

Schedule 37-340

DEPARTMENT OF TRANSPORTATION

TRAFFIC ENGINEERING DIVISION, INCLUDING HIGHWAY SAFETY OFFICE (HSO)

February 07, 2023

Nebraska Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE
37-340
AGENCY, BOARD OR COMMISSION DEPARTMENT OF TRANSPORTATION
DIVISION, BUREAU OR OTHER UNIT TRAFFIC ENGINEERING DIVISION, INCLUDING HIGHWAY SAFETY OFFICE (HSO)
Supersedes Edition of September 19, 2011

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

PART I – AGENCY STATEMENT:

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE *John R Selmer*
John R Selmer (Jan 4, 2023 11:07 CST)

TITLE **Director**

DATE **Jan 4, 2023**

PART II – APPROVAL OF STATE ARCHIVES:

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE *Anna Holley*
Anna Holley (Jan 4, 2023 11:46 CST)

DATE **Jan 4, 2023**

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE *Patricia Reding*
Patricia Reding (Jan 4, 2023 12:38 CST)

DATE **Jan 4, 2023**

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE *Robert B. Evnen*
Robert B. Evnen (Feb 7, 2023 11:25 CST)

DATE **February 07, 2023**

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods. Unless there is pending or on going, legal action, records request, or audit.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is located on the Secretary of State Records Management website. https://appengine.egov.com/apps/ne/sos_records_disposition_report. This report establishes that the destruction was performed in your normal course of business.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

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Lincoln, NE 68504
402-471-2559**

SCHEDULE 37-340
DEPARTMENT OF TRANSPORTATION
TRAFFIC ENGINEERING DIVISION, INCLUDING HIGHWAY SAFETY OFFICE (HSO)

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Records that are handled by all Divisions and Districts will be listed in Department of Transportation General Schedule 37.

If you cannot find a record or you have questions on its retention period, please contact the NDOT Records Officer in the Communication & Public Policy Division.

Paper records are to be kept until no longer of reference value but no more than 1 year (unless otherwise specified). Paper records are to be scanned and destroyed after image verification. Electronic records are retained in ECM.

Supersedes edition of September 19, 2011

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-340-1	CORRESPONDENCE	Correspondence related to location specific requests or incidents (may have an impact on current or future projects);. Letters received from the public/outside entities and agency responses (includes Requests to Study or Investigate A Concern/Suggestion for the Highway and agency Acknowledgement of Receipt of The Request and Summarization of Study Results, As Well As Signing Requests. Includes Responses and Documentation of Reviews.	20 years	
37-340-2	TRAFFIC ENGINEERING MEMOS OF UNDERSTANDING (MOU)	NDOT signed original Memo of Understanding Agreements with other state agencies.		See Schedule 37-000, NDOT General Records -- MEMORANDA OF UNDERSTANDING (MOU), MEMORANDA OF AGREEMENT (MOA), PROGRAMMATIC AGREEMENTS, item 000-39
37-340-3	FEDERAL HIGHWAY ADMINISTRATION (FHWA) CORRESPONDENCE	Correspondence to and from FHWA that pertain to Traffic Engineering, includes correspondence related to the former projects (i.e. pooled fund research projects)	AGENCY HEAD/CEO/ ELECTED OFFICIAL/ COMMISSION CHAIR: 2 years, subject to review by State Archives for possible accession ALL OTHER STATE EMPLOYEES: 2 years	See Schedule 124-General Records for State Agencies -- COMMUNICATIONS, MID-TERM, Item 124-33
37-340-4	POLICY AND PROCEDURE & MANUALS/BROCHURES	Manuals/brochures/publications created by Traffic Engineering for internal/external distribution, including sign order manual; traffic engineering policies and procedures, work zone safety and mobility policy	Superseded plus 1 until obsolete	See Schedule 124-General Records for State Agencies -- PUBLICATIONS AND PUBLICATION FILES item 124-97 and POLICY AND PROCEDURES MANUAL-OTHER, item 124-132
37-340-5	ACCOUNTING DOCUMENTATION	Draft budget, approved budget, NDOT document numbers, expense reimbursements, vendor bills, memberships, travel request log, approved travel requests, authority for expenditures		See Schedule 124-General Records for State Agencies -- BUDGET REQUEST DOCUMENTS, item 124-19

