

# **Schedule 37-290**

## **DEPARTMENT OF TRANSPORTATION**

### **COMMUNICATIONS & PUBLIC POLICY DIVISION (Formerly COMMUNICATIONS DIVISION)**

**December 9, 2019**

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

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

SCHEDULE

**37-290**

AGENCY, BOARD OR COMMISSION

**DEPARTMENT OF TRANSPORTATION**

DIVISION, BUREAU OR OTHER UNIT

**COMMUNICATIONS & PUBLIC POLICY  
DIVISION (Formerly COMMUNICATIONS  
DIVISION)**

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

**Supersedes Edition of December 15, 2015**

**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*

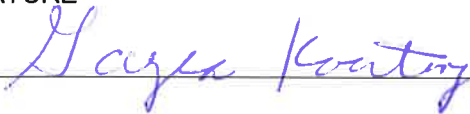
DATE

*11/15/19*

**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

*11/21/2019*

**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

*11/21/19*

**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

*12/9/2019*

## **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 37-290**  
**DEPARTMENT OF TRANSPORTATION**  
**COMMUNICATIONS AND PUBLIC POLICY DIVISION (formerly COMMUNICATION DIVISION)**  
**December 9, 2019**

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

Supersedes Edition of December 15, 2015

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-290-8	AMERICAN RECOVERY AND REINVESTMENT (ARRA) STIMULUS REPORTS	Quarterly transparency reports under the American Recovery and Reinvestment Act of 2009 (ARRA), PL 111-5 and related correspondence. Spreadsheets from early ARRA on-time, periodic and monthly reports (later replaced by on-line reporting in the Federal Highway Administration's RADS database). Federal guidance pertaining to same. Electronic file: Quarterly reports in stimulus folders. Other records: NDOT ARRA webpage.	10 years or longer if directed by Office of Management and Budget (OMB) or Federal Highway Administration (FHWA) for audit, or for U.S. Department of Transportation (DOT) Inspector General or U.S. Government Accountability Office (GAO) purposes.	Section: Government Affairs
37-290-9	BILL FACT SHEETS	Data captured as part of the bill tracking process.	<b>ELECTRONIC RECORD:</b> 10 Years	Section: Government Affairs
37-290-3	DEACCESSIONED LIBRARY MEDIA	Videotapes or other media produced by the Department of Transportation (not acquired from another source) removed from the NDOT library collection.	<b>ORIGINAL RECORD:</b> Superseded until obsolete. Records subject to review by the State Archives for possible accession	Contact the State Archives to negotiate transfer
37-290-12	DIVISION MANAGER FILES	May include, but not limited to, correspondence and notes for the division manager.	Until no longer of reference value but no more than 1 year	
37-290-17	ECONOMIC MODEL OUTCOMES		OBSOLETE, immediate disposal	
37-290-2	FEDERAL-AID BYWAYS PROGRAM	Correspondence affecting federal-aid byways program, policies, or procedures.	<b>ORIGINAL RECORD:</b> Scan project file and destroy paper copy one year after image verification <b>ELECTRONIC RECORD:</b> Retain in ECM for 5 years after project closeout by controller <b>SECURITY MICROFILM:</b> Prior to 12/31/2014. Transfer to the State Records Center, retain permanently. <b>MICROFILM WORK COPY:</b> Prior to 12/31/2014. Retain at NDOT, permanently	
37-290-11	FEDERAL LEGISLATION TRACKING DOCUMENTS	Final lists, tables, and memoranda prepared by NDOT identifying, evaluating, or tracking legislation of interest to NDOT.	Until no longer of reference value but no more than 5 years.	Section: Government Affairs
37-290-15	GENERAL LEGISLATIVE BILL INFORMATION	Data captured as part of the bill tracking process.	<b>ELECTRONIC RECORD:</b> 10 Years	Section: Government Affairs

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-290-5	HIGHWAY CONSTRUCTION PROGRAM BOOKS (TITLE VARIES)	Annual publication of one- and five-year project programs by district. Currently known as "Nebraska Surface Transportation Program Book."	<b>ELECTRONIC RECORD:</b> 5 years <b>ALL OTHER WORK COPIES:</b> Until no longer of reference value but no more than 1 year	<ul style="list-style-type: none"> <li>•Office of record for electronic record - Communication and Public Policy Division</li> <li>•Office of record for data - Program Management Division, see item 37-420-9</li> <li>•Title varies; located at call number R6000 B003 in library</li> <li>•Transfer 3 copies of each publication to the Publications Clearinghouse at the Library Commission</li> </ul>
37-290-6	INVENTORY OF CONSTRUCTION FIELD BOOKS	Includes project number, control number, contents, book number, status, project date, inventory date, and storage shelf number. Information is taken from the field books, Records Retention Schedule Item #37-380-22 (which are retained permanently), project diaries, journals and field books, Construction Division.	<b>MICROFILM:</b> Until obsolete <b>ELECTRONIC RECORD:</b> Superseded until obsolete	<ul style="list-style-type: none"> <li>•Prior to 2000 – microfilm</li> <li>•After 2000 – electronic</li> </ul>
37-290-16	LEGISLATIVE REPORTS	Bill history reports. Including State Highway Commission, Nebraska Board of Public Roads Classifications and Standards (NBCS), and Nebraska Board of Examiners for County Highway and City Street Superintendents (BEX).	<b>ELECTRONIC RECORD:</b> Until no longer of reference value but no more than 5 years.	Section: Government Affairs
37-290-7	LIBRARY CATALOG	Format may be spreadsheet, MARC (Machine- Readable Cataloging), or other electronic format. Includes bibliographic records of print and non-print materials.	<b>ELECTRONIC RECORD:</b> Superseded until obsolete <b>SECURITY BACKUP COPY:</b> Superseded until obsolete	
37-290-4	NDOT (NEBRASKA DEPARTMENT OF TRANSPORTATION) FORMS	Electronic templates.	Superseded until obsolete	<ul style="list-style-type: none"> <li>•Blank forms (templates) are retained in Information Processing Center (IPC) and superseded</li> <li>•Completed forms are retained by office of record</li> </ul>
37-290-18	OTHER RESEARCH	Includes statistical analysis for public involvement outreach efforts.	<b>ORIGINAL RECORD:</b> 10 years <b>WORK COPY:</b> Until no longer of reference value but no more than 1 year	Section: Strategic Communication
37-290-19	PERFORMANCE MEASURE REPORTS	Data gathered for annual report	<b>PAPER RECORD:</b> Superseded until obsolete. <b>ELECTRONIC RECORD:</b> 10 years	Section: Strategic Communication
37-290-20	PHOTOS - AERIAL	Select agency photographs (may be digital, print, negative, or transparency) of NDOT aerial photos.	10 years	Section: Multimedia Communications
37-290-21	PHOTOS - CONSTRUCTION	Select agency photographs (may be digital, print, negative, or transparency) of NDOT construction photos for media purposes.	10 years	Section: Multimedia Communications
37-290-22	PHOTOS - EVENTS	Select agency photographs (may be digital, print, negative, or transparency) of NDOT events.	10 years	Section: Multimedia Communications

