

# **Schedule 37-260**

## **DEPARTMENT OF TRANSPORTATION**

### **OPERATIONS DIVISION**

**October 15, 2018**

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**

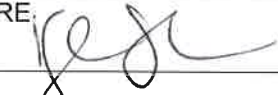
SCHEDULE	<b>37-260</b>
AGENCY, BOARD OR COMMISSION	<b>DEPARTMENT OF TRANSPORTATION</b>
DIVISION, BUREAU OR OTHER UNIT	<b>OPERATIONS DIVISION</b>
Supersedes Edition of December 27, 2012	

**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



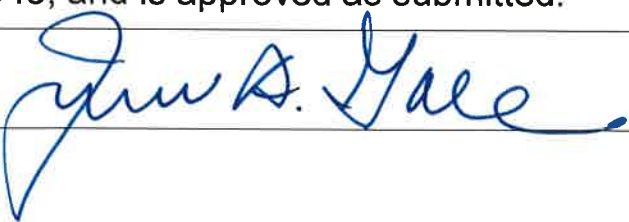
DATE

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.
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 the 2<sup>nd</sup> to 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. If you wish, you may receive this form electronically by contacting the Records Management Division. 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 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 37-260**  
**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	<b>ADOPT-A-HIGHWAY APPLICATION AND RENEWAL (NDOT FORM 57)</b>	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	<b>ADVANCED TRAFFIC MANAGEMENT SYSTEM (ATMS) DATABASE</b>	Includes dynamic message signs (DMS) posted messages and events	5 years	
37-260-45	<b>ADVANCED TRAFFIC MANAGEMENT SYSTEM (ATMS) DATABASE</b>	Includes sensor data, gate status, Road Weather Information System (RWIS) monitoring data, administrative reports	Superseded until obsolete	
37-260-29	<b>AGREEMENT CONTRACT TRACKING (ACT) DATABASE</b>	Includes information on city agreements	Superseded until obsolete	See Controller Division schedule, item 037-130-004
37-260-1	<b>ANNUAL INVENTORY BY AGENCY</b>	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	<b>ANNUAL INVENTORY BY DISTRICT/DIVISION</b>	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	<b>BIENNIAL AND ANNUAL TRANSPORTED WASTE ACTIVITY REPORTS</b>	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	<b>BOILER AND ELEVATOR INSPECTION REPORTS</b>	All Inspection permits stored in basement in Capital Facility Files.	5 years	
37-260-47	<b>CAMERA SNAPSHOTS</b>	Posted to 511 for public use, updates are approximately every 10 minutes.	Superseded until obsolete	
37-260-46	<b>CAMERA VIDEO</b>	Live feed.	Superseded until obsolete	