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-340-6	OFFICE SUPPLIES	Includes stock requisitions, delivery tickets, monthly requisitions expense report, Office Depot packing slips and monthly bills, service call forms, and inventory of equipment over \$1,500, office supply requests and inventory of equipment over \$1,500		See Schedule 124-General Records for State Agencies -- ACCOUNTS PAYABLE, Item 124-1
37-340-7	MEETING, CONFERENCE, TRAINING	Mailing lists, handouts, minutes, budget requests, presentations of meetings that Traffic Engineering hosts or is involved with		See Schedule 124-General Records for State Agencies -- COMMUNICATIONS, MID-TERM, item 124-33
37-340-8	WORK ZONE REVIEW REPORTS	Reports of work zone reviews	5 years	
37-340-9	HIGHWAY JUNCTION PLANS (SIGNED)	Junction signing plan for field personnel to install/maintain signs	Superseded	
37-340-10	SYNCHRO FILES	Files for signal system timing	Superseded	
37-340-11	SIGNAL TIMING SHEETS	Record of existing and past signal timing	Superseded plus 5 years	
37-340-12	TRAFFIC SIGNAL CABINET LOGS	Documentation of reasons for signal visits	Superseded	
37-340-13	SIGNAL DATA	List of statewide traffic signals and beacons. Notes location, equipment, turn-on and modification dates, etc.	Until obsolete	
37-340-14	ACTION REPORTS & TRAFFIC SIGNAL INSTRUCTION MEMOS	Documents actions taken on signals. documents are kept until the signal has either been repaired, replaced or removed	Superseded	
37-340-15	MANUAL ON UNIFORM TRAFFIC CONTROL DEVICES (MUTCD)- NEBRASKA SUPPLEMENT	Nebraska supplement to the MUTCD, including state of Nebraska rules and regulations	PAPER RECORD: Superseded plus 1 until obsolete ELECTRONIC RECORD: Permanent ELECTRONIC WORKING COPY: Superseded	
37-340-16	MANUAL ON UNIFORM TRAFFIC CONTROL DEVICES (MUTCD) REVIEW COMMENTS	Submitted comments for MUTCD review	Until no longer of reference value, but no more than 2 years.	
37-340-17	RESEARCH REPORTS	NDOT, UNL, and national research reports		See Schedule 124-General Records for State Agencies -- REPORTS AND STUDIES, item 124-103
37-340-18	PHOTOS -- FIELD VISITS	Photos from field visits, etc.	Until no longer of reference value, but no more than 1 year.	
37-340-19	SIGN DESIGNS	Electronic (sign CAD) sign designs	Superseded until obsolete	
37-340-20	MISCELLANEOUS SIGNING PLANS	Hospital, truck routes, auto tour, state border, alternative fuel, attraction signing plans	Superseded until obsolete	
37-340-21	MISCELLANEOUS PAVEMENT MARKING PLANS	Pavement marking plans for towns, highway junctions, etc.	Superseded until obsolete	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-340-22	SPECIFIC INFORMATION LOGO SIGNING (LOGO) AND TOURIST ORIENTED DIRECTIONAL SIGNS (TODS) SIGNS	New site reviews, approvals, site plans, RFP requests, contracts, certificates of insurance, and payment reports for LOGO and TODS signs	ALL COPIES OF APPROVALS, SITE PLANS, RFP REQUESTS, CONTRACTS AND CERTIFICATES OF INSURANCE: Superseded	
37-340-23	FEDERAL HIGHWAY ADMINISTRATION (FHWA) DOCUMENTS	Process reviews, WZ self-assessments, etc., completed in conjunction with FHWA	Superseded	
37-340-24	SIGN ORDERS	Electronic sign orders from district personnel and log file of sign orders.		See Schedule 124-General Records for State Agencies -- LOGBOOKS AND OTHER LOGS, item 124-75
37-340-25	SIGN ORDER MANUAL	Manual showing sign numbers, sizes and operations stock numbers	Superseded	
37-340-26	AGREEMENTS	NDOT/local agency agreement outlining responsibilities of each party for traffic control devices		See Schedule 124-General Records for State Agencies -- AGREEMENTS AND CONTRACTS, item 124-7
