

Schedule 37-260

DEPARTMENT OF TRANSPORTATION

OPERATIONS DIVISION

October 15, 2018

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

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

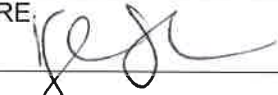
SCHEDULE	37-260
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF TRANSPORTATION
DIVISION, BUREAU OR OTHER UNIT	OPERATIONS DIVISION
Supersedes Edition of December 27, 2012	

**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

Arch

DATE

9/17/18

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

10/4/2018

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



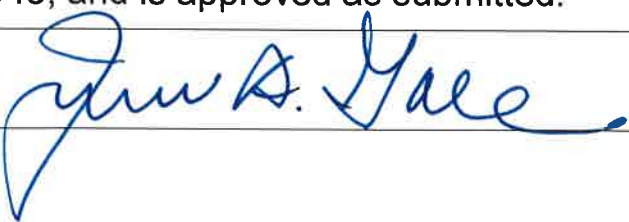
DATE

10/15/18

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

10/15/18

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.

**Records Management Division
3242 Salt Creek Circle
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402-471-2559**

SCHEDULE 37-260
DEPARTMENT OF TRANSPORTATION
OPERATIONS DIVISION
October 15, 2018

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 Division

Supersedes Edition of December 27, 2012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-260-27	ADOPT-A-HIGHWAY APPLICATION AND RENEWAL (NDOT FORM 57)	Approve organization's request to participate or continue to participate in the Adopt-a-Highway program.	3 years	No longer of reference value but no longer than 1 year. Generated from IHI and ACT databases.
37-260-44	ADVANCED TRAFFIC MANAGEMENT SYSTEM (ATMS) DATABASE	Includes dynamic message signs (DMS) posted messages and events	5 years	
37-260-45	ADVANCED TRAFFIC MANAGEMENT SYSTEM (ATMS) DATABASE	Includes sensor data, gate status, Road Weather Information System (RWIS) monitoring data, administrative reports	Superseded until obsolete	
37-260-29	AGREEMENT CONTRACT TRACKING (ACT) DATABASE	Includes information on city agreements	Superseded until obsolete	See Controller Division schedule, item 037-130-004
37-260-1	ANNUAL INVENTORY BY AGENCY	Online inventory of tagged furniture, computer inventory, fleet inventory, NDOT office equipment, engineering equipment (including major shop equipment) and radio equipment. Maintained in NIS Fixed Asset Database and Lucity Database. NDOT generates a paper report from NIS Database annually (fixed assets over \$1500).	Superseded until obsolete	
37-260-2	ANNUAL INVENTORY BY DISTRICT/DIVISION	Includes listings and custodian requests and receipts which document the custody of authorized equipment and furniture for each organizational element (OE).	When suspended listings and custodian receipts are exchanged for current updated original listings	
37-260-3	BIENNIAL AND ANNUAL TRANSPORTED WASTE ACTIVITY REPORTS	Submitted to Department of Environmental Quality and EPA. These reports show the Department's records of transported waste activity for one year.	Permanent	
37-260-4	BOILER AND ELEVATOR INSPECTION REPORTS	All Inspection permits stored in basement in Capital Facility Files.	5 years	
37-260-47	CAMERA SNAPSHOTS	Posted to 511 for public use, updates are approximately every 10 minutes.	Superseded until obsolete	
37-260-46	CAMERA VIDEO	Live feed.	Superseded until obsolete	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-260-38	CHECK REGISTER	List of checks received and accompanying documentation. Forwarded to Controller Division.		See Controller Division schedule, item 037-130-004
37-260-39	CITIZEN ATTESTATION	NDOT form 289; attached to each hay harvest permit.	5 years	
37-260-5	DISASTER RECOVERY BACKUPS FOR ELECTRONIC RECORDS		Obsolete	See General Schedule 124 for State Agencies
37-260-7	DRAWINGS	Capital facilities plans.		See Schedule 124-General Records for State Agencies -- BUILDING AND LAND IMPROVEMENT PROJECT PLANS AND SPECIFICATIONS, item 124-20
37-260-8	FUEL INVENTORY	Weekly computer report lists the purchase and fuel issues from the department's 92 yards. Information also is provided by district.	5 years	Inventory generated from STATE GAS SYSTEM DATABASE, item 037-260-016