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-290-23	PHOTOS - HIGHWAYS	Select agency photographs (may be digital, print, negative, or transparency) of NDOT highway photos for media purposes.	10 years	Section: Multimedia Communications
37-290-24	PHOTOS - HISTORICAL	Select agency photographs (may be digital, print, negative, or transparency) of NDOT historical events.	Permanent	Section: Multimedia Communications
37-290-25	PHOTOS - MAINTENANCE	Select agency photographs (may be digital, print, negative, or transparency) of NDOT maintenance photos for media purposes.	10 years	Section: Multimedia Communications
37-290-26	PHOTOS - PORTRAITS/GROUPS	Select agency photographs (may be digital, print, negative, or transparency) of NDOT staff photos, both individual and group.	10 years	Section: Multimedia Communications
37-290-10	PRINTING REQUESTS	Requisition for department in-house printing, duplicating, and copying.	Until no longer of reference value but no more than 1 year	Section: Print and Copy Center
37-290-31	PROPOSED FEDERAL REGULATIONS	Lists, proposals and filings made by NDOT, including related correspondence.	10 years, subject to review by State Archives for possible accession	Section: Government Affairs
37-290-32	PROPOSED LEGISLATION			See Schedule 124-General Records for State Agencies -- PROPOSED LEGISLATION, item 124-95. Section: Government Affairs
37-290-27	PUBLIC INVOLVEMENT (PI) REPORTS	PI Reports include compliance with state and federal regulations, notification techniques and activities, transcripts, civil rights analysis, venue selection and logistics, support materials and displays, attendance records, and citizen/agency participant comments and responses.	<b>ELECTRONIC RECORD:</b> Retain in ECM 10 years from after project closeout by Controller Division <b>ALL OTHER WORK COPIES:</b> Until no longer of reference value but no more than 1 year	Records (including emails and audio files) pertaining to PI preparations will be retained in the Public Involvement Office until the project has let for construction.
37-290-28	PUBLIC INVOLVEMENT (PI) PROCEDURES	Federal, state, local project agreement/manual for carrying out public involvement during delivery phase.	<b>ORIGINAL RECORD:</b> Retain current version, plus one previous version, until superseded (until obsolete)	Keep current version, plus one previous version for FHWA process review until previous version is obsolete.
37-290-1	PUBLIC RECORD REQUESTS			See Schedule 124-General Records for State Agencies -- COMMUNICATIONS - PUBLIC RECORD REQUESTS, Item 124-29
37-290-33	RULES AND REGULATIONS	NDOT's official rulemaking records for each new, amended or repealed NDOT or board regulations, including related correspondence, forms, indices and tables.	<b>CURRENT REGULATIONS:</b> Superseded until obsolete <b>PRIOR REGULATIONS:</b> 30 years following supersession or repeal, subject to review by State Archives for possible accession	Section: Government Affairs

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-290-29	STATE HIGHWAY COMMISSION REPORTS	Documentation of Highway Commission meetings and, including notification, meeting minutes, and support materials.	<b>ELECTRONIC RECORD:</b> Retain in ECM. Permanent <b>AUDIO FILE:</b> 10 years <b>SECURITY MICROFILM:</b> Prior to 12/31/2014. Transfer to the State Records Center, subject to review by the State Archives for possible accession. Permanent <b>MICROFILM WORK COPY:</b> Permanent	If accessioned, contact the State Archives to negotiate transfer
37-290-13	STATE HIGHWAY MAPS	Official printed highway maps 1937 to present.	Permanent	Section: Records Center
37-290-30	SURVEY REPORTS	Includes survey responses and analysis data.	<b>ELECTRONIC RECORD:</b> 10 years <b>WORK COPY:</b> Until no longer of reference value but no more than 1 year	Section: Strategic Communication
37-290-14	VISITOR LOG	A monthly log of all visitors to NDOT and Nebraska State Patrol (NSP).		See Schedule 124-General Records for State Agencies -- LOGBOOKS AND OTHER LOGS, item 124-75