

Schedule 37-340

DEPARTMENT OF ROADS

TRAFFIC DIVISION

September 19, 2011

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

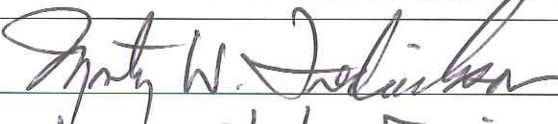
**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

| | |
|---|----------------------------|
| SCHEDULE | 37-340 |
| AGENCY, BOARD OR COMMISSION | DEPARTMENT OF ROADS |
| DIVISION, BUREAU OR OTHER UNIT | TRAFFIC DIVISION |
| Supersedes Edition of October 15, 2010 | |

**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.

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|---|--------------------|
| SIGNATURE  | |
| TITLE <i>Director - State Engineer</i> | DATE <i>9-1-11</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.

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| SIGNATURE  | DATE <i>9-8-11</i> |
|---|--------------------|

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.

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| SIGNATURE  | DATE <i>9/9/11</i> |
|---|--------------------|

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>9/19/11</i> |
|---|---------------------|

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
Lincoln, NE 68504
402-471-2559**

**SCHEDULE 37-340
DEPARTMENT OF ROADS
TRAFFIC DIVISION
September 19, 2011**

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Edition of October 15, 2010

| ITEM NUMBER | RECORD TITLE | DESCRIPTION/EXAMPLES | RETENTION | REFERENCE/COMMENTS |
|-----------------------------|--|--|---|-------------------------------|
| 037-340-001-000-000-000-000 | DISASTER RECOVERY BACK-UPS FOR ELECTRONIC RECORDS | Back-up tapes or other storage media are only to be used for system restoration in the event of a disaster. Disaster recovery back-ups are never to be used or considered for records management or archiving purposes. ROADS provides all disaster recovery back-up services for their records except email, which is managed by the OCIO. Tapes for all other electronic records will be maintained and then overwritten or destroyed following the retention rotations. | E-MAIL RECORDS: See DISASTER RECOVERY DATA FOR THE ENTERPRISE EMAIL SYSTEM, Schedule 124, item 124-43 ALL OTHER ELECTRONIC RECORDS: MONDAY-FRIDAY FULL BACK-UPS: Recycle after 1 year | |
| 037-340-002-000-000-000-000 | HIGHWAY SAFETY ACCIDENTS BY AGE GROUP, SEX AND COUNTY OF RESIDENCE | Computer report created as needed to show the number of accidents by age group, sex and county of residence. | 25 years | Used for statistical purposes |
| 037-340-003-000-000-000-000 | HIGHWAY SAFETY FATAL CRASH REPORTS | Information on fatal crashes involving Nebraska roads. | 25 years | Used for statistical purposes |
| 037-340-004-000-000-000-000 | HIGHWAY SAFETY FATALITY ACCIDENT BAC REPORT | Lists accident information and results of the BAC (Blood Alcohol Content) test. Information is submitted by the reporting county attorney. | 25 years | Used for statistical purposes |
| 037-340-005-000-000-000-000 | HIGHWAY SAFETY PROJECT FILES | Federally funded highway safety projects for promoting NHTSA (National Highway Transportation Safety Administration) priority areas. Files may include, but are not limited to: Highway Safety reporting requirements, monthly cash request forms, grant agreement, special condition forms and project correspondence. | 25 years | |
| 037-340-006-000-000-000-000 | HIGHWAY SAFETY STANDARD SUMMARY OF NEBRASKA MOTOR VEHICLE TRAFFIC ACCIDENTS | Statistical accident information received on motor vehicle traffic accidents in Nebraska. | 25 years | |
| 037-340-007-000-000-000-000 | HIGHWAY SAFETY STATE TOTALS BY AGE AND SEX OF LICENSED DRIVERS | Computer report is created as needed to show the age and sex of licensed drivers in the state and is used for statistics. | 25 years | |
| 037-340-008-000-000-000-000 | HIGHWAY SAFETY SUSPENSION AND REVOCATION BY COUNTY | Computer report is created as needed to show the number of license suspensions and revocations for each county. | 25 years | Used for statistical purposes |