37-260-9	GASOLINE SALES TICKETS	Hand written fuel transactions.	5 years	
37-260-30	GREAT NEBRASKA TRASH OFF REPLY CARD	Follow-up with program participants and statistical information.	Until no longer of reference value but no more than 1 year	
37-260-32	HAY PERMIT (NDOT FORM 521) AND HAY HARVEST PERMIT (NDOT FORM 522)	Rules and regulations compliance.	Until no longer of reference value but no more than 1 year	
37-260-10	HAZARDOUS WASTE MANIFEST	Records that show the transportation and disposal of hazardous waste material.	Permanent	
37-260-26	HEAVY EQUIPMENT AND VEHICLES	All documentation including but not limited to specifications, procurement and surplus. Includes all forms, reports, titles and checklists.	5 years after date of sale or destruction of asset.	
37-260-49	HIGHWAY CONDITION REPORTING SYSTEM (HCRS) DATABASE	Events and road conditions	5 years	
37-260-28	INTEGRATED HIGHWAY INVENTORY (IHI) DATABASE	Includes data on all Adopt-a-Highway information and what segments of highway litter is picked up.	Superseded until obsolete	
37-260-52	INTELLIGENT TRANSPORTATION SYSTEMS (ITS) ARCHITECTURE	Turbo Architecture is a software package provided free by the US DOT ITS Joint Program Office. Turbo is used to document the inventory and interfaces for regional and project-level ITS architectures.	Superseded until obsolete	
37-260-43	INTELLIGENT TRANSPORTATION SYSTEMS (ITS) DEVICE INVENTORY	ITS device GIS database.	Superseded until obsolete	
37-260-42	INTELLIGENT TRANSPORTATION SYSTEMS (ITS) MICROSTATION DESIGN FILES	Computer-aided design (CAD) level files.	Superseded until obsolete	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-260-50	INTELLIGENT TRANSPORTATION SYSTEMS (ITS) PROGRAM SPREADSHEET	Matrix of potential projects, estimated cost, estimate year of construction	Superseded until obsolete	
37-260-41	LUCITY DATABASE-FLEET	Includes data on heavy equipment and vehicles (Fleet), including but not limited to purchasing, surplus, maintenance records, travel logs and reports.	5 years after date of sale or destruction of asset.	
37-260-58	LUCITY DATABASE-ITS SUPPORT	ITS support, includes patches and upgrades.	5 years after date of sale or destruction of asset.	
37-260-33	MOBILE RADIO DIRECTORY	Distributed statewide, updated and reprinted every 2 years.	Superseded + 1 report until obsolete	
37-260-51	ON-CALL CONSULTANT STUDIES	Final report	10 years	
37-260-36	OPERATIONS DIVISION DIRECTORY	In-house directory, updated as needed.	Superseded until obsolete	
37-260-37	OPERATIONS-DISTRICT AND DIVISION DIRECTORY	A directory of NDOT contacts. Updated annually and distributed to districts, divisions and other state agencies.	Superseded until obsolete	
37-260-61	PHONE TABLE (DATABASE)	Includes modems, record of all telecomm devices, billable devices and services that we receive through OCIO.	Superseded until obsolete	
37-260-55	PURCHASE ORDER RECEIPT FOR WARRANTY	Engineering equipment warranty records.	Superseded until obsolete	
37-260-35	REST AREA MANUAL	Rest area guidelines and best practices.	Superseded until obsolete	
37-260-12	ROAD CONDITION REPORTS	Details of highway conditions (ice, snow, flood, etc.) in all districts.	Obsolete, immediate disposal	
37-260-59	ROAD WEATHER INFORMATION SYSTEM (RWIS) VENDOR DATA	Status reports and PM reports.	Superseded until obsolete	
37-260-60	ROAD WEATHER INFORMATION SYSTEM (RWIS) VENDOR DATA	RWIS data.	5 years	
37-260-40	SAFETY MEETING REPORTS	Monthly meeting reports.	Until no longer of reference value but no more than 1 year	
37-260-34	SECURITY CONTACTS	Current information for buildings in Central Complex.	Superseded until obsolete	
37-260-54	SHOP WORK ORDERS	Orders for work in Ray Maxson's Shop.	3 years	
