

Schedule 37-580

DEPARTMENT OF TRANSPORTATION

LOCAL ASSISTANCE DIVISION

March 25, 2022

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

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

SCHEDULE	37-580
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF TRANSPORTATION
DIVISION, BUREAU OR OTHER UNIT	LOCAL ASSISTANCE DIVISION
Supersedes Schedule 37-250, items: 37-250-1, 37-250-4, 37-250-6, 37-250-7, 37-250-8, 37-250-11, 37-250-12, 37-250-13, 37-250-14, 37-250-15 and 37-250-17 Edition of October 26, 2021	

**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 	
TITLE DIRECTOR	DATE 2/10/22

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 	DATE 3/16/22
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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 	DATE 3/23/22
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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 	DATE 3/25/22
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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.
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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402-471-2559**

SCHEDULE 37-580
DEPARTMENT OF TRANSPORTATION
LOCAL ASSISTANCE DIVISION
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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 and Public Policy Division
Paper records are scanned and destroyed after image verification. Retain in ECM.

Supersedes Schedule 37-250 Edition of October 26, 2021, Items 37-250-1, 37-250-4, 37-250-6, 37-250-7, 37-250-8, 37-250-11, 37-250-12, 37-250-13, 37-250-14, 37-250-15, and 37-250-17

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-580-1	CAPITAL GRANT DOCUMENTS	Vehicles purchased and transit storage facilities purchased, constructed or renovated to be used for public transportation (5311) and vehicles purchased to meet the needs of the elderly and disabled (5310).	5 years from the date of disposition by equipment/facility or replacement/transfer at Federal Transit Administration (FTA) direction	•Section 5310 program •Section 5311 program •ARRA
37-580-2	CORRESPONDENCE, FEDERAL-AID PROGRAMS	Correspondence affecting federal aid programs, policies and procedures.	FEDERAL TRANSIT ADMINISTRATION RECORDS/CORRESPONDENCE AT A PROJECT LEVEL: 3 years after close-out of grant provided audit has been completed ALL OTHER PROGRAM LEVEL CORRESPONDENCE RECORDS/CORRESPONDENCE: 3 years provided audit has been completed	
37-580-3	EXAM BOOKLETS	Class B license examination booklets.	CURRENT EXAM – ONE BLANK SAMPLE COPY: Superseded ALL OTHER EXAMS: 1 year after examination date	39-2306 - 39-2309 and 425 NAC 2
37-580-4	FEDERAL TRANSIT ADMINISTRATION (FTA) ANNUAL DRUG & ALCOHOL MANAGEMENT INFORMATION	Reports drug and alcohol testing frequency and types to FTA, individual reports received from each system and submitted to FTA by NDOT.	5 years	
37-580-5	FEDERAL TRANSIT ADMINISTRATION (FTA) DRUG AND ALCOHOL POLICIES, SUB-RECIPIENTS	Approved plan and board approval, most current.	Superseded	Ongoing as sub-recipients receive Federal Transit Administration (FTA) operating and capital funding. Replace as plans are updated and/or during the application process.
37-580-6	FUNCTIONAL CLASSIFICATION ASSIGNMENT APPEALS	Appeal documentation submitted by a county or municipal from any action taken by the Department of Roads in assigning any functional classification under the provisions of 39-2110 and 39-2112. Includes transcript of the Public Hearing if held, and permanent record of the Board's decision.	Permanent; unless the facility is permanently closed to traffic or is removed from any public jurisdiction's inventory (i.e. becomes private) – Until such action.	39-2111 and 428 NAC 2 §004