37-340-27	DATA COLLECTORS FIELD FILES	Traffic and pedestrian volume data, speed data, tally sheets, speed data summary files, field observations notes, on-site photos, gap data, and other specific site generated data from the data collectors	20 years	
37-340-28	DATA COLLECTORS VIDEO FILES	Dashcam videos, handheld videos, or pole mounted video files used to generate data, record observations of vehicles and pedestrians, or other field observations.	Superseded or obsolete	
37-340-29	ENGINEERS STUDY FILES	Crash summaries, capacity analysis summaries, traffic signal and turn lane analysis summaries, action reports, consultant or third party studies, maps, sketches or diagrams, public informational materials generated by traffic engineering, and other output sheets from traffic analysis programs	20 years	
37-340-30	CHRONOLOGY OR TIMELINE SUMMARIES	Developed to summarize the study history of a location and the history of traffic control at a particular location, usually developed for management	Superseded or obsolete	
37-340-31	STUDY TRACKING LOG	Used to organize the filing of data related to specific study locations on the highway system	Superseded	
37-340-32	SPEED ZONE RECORDS DATABASE	Manages the numbering system for speed authorizations	Superseded	
37-340-33	DATA COLLECTOR SCHEDULES	Developed to publicize data collector whereabouts for the week	Superseded	
37-340-34	DATA COLLECTOR LOGS AND MILEAGE RECORDS	Helps track data collector activity over the course of a week	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-340-35	COVER LETTERS FOR SPEED ZONE CHANGES	Letters informing local entities about changes to speed limits on nearby highways	SIGNED PAPER RECORD: Send original, no copy	
37-340-36	SPEED MAPS USED FOR SPEED AUTHORIZATIONS	Maps used to convey boundaries of speed zones along with speed data and traffic control devices, including electronic speed plat maps and speed sign maps (.dgn Files or Microstation files)	Superseded	
37-340-37	SPEED AUTHORIZATIONS	To establish proper speed limits other than those defined by statute (compiled packets, including cover sheet, local ordinance, and maps) See Nebraska Revised Statute 60-6,190.	Superseded plus 1 until obsolete	
37-340-38	WORK ZONE CRASH SUMMARY	Monthly summary of WZ crashes sent to district staff	1 year	
37-340-39	STATE PROPERTY DAMAGE (SPD) FILE	Cases created or reported damage to NDOT. Possible supporting documents are letters to drivers, owners, insurance companies, invoices, Dirk (OnBase) system notifications, phone messages, scanned documents, and pictures	COMPLETED CASES WHERE COST INCURRED AND PAYMENT MADE: 3 years after last action date; CASES WHERE NO DAMAGE WAS INCURRED: 1 year after last action date; UNCOLLECTIBLE CASES: 5 years after last action date	
37-340-40	VANDALISM/THEFT FORMS	Cases created of vandalism or theft to NDOT property (NDOT form 25)	3 years	
37-340-41	SAFETY PROJECT BENEFIT COST EVALUATION	Evaluation of safety projects, including benefit cost analysis, collision diagrams, calculation sheet, societal cost sheet	20 years	
37-340-42	CRASH REPORTS	NDOT40, NDOT40A, NDOT174 and NDOT41 forms, and supporting documentation which includes crash clarification letters and photos	NON-FATAL CRASH REPORT: 20 years FATAL CRASH REPORT: Permanent CRASH PHOTOS: 5 years	
37-340-43	NDOT-HSO HIGHWAY SAFETY PROJECT FILES	Federally funded highway safety projects for promoting national highway transportation safety administration (NHTSA) priority areas. files may include, but are not limited to: highway safety reporting requirements, monthly cash request forms, grant agreement, special condition forms and project correspondence	PAPER RECORD: Until no longer of reference value but no more than 3 years ELECTRONIC RECORD: 10 years	