37-260-13	SNOW REMOVAL AND ICE CONTROL PROGRAM DATA	Annual snow removal plan charts and maps, weather reports and reports of status and maintenance of equipment, log of operations and other related data.	Obsolete, immediate disposal	
37-260-14	SPECIFICATIONS	Specifications for stock items.	PAPER RECORD: Superseded until obsolete. ELECTRONIC RECORD: Superseded until obsolete	Printouts used for making copies to submit with bids
37-260-48	SPEEDINFO DATABASE	Speed sensor data.	3 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-260-15	SPILL PREVENTION CONTROL AND COUNTERMEASURES (SPCC) PLANS	SPCC is a regulation promulgated by EPA for NDOT facilities that have at least 1320 gallons of above ground petroleum storage capacity. May include, but not limited to: Oil Water Separator Assessment forms, Monthly Tank Assessment forms, Annual Tank Assessment forms, Diked Area Drainage forms, Flame Shield tank testing for tank integrity, and Ultrasonic testing.	OTHER RECORDS: 5 years after updated and copy received FLAME SHIELD RECORD: No longer of administrative value as determined by the Highway Environmental Program Specialist OR return to the filing entity	Federal Clean Water Act (CWA) - 40 CFR part 112
37-260-16	STATE GAS SYSTEM DATABASE	Includes data on fuel inventory, credit card usage and Voyager billing.	PAPER RECORD: Scan and destroy paper copy after image verification. ELECTRONIC RECORD: Superseded until obsolete.	Data received as paper or electronic information
37-260-17	STATE REQUISITIONS AND PURCHASE ORDERS			See Schedule 124-General Records for State Agencies -- ACCOUNTS PAYABLE, item 124-1
37-260-18	STOCK REQUISITIONS			See Schedule 124-General Records for State Agencies -- ACCOUNTS PAYABLE, item 124-1
37-260-19	STOCK STATUS/WORK ORDER	Report of items in stock with location and quantities, repair and fabrication.	ELECTRONIC RECORD: Superseded until obsolete PRINT RECORD: Superseded until obsolete	Paper copy used if system goes down as a catalog reference
37-260-20	STORAGE AND WAREHOUSING RECORDS	Includes planning records and layout diagrams for warehouses, shed, and open storage spaces. Records also include locator records such as location cards, bin tags, copies of shipping documents, tallies and similar documents. These latter documents are used for selection, packing and loading of stock for shipment.	Superseded until obsolete	
37-260-21	SUPPLY REFERENCE RECORDS	Includes specifications, online supply catalogs, equipment lists and related reference aids.	ELECTRONIC RECORD: Superseded until obsolete WORK COPY: Superseded until obsolete	
37-260-56	SYSTEMS ENGINEERING DOCUMENTATION--DRAFT	Drafts	5 years	
37-260-57	SYSTEMS ENGINEERING DOCUMENTATION--FINAL	Final approved by Federal Highway Administration (FHWA).	5 years	
37-260-53	TRAFFIC SIGNAL CONFLICT MONITOR TEST RESULTS	Annual check of traffic signal conflict monitoring.	Superseded + 1 report until obsolete	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-260-22	VOYAGER SYSTEM CHARGE SLIPS	Charge slips generated for the Voyager System at the point of purchase. The state employee receives these receipts at the time of purchase. The receipts should be retained by the agency the employee is working for.	1 year	
37-260-23	VOYAGER SYSTEM CHARGES- DETAIL LISTING			See Schedule 124-General Records for State Agencies -- VOYAGER SUMMARY DOCUMENT, item 124-122
37-260-24	WARRANTY OR GUARANTEE RECORDS			See EQUIPMENT WARRANTY, item 37-260-185 See Schedule 124-General Records for State Agencies -- EQUIPMENT SERVICE AGREEMENT, item 124-053 and EQUIPMENT WARRANTY, item 124-054
37-260-25	WATER WELL INFORMATION AND DATA SHEET	Shows depth of drilling, size of casting, type of packing. Also provides results of quarterly water samples.	After well is closed/sealed or transferred on to a new owner	See Schedule 124-General Records for State Agencies -- BUILDING AND LAND IMPROVEMENT PROJECT PLANS AND SPECIFICATIONS (FORMERLY BUILDING CONSTRUCTION AND CONTRACTS AND RECORDS), item 124-20.