

Schedule 37-000

DEPARTMENT OF TRANSPORTATION

GENERAL RECORDS

December 9, 2019

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
37-000
AGENCY, BOARD OR COMMISSION DEPARTMENT OF TRANSPORTATION
DIVISION, BUREAU OR OTHER UNIT GENERAL RECORDS
Supersedes Edition of January 1, 2016

**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 <i>Director</i>	DATE <i>11/15/19</i>

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 <i>11/21/2019</i>
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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 <i>11/21/19</i>
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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 <i>12/9/2019</i>
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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. <http://www.sos.ne.gov/dyindex.html>. 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.

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

SCHEDULE 37-000
DEPARTMENT OF TRANSPORTATION
GENERAL RECORDS
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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 Roads 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 Division.

Supersedes Edition of January 1, 2016

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-000-1	ACCOUNTS PAYABLE	Any record that provides support for payments made to vendors for goods and services, materials, equipment, supplies, etc., or to employees for reimbursement of expenses, or any other situation where a warrant or electronic payment is issued. May include, but not limited to: invoices, invoice audits, reports, remittance advice and statements, lists of vendors, performance guarantees, distribution slips, purchase orders, packing slips, requisitions, and employee expense reimbursement forms (including travel documentation and "trip sheets").	ORIGINAL RECORD: Maintained by Controller Division (See ACCOUNTS PAYABLE RECORDS, item 37-130-3) WORK COPY: Until no longer of reference value but no more than 1 year	
37-000-2	ACCOUNTS RECEIVABLE	Includes invoices, adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, or other documents which detail the material or services billed on the related invoice.	ORIGINAL RECORD: Maintained by Controller Division (See ACCOUNTS RECEIVABLE RECORDS, item 37-130-4) WORK COPY: Until no longer of reference value but no more than 1 year	
37-000-3	AGREEMENTS AND CONTRACTS	Contracts, leases and agreements not otherwise referenced in a NDOT Division or District schedule.		See Schedule 124-General Records for State Agencies -- AGREEMENTS AND CONTRACTS, item 124-7
37-000-4	CALENDARS	Desk and pocket calendars, appointment books, and planners, both paper and electronic, including Exchange, PDAs and similar devices. Does NOT include calendar invitations/acceptances, which are nonrecords.		See Schedule 124-General Records for State Agencies -- CALENDARS, item 124-025, OR NONRECORD MATERIAL, item 124-082
37-000-5	CERTIFIED MAIL	Certified mail including the receipt for which proof of delivery is obtained.		Retain and manage according to the content of the certified mail

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-000-6	COMPLAINTS	Complaints filed by employees or by persons concerning the decisions or actions of a specific state agency, not otherwise referenced in a NDOT Division or District schedule. Examples include unfair or discriminatory employment practices, lawsuits, highway concerns.		See Schedule 124-General Records for State Agencies -- COMPLAINT FILE, item 124-036
37-000-37	CONTRACTOR'S INSURANCE CERTIFICATE	Proof of insurance coverage (liability, property damage, railroad, business, auto, etc.)	PAPER RECORD: Until no longer of reference value but no more than one year. ELECTRONIC RECORD: Retain in ECM for 20 years.	
37-000-7	CORRESPONDENCE FOR GOVERNOR/DIRECTOR / DEPUTY SIGNATURE	Copy of signed letter prepared for and signed by the Governor/Director/Deputy in response to various local, State and Federal political officials/subdivisions, including but not limited to the Governor, congressional and legislative delegates, agencies, boards, commissions, the public, and the like. Exceptions: Project Correspondence (retained with the Project) and Mass Mailings (see General Schedule 37-000-23)	ORIGINAL RECORD: Retained by the Director's Office (see schedule 37-111-1 and 37-111-2) WORK COPY: Until no longer of reference value but no more than 1 year	
37-000-8	CORRESPONDENCE - OTHER	All other correspondence not otherwise defined in this schedule or any other Division or District Schedule.	Until no longer of reference value but no more than 1 year	
37-000-9	DRAFTS / WORK COPIES	Raw data, research materials and drafts used when creating reports, studies, preliminary versions subject to revision, copying or distribution, all which precede a final agency copy.	COMPLETED: Completion of final report, study, etc., or when no longer of reference value NOT COMPLETED: When no longer of reference value	
37-000-10	E-MAIL	Pertains to any e-mail received on the State e-mail system not otherwise referenced in a NDOT Division or District schedule or General Schedule for State agencies, nonrecords. Includes FYI emails and attachments.		<ul style="list-style-type: none"> • <i>Email is managed based on the content of the email.</i> • See the appropriate ROADS-Division/Districts Records Retention Schedule, Schedule 124-General Records for State Agencies -- COMMUNICATION SERIES, items 124-030 through 124-035 OR NONRECORD MATERIAL (b) extra copies, item 124-02
37-000-11	EMPLOYEE RECOGNITION	Award committee reports, selection criteria, nominations, and similar administrative records of employee awards or incentive programs.		See Schedule 124-General Records for State Agencies -- EMPLOYEE RECOGNITION RECORDS, item 124-050