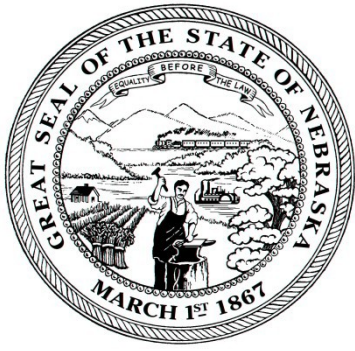
ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-260-38	CHECK REGISTER	List of checks received and accompanying documentation. Forwarded to Controller Division.		See Controller Division schedule, item 037-130-004
37-260-39	CITIZEN ATTESTATION	NDOT form 289; attached to each 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.	<b>PAPER RECORD:</b> Superseded until obsolete. <b>ELECTRONIC RECORD:</b> 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	<b>SPILL PREVENTION CONTROL AND COUNTERMEASURES (SPCC) PLANS</b>	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.	<b>OTHER RECORDS:</b> 5 years after updated and copy received <b>FLAME SHIELD RECORD:</b> 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	<b>STATE GAS SYSTEM DATABASE</b>	Includes data on fuel inventory, credit card usage and Voyager billing.	<b>PAPER RECORD:</b> Scan and destroy paper copy after image verification. <b>ELECTRONIC RECORD:</b> Superseded until obsolete.	Data received as paper or electronic information
37-260-17	<b>STATE REQUISITIONS AND PURCHASE ORDERS</b>			See Schedule 124-General Records for State Agencies -- ACCOUNTS PAYABLE, item 124-1
37-260-18	<b>STOCK REQUISITIONS</b>			See Schedule 124-General Records for State Agencies -- ACCOUNTS PAYABLE, item 124-1
37-260-19	<b>STOCK STATUS/WORK ORDER</b>	Report of items in stock with location and quantities, repair and fabrication.	<b>ELECTRONIC RECORD:</b> Superseded until obsolete <b>PRINT RECORD:</b> Superseded until obsolete	Paper copy used if system goes down as a catalog reference
37-260-20	<b>STORAGE AND WAREHOUSING RECORDS</b>	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	<b>SUPPLY REFERENCE RECORDS</b>	Includes specifications, online supply catalogs, equipment lists and related reference aids.	<b>ELECTRONIC RECORD:</b> Superseded until obsolete <b>WORK COPY:</b> Superseded until obsolete	
37-260-56	<b>SYSTEMS ENGINEERING DOCUMENTATION--DRAFT</b>	Drafts	5 years	
37-260-57	<b>SYSTEMS ENGINEERING DOCUMENTATION--FINAL</b>	Final approved by Federal Highway Administration (FHWA).	5 years	
37-260-53	<b>TRAFFIC SIGNAL CONFLICT MONITOR TEST RESULTS</b>	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 casing, 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.





# NEBRASKA SECRETARY OF STATE RECORDS DISPOSITION REPORT

Send to: Records Management Division  
 440 S. 8<sup>th</sup> Street, Suite 210  
 Lincoln, NE 68508-2294 402-471-2559  
[sos.recordsmanagement@nebraska.gov](mailto:sos.recordsmanagement@nebraska.gov)

Approved records retention schedules serve as the legal authority to dispose of records regardless of the media on which they reside. Nebraska revised statute §84-1212.02 requires agencies to report records dispositions on forms provided by the State Records Administrator. Use this form to meet that requirement.

<b>1. AGENCY &amp; DIVISION</b>	
<b>2. SCHEDULE NUMBER(S) ONLY- AGENCY SPECIFIC SCHEDULE OR GENERAL RECORDS SCHEDULE</b>	
<b>3. RECORD MEDIUM</b> PAPER <input type="checkbox"/> ELECTRONIC <input type="checkbox"/> OTHER <input type="checkbox"/> _____	
<b>4. FINAL DISPOSTION METHOD</b>	
<b>5. VOLUME OR FILE SIZE OF RECORDS DISPOSED</b>	
<b>6. OPTIONAL DETAILS FOR ELECTRONIC AND PAPER RECORDS</b> (list whatever level of detail you will want to keep for future use to document what specifically you deleted/destroyed):	
<b>7. SIGNATURE</b> PRINTED NAME _____ SIGNATURE _____	<b>DATE</b>

## INSTRUCTIONS

1. Enter the agency and division.
2. Enter the records schedule item number(s) that provide authority to dispose of records. The schedule number is either the agency specific schedule and/or the general records schedule. If you are disposing of records from the general records schedule, enter either 24 for local agencies or 124 for state agencies.
3. Choose the record medium being disposed of.
4. Please describe how final disposal was accomplished such as trash, recycled, shredded, deleted, etc.
5. For paper records, report the total volume of records disposed. One standard size storage box (15x10x12) is one cubic foot. For electronic records, report the total file size deleted. An estimate of total volume is fine.
6. Use the optional details for electronic and paper records section to list the level of detail you want to keep for future use to document what specifically was deleted/destroyed.
7. Sign and date the form and send it to the Records Management Division at the address above. Retain a copy for your records in accordance with schedule 24-71 for local agencies and 124-100 for state agencies.