Call Center |
| 60 | Y | VES0001 Transaction Summary Report | Used by the CSC Auditor and Operations to track all transactions by all clerks for an adjustable span of time. | Report | VTX | Electronic | VTX | Daily | 1 Year | 87ADM09--Operations Reports | Call Center |
| 61 | N | CSC_ASSIGN Summary of Fulfilled Requests Report | VTX report used by Back Office Manager to identify number of fulfillment requests processed for the day. | Report | VTX | Electronic | VTX | Daily | 1 Year | 87ADM09--Operations Reports | Back Office |
| 62 | Y | CSQ Activity Report | Cisco report used by Call Center Supervisor to identify activity for each call center queue. | Report | Cisco System | Electronic | Cisco | Daily | 1 Year | 87ADM09--Operations Reports | Call Center |
| 63 | Y | E-Mail Tracking Log | Used by CSC Storefront Supervisor to track number of incoming e-mails by type and resolution counts. | Log | Physical Count/Batching | Electronic | IT - Shared Drive | Daily | 1 Year | 87ADM43--Correspondence Tracking Record | VTR Group |
| 64 | Y | Unusable Toll Transaction Images | Unusable images captured at lanes and used for viol and violations. Images are coded -off and have no associated transaction detail. | pdf | VTX | Electronic | VTX | Daily | 90 Days AV (As long as administratively valuable) | 87ADM16 -- Working Files | Database Administrator |

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| 65 | Toll Transaction Images | Usable image captured at lanes and used for toll and violations as needed to process transactional record to support the collection of a toll violation. | pdf | VTX | Electronic | VTX | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ADM16 -- Working Files | Database Administrator |
| 66 | Database | TxTollways operating databases, VTX Production and 2TB as of 3/1/2010 | | VTX | Electronic | VTX | Daily | -AC (After Completion/Backup Made) + 5 Days Backups are to be made on disc twice daily. -AC (After Completion/Backup Made) +1 Week Full Backup is to be made to tape daily. -AC (After Completion/Backup Made) + 60 Days Full Backup is to be made to tape each weekend. -AC (After Completion/Backup Made) +60 Days Ad-Hoc Backups to tape are to be made before any major change. - CSC Backups are to be kept at NT8 and vice versa, transfers to be made daily. | 87IRM13 | Database Administrator |
| 67 | Mixes (Returned Invoices) | Invoices returned to the CSC as undeliverable. | Correspondence | Mailed Documents | Printed | NT8 (or Records Mgt. Office at Camp Hubbard) | Daily | 1 Year from date of receipt. | 87ADM02 - General Correspondence | None Group |
| 68 | Mixes (Returned Letters) | Correspondence returned to the CSC as undeliverable. | Correspondence | Mailed Documents | Printed | NT8 | Daily | 2 Years from date of receipt | 87ADM02 - General Correspondence | None Group |
| 69 | Mixes (Returned Violation Notices) | Violation notices returned to the CSC as undeliverable. | Correspondence | Mailed Documents | Printed | NT8 | Daily | 2 Years from date of receipt | 87ADM02 - General Correspondence | None Group |
| 70 | Bankruptcy Notice | A notice issued by the Bankruptcy Court advising a creditor that a particular individual is insolvent and is no longer able to pay their debts. | Correspondence | Mailed Documents | Printed | NT8 | As needed | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF04 - Bankruptcy Notice | Court Group |
| 71 | Bank of New York (BNY) Custody Account - Cash Transaction (data) Report | A financial report used to support reconciliation of: Credit Card deposits; 3rd Party Collection Agency deposits; Lockbox deposits; IOP deposits; Daily Recommended Distribution; and Transfers from depository to custodial accounts. Usage of these reports began in March 2010. | Report | BNY Information Website | Data / Printed | Audit Dept. | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03 - Internal Fiscal Reports | Audit / Accounting |
| 72 | In Lane Tag Sales Audit Packet | UTS System Report #6515 (by individual and all TSAs); Bank Deposit Slip, Deposit Bag Tear Slip, Plaza Tag Inventory Control Form, Tag Transmittal Form (as necessary) | Report Packet | Plaza, Auditor, TMS | Printed | Audit Dept. | Daily | FE+3 (Fiscal year of entry plus 3 full fiscal years) | 87ACF03 - Internal Fiscal Reports | Audit |
| 73 | Invalid Credit Card Listing | A listing of customer account credit card numbers that are invalid (expired, account type changed to cash, card replaced) and are no longer of administrative use. | Listing | VTX | Printed | CSC Operations | Quarterly | 1 Year | 87ADM09 - Listings | CSC Ops |