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-000-12	FORMS - ACH	Standard form for establishing Automated Clearing House (ACH) payments. Any District or Division may request this from a new or existing vendor to create or update a vendor information in the State Accounting System (Payroll & Financial Center).	ORIGINAL PAPER RECORD: Transfer to Controller Division for scanning and disposal after image verification. No personal copies should be retained. ELECTRONIC RECORD: Upload to State Accounting System and dispose of after data entry verification	Controller handles the requests for all Divisions and Districts with the exception of the Right-of-Way Division
37-000-13	FORMS - BLANK/TEMPLATES	Spreadsheets, forms, templates and other working documents used in the course of business to generate other documents such as presentations, quantity sheets, standard form letters, etc. These differ from blank DOTFORMS which are managed by Communication Division.		See Schedule 124-General Records for State Agencies -- NONRECORDS, item 124-082
37-000-14	FORMS - W-9	IRS Form required by State Accounting for requesting the Tax Identification Number. Any District or Division may request this from a new or existing vendor to create or update a vendor ID in the State Accounting System (Payroll & Financial Center).	ORIGINAL PAPER RECORD: Transfer to Controller Division for scanning and disposal after image verification. <i>No personal copies should be retained</i> ELECTRONIC RECORD: Upload to State Accounting System and dispose of after data entry verification	Controller handles the requests for all Divisions and Districts with the exception of the Right-of-Way Division
37-000-15	GAS RECEIPTS	Gas receipts obtained from State Gas System or Voyager System.	1 year	<ul style="list-style-type: none"> •Districts are responsible for their records •Operation Division is responsible for Central Complex records - See GASOLINE SALES TICKETS, item 037-260-009
37-000-38	GEOGRAPHIC INFORMATION SYSTEMS (GIS) SUPPORT DOCUMENTATION	Supporting data created, viewed and analyzed utilizing Geographic Information Systems (GIS) used for multiple DOT purposes in project and program development. For example, wetland.gdb used for wetland delineations, Section 4(f) layers, parcel boundaries, preliminary environmental review application, outfall mapping and monitoring.	Superseded until obsolete	
37-000-16	HIGHWAY REFERENCE LOG BOOK	Listing of all state maintained highways, links and spurs.	ORIGINAL RECORD: Maintained by Material & Research Division (See Schedule 37-390) WORK COPY: Superseded until obsolete (reference purposes only)	
37-000-17	HR DOCUMENTS	Timekeeping, leaves, evaluations, training, disciplinary and other HR (Human Resources) documents.	ORIGINAL RECORD: Maintained by HR Division (See Schedule 37-170) WORK COPY: Until no longer of reference value but no more than 1 year	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-000-18	HR MONTHLY/ QUARTERLY/ ANNUAL HR REPORTS	Periodic reports generated by HR for Divisions and Districts.	ORIGINAL RECORD: Maintained by HR Division (See Schedule 37-170) WORK COPY: Until no longer of reference value but no more than 1 year	See Schedule 124-General Records for State Agencies -- (b) or (c) of NONRECORDS, item 124-082
37-000-19	HR SUPERVISOR DOCUMENTATION FILE	Supervisor documentation regarding personnel matters including verbal counseling and daily issues.		See Schedule 124-General Records for State Agencies -- PERSONNEL ACTION NOTIFICATIONS (ADMINISTRATIVE CORRECTIVE ACTIONS), item 124-087
37-000-20	IT PROJECTS	This includes all records pertaining to IT (Information Technology) projects examining changes to NDOT or Division/District processes, including charters, agenda, minutes, presentations, notes, etc.	ORIGINAL RECORD: Maintained by Business Technology Support Division (BTSD) (See Schedule 37-280) WORK COPY: Until no longer of reference value but no more than 1 year	
37-000-21	LEGISLATIVE MATERIALS	NDOT Opinion Statements, Legislative Bills, Statement of Intent and other Legislative records not otherwise referenced in a NDOT Division or District schedule.	ORIGINAL RECORD: Maintained by Government Affairs Division (See Schedule 37-112) WORK COPY: Until no longer of reference value but no more than 1 year	
37-000-22	LOG BOOKS	Lists of visitors to NDOT. May include name, reason for visit, date and time.		See Schedule 124-General Records for State Agencies -- LOGBOOKS AND OTHER LOGS, item 124-075
37-000-23	MASS MAILINGS (CORRESPONDENCE)	Form letters sent by NDOT to large mailing lists, not otherwise specifically addressed by specific Division schedules. Does not include project correspondence.	ORIGINAL RECORD: Maintain 3 years by Division of origin. Maintain only a signed copy of the first letter in the mailing list, and attach or link to the address list containing all names of individuals to whom letters were sent.	
37-000-24	MEETING MINUTES	Includes official meeting minutes and agendas, other information and handouts, may include but are not limited to: presentations and other supplemental meeting materials.		See Schedule 124-General Records for State Agencies -- MEETING MINUTES AND MATERIALS, item 124-078
37-000-39	MEMORANDA OF UNDERSTANDING (MOU), MEMORANDA OF AGREEMENT (MOA), PROGRAMMATIC AGREEMENTS	Official MOU, MOA and PAs documenting the terms and conditions of agreements and understandings between NDOT and various local, state and federal governmental entities, non-governmental entities, private companies, and individuals.	PAPER RECORD: Scan and destroy paper copy after image verification. ELECTRONIC RECORD: Current version, plus one prior version (if one exists), superseded until obsolete ALL OTHER WORK COPIES: Until no longer of reference value but no more than 1 year	
37-000-25	DEPARTMENT OF TRANSPORTATION (DOT) OPERATING INSTRUCTIONS (OI)	To provide policy for the development and administration of operating instructions. DOT-OIs provide a means of conveying department policy on subjects not covered by other directives.	ORIGINAL RECORD: Superseded + 10 years; subject to review by the State Archives for possible accession	Office of record: Communication