37-340-44	NDOT-HSO MANAGEMENT REVIEWS	Review by NHTSA of federal funds policies and procedures	10 years	
37-340-45	NDOT-HSO SURVEYS, OPINION POLLS	Safety belt, child restraint annual surveys, public opinion polls	10 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-340-46	NDOT-HSO HIGHWAY SAFETY FEDERAL EQUIPMENT AND DEPRECIATION RECORD	Incorporates and replaces depreciated equipment record and evaluation/inventory/ monitoring report. includes type of equipment purchased (if over \$5,000.00), band serial number, date purchased, cost and amount of federal participation. the depreciation record is submitted to highway safety when a piece of equipment reaches the end of its depreciation period. data includes item, ID, date acquired, cost and length of useful life	10 years	
37-340-47	NDOT-HSO CORRESPONDENCE	Letters outside of project file, NHTSA, GHSA, legislation, grant denied	5 years	
37-340-48	NDOT-HSO ACCOUNTING FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA) REPORTS	All support documentation pertaining to administrative, programmatic, and financial management of grants, including but not limited to: procurement method rationale, selection of contract type, contractor selection or rejection, proof of debarment verification, and basis for contract costs	ELECTRONIC RECORD: 5 years following; 1. Cal EMA's letter closing out the Fed/State grant award. 2. Subgrantee's resolution of monitoring or audit findings. Sub-grantees must maintain sufficient records to detail the significant history of a procurement.	
37-340-49	NDOT-HSO ACCOUNTING NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA) REPORTS	NHTSA grant, monthly financial reports, general ledger, project status reports, support documentation	5 years after submittal of the final expenditure report or resolution of litigation, claim or audit	Refer to Part 18 - Uniform Administrative Requirements for Grants & Cooperative Agreements to State & Local Governments
37-340-50	NDOT-HSO WEBSITE	Motor vehicle crash data and statistics, traffic safety area, projects grant forms, public information items, etc.		See Schedule 37-000 --WEBSITE, item 37-000-36
37-340-51	NDOT-HSO FATAL CRASH FILE	Motor vehicle crash data and statistics by type, alcohol, bac, cell phone, economic costs, fatalities, holiday, license drivers, registrations, motorcycle, occupant protection, pickup, speed, teen, traffic safety, etc.	Superseded	
37-340-52	NDOT-HSO ACCOUNTANT FILES	Prepare and maintain financial HSP for federal funds files responsible for budgetary and fiscal reporting of federal funds files (claims, worksheets, contract awards, invoices, audits, FFATA requirements, project lists, etc.)		See Schedule 124-General Records for State Agencies -- GRANTS, item 124-63; ACCOUNTS PAYABLE, Item 124-1; ACCOUNTS RECEIVABLE, item 124-3
37-340-53	NDOT-HSO MANUALS, POLICIES, FORMS, EQUIPMENT RECORDS & CRASH/LICENSE/VIOLATION DATA	Equipment listing by county and type, highway safety crashes by age group, sex and county of residence, highway safety state totals by age and sex of licensed drivers; Highway safety violations by age group and sex, highway safety suspension and revocation by county, NDOT-HSO highway safety plans (NHSP)/annual reports, NDOT-HSO highway safety federal funding applications	Superseded plus 1 version	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-340-54	NDOT-HSO DRUG RECOGNITION FILES	Maintain training files of DRE students and instructors on certification and recertification requirements	10 years	
37-340-55	HIGHWAY SAFETY TRAFFIC TOLL-DAILY COUNT	Daily Count of the Nebraska Traffic Toll is a daily comparative chart on fatalities by the type of accident.	10 years	