

Schedule 140

RAILROAD TRANSPORTATION SAFETY DISTRICT

April 10, 2006

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

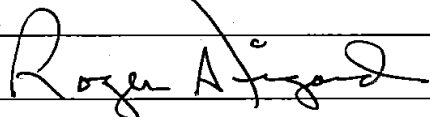
**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE	140
AGENCY, BOARD OR COMMISSION	City of Lincoln/Lancaster County
DIVISION, BUREAU OR OTHER UNIT	Railroad Transportation Safety District
Supersedes edition of December 1, 1995	

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

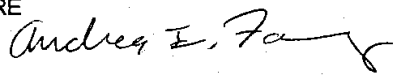
PART I -- AGENCY STATEMENT

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 EXECUTIVE DIRECTOR	DATE 6 April 06

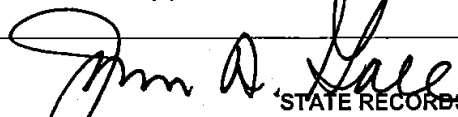
PART II - ARCHIVAL APPROVAL

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 Apr. 10, 2006
STATE ARCHIVIST	

PART III -- APPROVAL BY 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 April 10, 2006
STATE RECORDS ADMINISTRATOR	

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. Local Agencies General Records Schedule #24 contains those records common to most local government agencies. This schedule, along with the unique schedule written specifically for records unique to your office, approved by the State Records Administrator, provide 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 General Records Schedule #24 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant 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 Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that 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 your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

INDEX

SCHEDULE 140 RAILROAD TRANSPORTATION SAFETY DISTRICT

	Item	Page
BUDGET RECORDS	140-1	5
FEDERAL AID PROJECT DRAWINGS.....	140-2	5
FEDERAL AID PROJECTS	140-3	5
FINANCIAL RECORDS	140-4	5
HISTORICAL RECORDS.....	140-5	5
INSURANCE POLICIES	140-6	6
INVESTMENT REPORTS AND CONFIRMATIONS	140-7	6
LEGAL RULES, REGULATIONS, AND LEGISLATION.....	140-8	6
MEETING RECORDS.....	140-9	6
MISCELLANEOUS SUBJECT FILES.....	140-10	6
NON FEDERAL AID FUNDED PROJECT DRAWINGS	140-11	6
NON FEDERAL AID FUNDED PROJECTS.....	140-12	6
PERSONNEL RECORDS.....	140-13	7
RAILROAD CROSSING RECORDS	140-14	7
STUDIES.....	140-15	7

SCHEDULE 140 RAILROAD TRANSPORTATION SAFETY DISTRICT

140-1 BUDGET RECORDS

The actual approved budget and related material used in preparing the budget.

Retain permanently.

140-2 FEDERAL AID PROJECT DRAWINGS

Construction drawings including design drawings, shop plans, tracings for roadways, bikeways, water mains and facilities, wastewater mains and facilities, storm sewer systems, and other miscellaneous construction. Plan copies show specific project as conformed to construction.

ORIGINAL RECORD: Microfilm after completion; dispose of originals 21 years after date of final payment on project.

DISTRICT COPY: Dispose of after project completion.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

140-3 FEDERAL AID PROJECTS

Files of RTSD Projects receiving Federal Aid monies including district information on contracts, agreements, notices and transcripts, inspector notes, correspondence, specifications, and progress payment copies.

ORIGINAL RECORD: Dispose of 20 years after completion of project/district provided audit has been completed.¹

REJECTED/WITHDRAWN: Dispose of after 4 years, provided audit has been completed.¹

140-4 FINANCIAL RECORDS

Records detailing financial dealings of the RTSD including audit reports, bank statements and canceled checks and stubs, check register, deposit slips, invoices, monthly financial statements, miscellaneous receipts, working papers, per diem monthly cost, employer's quarterly tax statements, petty cash books, employee expense reports, packing slips, and bills of lading.

ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.¹

DISTRICT COPY: Dispose of after 1 year, provided audit has been completed.¹

140-5 HISTORICAL RECORDS

Records documenting the history of the RTSD, i.e. newsclips and implementation documents.

ORIGINAL RECORD: Retain permanently or microfilm and destroy originals pursuant to 24-5, subject to review by the State Archivist before disposal for possible accession.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

140-6 INSURANCE POLICIES

Insurance records of liability carried on RTSD Board members and officers of the RTSD. **Retain permanently, or microfilm and destroy originals after policy lapses pursuant to 24-5.**

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

140-7 INVESTMENT REPORTS AND CONFIRMATIONS

Dispose of 5 years after maturity date, provided audit has been completed.¹

140-8 LEGAL RULES, REGULATIONS, AND LEGISLATION

Copies of legally binding governing documents.

Dispose of after expiration or, if superseded, when replaced by current document and lacks historical value.

140-9 MEETING RECORDS

Agendas and minutes of RTSD Board and committee meetings.

ORIGINAL TAPE: Retain until approved transcribed copy has been microfilmed.

TRANSCRIBED COPY: Retain permanently; OR, microfilm and dispose of after 5 years, subject to review by the State Archivist before disposal for possible accession.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

140-10 MISCELLANEOUS SUBJECT FILES

Includes extra copies of documents preserved only for convenience or reference and general correspondence not related to a topic specifically addressed within this schedule.

Non-record material. May be disposed of at the discretion of the Executive Director and no Records Disposition Report is required.

140-11 NON FEDERAL AID FUNDED PROJECT DRAWINGS

Construction drawings including design drawings, shop plans, profiles, tracings for roadways, bikeways, water mains and facilities, wastewater mains and facilities, storm sewer systems, and other miscellaneous construction. Plan copies show specific project as conformed to construction.

ORIGINAL RECORD: Microfilm after completion; dispose of originals 21 years after date of final payment on project.

DISTRICT COPY: Dispose of after project completion.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

140-12 NON FEDERAL AID FUNDED PROJECTS

RTSD Projects which may be, but are not limited to, City Districts or County funded. Includes information on contracts, agreements, notices and transcripts, inspector notes, correspondence, specifications, and progress payment copies.

ORIGINAL RECORD: Dispose of 20 years after completion of project/district, provided audit has been completed.¹

REJECTED/WITHDRAWN: Dispose of after 4 years, provided audit has been completed.¹

140-13 PERSONNEL RECORDS

Includes employment history files, employee's withholding exemption certificates, timecards, worker's compensation and social security records, and insurance records on employees.

Dispose of 10 years after termination of employment.

140-14 RAILROAD CROSSING RECORDS

CONSTRUCTION RECORDS: Maintained by City or County Engineering.

FINANCIAL RECORDS: Includes Interlocal agreements, documentation and correspondence authorizing payments, copies of budget request information.

Dispose of 10 years after completion of the project.

140-15 STUDIES

Studies completed together with other organizations/engineers; such as Jamel & Company Inc., NALCO, and Demonstration Studies.

Microfilm selected documents and retain permanently or dispose of as follows:

RAW DATA: Dispose of after final report or study is published (provided raw data is in appendix of report) or, if unpublished, when no longer of reference value.

FINAL REPORT: Dispose of when no longer of administrative value, subject to review by RTSD Board and State Archivist before disposal for possible accession.

OTHER COPIES: Dispose of when no longer of reference value.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

NOTE

1. These records may be disposed of after the required retention period provided the audit has been completed with the audit report released and all related audit comments resolved. Check with the organization that performed the audit, and, if applicable, the Federal cognizant agency if there is a question whether resolution is complete. For records retention purposes only, the issuance of an audit waiver (or an Unaudited Financial Statement for villages) by the Auditor of Public Accounts shall take the place of an actual audit.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

--

DATE	SIGNATURE
------	-----------

SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load	50 cubic feet