| ITEM NUMBER | RECORD TITLE | DESCRIPTION/EXAMPLES | RETENTION | REFERENCE/COMMENTS |
|-----------------------------|---|--|---|-------------------------------|
| 037-340-009-000-000-000-000 | HIGHWAY SAFETY TRAFFIC TOLL-DAILY COUNT | "Daily Count of the Nebraska Traffic Toll" is a daily comparative chart on fatalities by the type of accident. | 25 years | Used for statistical purposes |
| 037-340-010-000-000-000-000 | HIGHWAY SAFETY VIOLATIONS BY AGE GROUP AND SEX | Computer report is created as needed to show the number of violations according to age group. | 25 years | Used for statistical purposes |
| 037-340-011-000-000-000-000 | NEBRASKA HIGHWAY SAFETY FEDERAL EQUIPMENT AND DEPRECIATION RECORD | Incorporates and replaces Depreciated Equipment Record and Evaluation/Inventory/ Monitoring Report. Includes type of equipment purchased (if over \$1,000.00), band serial number, date purchased, cost and amount of federal participation. The depreciation record is submitted to Highway Safety when a piece of equipment reaches the end of its depreciation period. Data includes item, ID, date acquired, cost and length of useful life. | 25 years | Information is computerized |
| 037-340-012-000-000-000-000 | NEBRASKA HIGHWAY SAFETY PLAN (NHSP) | Three year plan is set up on the fiscal year. It is used to set up elements for projects and lists tasks within each element. | 25 years | |
| 037-340-013-000-000-000-000 | TRAFFIC ACCIDENT ANALYSIS | Studies and reports of accidents, locations, and high traffic count locations, etc. | 10 years | |
| 037-340-014-000-000-000-000 | TRAFFIC ACCIDENT/INCIDENT REPORTS, PHOTOGRAPHIC NEGATIVES AND ALLIED PAPERS | Includes Investigator's Motor Vehicle Report (DR Form 40, 40A, 174 and 76), Driver's Motor Vehicle Accident Report (DR Form 41). | ORIGINAL RECORD: PRIOR TO 1998: Scan to CD; 3 years AFTER 1998: Scan to electronic document imaging database; 3 years CD SECURITY COPY (PRIOR TO 1998): Transfer to State Records Center; 15 years CD WORK COPY: 15 years PHOTOGRAPHIC NEGATIVES: 15 years ELECTRONIC RECORD: 30 years | |
| 037-340-015-000-000-000-000 | TRAFFIC ANALYSIS STUDIES AND COLLECTED DATA | Includes studies and collected data related to traffic analysis. | ORIGINAL RECORD: Microfilm, scan to CD annually and return to Traffic Engineering Office; 50 years or when obsolete (whichever is sooner) SECURITY MICROFILM: Transfer to State Records Center; 50 years MICROFILM WORK COPY: 50 years CD SECURITY COPY: Transfer to State Records Center; 15 years CD WORK COPY: 15 years | |

| ITEM NUMBER | RECORD TITLE | DESCRIPTION/EXAMPLES | RETENTION | REFERENCE/COMMENTS |
|-----------------------------|---|---|---|--------------------|
| 037-340-016-000-000-000-000 | TRAFFIC ENGINEERING, SPEED ZONE AUTHORIZATIONS | All authorizations related to speed zone changes. | ORIGINAL RECORD: Microfilm, scan to CD annually and return to Traffic Engineering Office; superseded SECURITY MICROFILM: Transfer to State Records Center; dispose of after all records on roll have been superseded MICROFILM WORK COPY: After all records on roll have been superseded CD SECURITY COPY: Transfer to State Records Center; 15 years CD WORK COPY: 15 years | |
| 037-340-017-000-000-000-000 | TRAFFIC ENGINEERING'S CORRESPONDENCE | Correspondence related to traffic signs, pavement marking and signals. | ORIGINAL RECORD: Microfilm, scan to CD annually and return to Traffic Engineering Office; 50 years or when obsolete (whichever is sooner) SECURITY MICROFILM: Transfer to State Records Center; 50 years MICROFILM WORK COPY: 50 years CD SECURITY COPY: Transfer to State Records Center; 15 years CD WORK COPY: 15 years | |
| 037-340-018-000-000-000-000 | TRAFFIC PLANS, SIGNING, PAVEMENT MARKING AND SIGNAL | | Superseded or obsolete (whichever is sooner) | |
| 037-340-019-000-000-000-000 | TRAFFIC REPORTS, SEMI-ANNUAL AND ANNUAL SAFETY | Safety report requested by FHWA (Federal Highway Administration). | 5 years | |
| 037-340-020-000-000-000-000 | TRAFFIC STANDARD SUMMARY OF MOTOR VEHICLE ACCIDENTS | Monthly summary of all accidents. | ANNUAL REPORT: Microfilm and destroy SECURITY MICROFILM: Transfer to State Records Center; permanent MICROFILM WORK COPY: Permanent SPECIAL ACCIDENT SUMMARIES: 20 years MONTHLY AND YEAR TO DATE SUMMARIES: 10 years | |
| 037-340-021-000-000-000-000 | TRAFFIC STATE PROPERTY DAMAGE FILE | Includes cases created or reported damage to NDOR (Nebraska Department of Roads) property (DR Form 11). | COMPLETED CASES WHERE COSTS WERE INCURRED AND PAYMENT MADE: 3 years CASES WHERE NO DAMAGE WAS INCURRED: 2 years UNCOLLECTIBLE CASES: 5 years | |
| 037-340-022-000-000-000-000 | TRAFFIC STUDIES, 3+ SAFETY TRAFFIC ENGINEERING | Federally subsidized project oriented study of such things as high accident intersections. | 10 years after FHWA final payment | Obsolete 2002 |