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-000-26	ORGANIZATIONAL CHARTS	Documents the organizational structure and serves as a representation of changes within an agency over time. May include, but not limited to: date, agency, divisions, branches, sections, names of unit heads and individuals responsible for activities.	ORIGINAL RECORD: Maintained by Human Resources Division (See Schedule 37-170) WORK COPY: Superseded until obsolete (reference purposes only)	
37-000-27	PHONE DIRECTORIES	Both electronic and paper copies of District, Division and Agency phone directories including the "flat sheet" and the "Operations Directory".	ORIGINAL RECORD: Maintained by Communication Division (See Schedule 37-290) WORK COPY: Superseded until obsolete (reference purposes only)	
37-000-28	PHONE MESSAGES	Memos of phone messages.	Until no longer of reference value but no more than 1 year after message received	
37-000-29	PHOTOS/VIDEO/AUDIO - HISTORICAL	Select photo, video, and audio from primary and secondary sources and related materials compiled in relation to significant & influential events affecting the nation, state, or institution, including early aerial imagery.	IDENTIFIED PAPER RECORD: If only a paper copy exists, scan and destroy after image verification IDENTIFIED ELECTRONIC RECORD: Permanent ALL OTHER RECORDS: Until no longer of reference value but no more than 1 year	<ul style="list-style-type: none"> • Identified - Records reviewed and selected as a representative (limited number of photos/videos) of the event as determined by Communication Division. • <i>Note: "Only 1%-3% of records are so important for legal or historical reasons & would be kept "forever" (National Archives and Records Administration (NARA) website)</i>
37-000-30	PHOTOS/VIDEO/AUDIO - OTHER BUSINESS RELATED PHOTOS	Select photos, video, and audio not otherwise identified on a Division or District individual schedule.	IDENTIFIED PAPER RECORD: If only a paper copy exists, scan and destroy after image verification IDENTIFIED ELECTRONIC RECORD: 20 years from the date of the event, subject to review by the State Archives for possible accession ALL OTHER RECORDS: Until no longer of reference value but no more than 1 year	Identified - Records reviewed and selected as a representative (limited number of photos/videos) of the event. Contact the State Archives to negotiate transfer.
37-000-31	PHOTOS/VIDEO/AUDIO - STATE PROPERTY DAMAGE (SPD)	Select photos, video and audio documenting NDOT property damage caused by the public.	IDENTIFIED ORIGINAL RECORD: Maintained by Traffic Division (See Schedule 37-340) IDENTIFIED WORK COPY: Until no longer of reference value but no more than 1 year ALL OTHER PAPER / ELECTRONIC RECORDS: Until no longer of reference value but no more than 1 year	Identified - Records reviewed and selected as a representative (limited number of photos/videos) of the damage
37-000-32	PRESENTATIONS - NON PROJECT	Presentations prepared for conferences, training and other work related events.	Until no longer of reference value but no more than 5 years after the presentation	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-000-33	REPORTS - AD HOC	Reports created at any time for a specific purpose. These do not include reports that are scheduled or generated at specific times and/or intervals.	Until no longer of reference value but no more than 1 year	
37-000-34	TEAM PROJECTS	This includes all paper and electronic records pertaining to team projects examining changes to NDOT or Division / District processes, including charters, agenda, minutes, presentations, notes, etc.	RESPONSIBLE PARTY, DIVISION OR DISTRICT: 10 years after completion of project ALL OTHERS: Until no longer of reference value but no more than 1 year after completion of project	
37-000-35	VEHICLE CHECKOUT	Paper record of the miles traveled in a vehicle along with name and DOT number of the person responsible for the vehicle.	ORIGINAL RECORD: Maintained by Operations Division (See Schedule 37-260) WORK COPY: Until no longer of reference value but no more than 1 year	
37-000-36	WEBSITE	Content that has been placed on the NDOT website, including the Intranet.	Superseded until obsolete	NOTE: Specific retention periods for content is independent of the website and is defined in other Division/District schedules; and see Schedule 124-General Records for State Agencies - WEB SITES, item 124-125