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-580-7	INCENTIVE PAYMENT CERTIFICATES AND REPORTS – LIAISON SERVICES	Certificates pertaining to designated highway/street superintendents, submitted annually by counties and municipalities for State Incentive Funding purposes. Annual reports of same.	10 years	39-2505 and 39-2515
37-580-8	LICENSEE DOCUMENTS	File kept on each licensed superintendent. May include application, correspondence, copy of license.	CURRENT LICENSEES: Until verification of death INACTIVE (NON-RENEWED) LICENSEES: 10 years CURRENT LISTING: Indefinite until superseded	39-2306 - 39-2309 and 425 NAC 2.
37-580-9	LICENSE EXAMINATION APPLICANTS AND CANDIDATES DOCUMENTS (NON P.E.)	Application forms and disposition records, including comprehensive lists.	ACTIVE APPLICANTS AND CANDIDATES: Until verification of death INACTIVE APPLICANTS AND CANDIDATES: 10 years LICENSEES: See 37-112-011-3	39-2306 - 39-2309 and 425 NAC 2
37-580-10	LICENSE NUMBERS ASSIGNED LIST	List of all license numbers issued, including name and to whom number is assigned and final disposition of license. Electronic file: BEX1-H1	ELECTRONIC RECORD: Retain in ECM. Permanent 2020 AND BEFORE: SECURITY MICROFILM: Permanent MICROFILM WORK COPY: Permanent	39-2306 - 39-2309 and 425 NAC 2.
37-580-11	LOCAL AGENCY COMPREHENSIVE PLAN	Include report and agreement.	PAPER RECORD: Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 10 years	
37-580-12	LOCAL PUBLIC AGENCIES (LPA) MANUALS	LPA guidelines manual, project coordination manual and LPS policies manual	ELECTRONIC RECORD: Retain in ECM. Superseded	
37-580-13	LOCAL PUBLIC AGENCIES (LPA) ADMINISTRATION	LPA policy documentation	ELECTRONIC RECORD: Retain in ECM. Superseded	
37-580-14	LOCAL PROJECT SECTION, PROJECT FILE	Checklists, notice-to-proceeds, FORF, agreements, resolutions, construction estimates, consultant procurement, plan-in-hand reports, bridge data files, NEPA worksheets, public meeting documentation, design data sheets, final plans, encroachments, utility plans, railroad plans, row plans, appraisals, public interest letters, environmental commitments, invoices, solicitation plans, RFPs, proposals, CWOs, PS & E package, bid results, audit documentation, project correspondence.	ELECTRONIC RECORD: Retain in ECM. 10 years	
37-580-15	NATIONAL RAILROAD HIGHWAY CROSSING INVENTORY	May include records on railway-highway crossings from inventory and/or inspections. This system is online only.	DATABASE: Superseded PHOTOS: Superseded. All other copies retain until no longer of reference value but no more than 1 year	
37-580-16	ONE- AND SIX-YEAR PLANS, INCLUDING BOARD OF PUBLIC ROADS CLASSIFICATIONS AND STANDARDS (NBCS)APPLICATION	Annual filings by municipalities, counties and NDOT, with related correspondence.	10 years	39-2115 - 39-2119.01 and 428 NAC 3.

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-580-17	OPERATING ASSISTANCE GRANT DOCUMENTS AND STATISTICAL DATA OF PARTICIPATING PUBLIC TRANSPORTATION		3 years after project close-out at the end of each fiscal year	•Section 5311 program
37-580-18	RAIL PLANNING UPDATES	An overview of the statewide rail system with detailed analysis on select branch lines.	ORIGINAL RECORD: Microfilm and destroy after 5 years BEFORE 2017 SECURITY MICROFILM PRIOR TO 2017: Transfer to the secure storage MICROFILM WORK COPY PRIOR TO 2017: Permanent	
37-580-19	RAILROAD CROSSING REPORTS	Railroad Crossing Reports/Field Visits	NDOT REPORT: 1 year after superseded NATIONAL REPORT: Scan and retain in ECM. Permanent SECURITY MICROFILM PRIOR TO 2017: Transfer to secure storage MICROFILM WORK COPY PRIOR TO 2017: Permanent	
37-580-20	RAILROAD PROJECT FILES	May include agreements, plans, maps, correspondence, audit reports, and inspection reports.	5 years provided audit has been completed	
37-580-21	RECORDS OF THE BOARD OF EXAMINERS FOR COUNTY HIGHWAY AND CITY STREET SUPERINTENDENTS (BEX)	Meeting agenda and documentation discussed at monthly meetings	10 years	
37-580-22	RECORDS OF THE BOARD OF PUBLIC ROADS CLASSIFICATIONS AND STANDARDS	Meeting agenda and documentation discussed at monthly meetings	10 years	
37-580-23	RELAXATION OF STANDARDS	Requests by NDOT, counties or municipalities for variances from State Minimum Design, Construction and Maintenance Standards, or for certain construction features where minimum standards are not applicable, and record of board's decision.	20 years, or longer if required by an action of the Board	39-2113(6) and 428 NAC 2 §004
37-580-24	STANDARDIZED SYSTEM OF ANNUAL REPORTS, INCLUDING BOARD OF PUBLIC ROADS CLASSIFICATIONS AND STANDARDS (NBCS)	Annual filings by municipalities and counties, with related correspondence.	10 years	39-2120, 39-2121 and 428 NAC 5