

Schedule 37-250

DEPARTMENT OF TRANSPORTATION

INTERMODAL PLANNING DIVISION (Formerly RAIL & PUBLIC TRANSPORTATION)

August 19, 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	37-250
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF TRANSPORTATION
DIVISION, BUREAU OR OTHER UNIT	INTERMODAL PLANNING DIVISION (Formerly Rail and Public Transportation Division)
Supersedes Edition of August 17, 2009	

**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 Director	DATE 8/1/19

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 8/13/2019	

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 8/16/19	

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 8/19/2019	

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 37-250
DEPARTMENT OF TRANSPORTATION
INTERMODAL PLANNING DIVISION (formerly RAIL AND PUBLIC TRANSPORTATION DIVISION)
August 19, 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 Division

Supersedes Edition of August 17, 2009

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-250-3	ANNUAL REPORT CERTIFYING AMOUNT OF OPERATING COSTS ELIGIBLE PER FISCAL YEAR	Funds requested by each applicant for eligible operating costs reported in two categories. 1) paratransit vehicles and 2) handicapped-accessible fixed-route bus systems.	5 years	Nebraska Revised Statutes 13-1210
37-250-1	AUTOMATIC TRAFFIC DATA	Data is collected regarding the volume and classification of vehicular traffic at selected locations. It is used to analyze traffic characteristics and is also used in planning. Data has been collected since 1936.	PAPER RECORD: Scan retain in ECM. Until no longer of reference value but no more than 1 year ELECTRONIC DB2 FILES: Permanent OTHER ELECTRONIC: 20 years	
37-250-4	CAPITAL GRANT DOCUMENTS	Vehicles purchased and transit storage facilities purchased, constructed or renovated to be used for public transportation (5311) and vehicles purchased to meet the needs of the elderly and disabled (5310).	5 years from the date of disposition by equipment/facility or replacement/transfer at Federal Transit Administration (FTA) direction	<ul style="list-style-type: none"> •Section 5310 program •Section 5311 program •ARRA
37-250-6	CORRESPONDENCE, FEDERAL-AID PROGRAMS	Correspondence affecting federal aid programs, policies and procedures.	FEDERAL TRANSIT ADMINISTRATION RECORDS/CORRESPONDENCE AT A PROJECT LEVEL: 3 years after close-out of grant provided audit has been completed ALL OTHER PROGRAM LEVEL CORRESPONDENCE RECORDS/CORRESPONDENCE: 3 years provided audit has been completed	
37-250-2	DISADVANTAGED BUSINESS ENTERPRISE (DBE) GOAL SETTING PROCESS AND PLAN	Disadvantaged business enterprises plan.	3 years or after new plan is approved by Federal Transit Administration (FTA)	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-250-7	FEDERAL TRANSIT ADMINISTRATION (FTA) ANNUAL DRUG & ALCOHOL MANAGEMENT INFORMATION SYSTEM (MIS) REPORTS	Reports drug and alcohol testing frequency and types to FTA, individual reports received from each system and submitted to FTA by NDOT.	5 years	
37-250-14	FEDERAL TRANSIT ADMINISTRATION (FTA) DRUG AND ALCOHOL POLICIES, SUB-RECIPIENTS	Approved plan and board approval, most current.	Superseded	Ongoing as sub-recipients receive Federal Transit Administration (FTA) operating and capital funding. Replace as plans are updated and/or during the application process.
37-250-16	LICENSE PLATE DATA FROM TRAFFIC STUDIES	Origin-Destination (O-D) studies typically track license plates, includes electronic, photo, video and paper.	After O-D report approval, until no longer of reference value but no more than 1 year	
37-250-17	LOCAL AGENCY COMPREHENSIVE PLAN	Include report and agreement.	PAPER RECORD: Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 10 years	
37-250-18	MANUAL VEHICLE CLASSIFICATION DATA	Detailed hourly count data by vehicle type.	PAPER RECORD: 20 years, or if scanned and stored: no longer of reference value but no more than 1 year ELECTRONIC RECORD: 20 years	
37-250-19	METROPOLITAN PLANNING ORGANIZATION (MPO) DOCUMENTS	All MPO-related documents <u>except</u> MPO Operating Manual (see below) and MPO-NDOT Agreements (see Agreements Section schedule).	PAPER RECORD: Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 10 years	
37-250-20	METROPOLITAN PLANNING ORGANIZATION (MPO) OPERATING MANUAL			See Schedule 124-General Records for State Agencies - POLICY AND PROCEDURES MANUAL - OTHER, item 124-132
37-250-15	NATIONAL RAILROAD HIGHWAY CROSSING INVENTORY	May include records on railway-highway crossings from inventory and/or inspections. This system is online only.	DATABASE: Permanent PHOTOS: Superseded. All other copies retain until no longer of reference value but no more than 1 year	
37-250-21	NDOT LONG RANGE TRANSPORTATION PLAN (LRTP)	LRTP creates, through a collaborative process, a statewide transportation planning document.	10 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-250-22	NDOT TRANSPORTATION INVESTMENT GENERATING ECONOMIC RECOVERY (TIGER) GRANT APPLICATION		PAPER RECORD: Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 10 years	
37-250-8	OPERATING ASSISTANCE GRANT DOCUMENTS AND STATISTICAL DATA OF PARTICIPATING PUBLIC TRANSPORTATION		3 years after project close-out at the end of each fiscal year	•Section 5311 program
37-250-10	PERMIT LOGS/REGISTERS	Indicates fee charged for each permit.	3 years, provided audit has been completed	
37-250-9	PERMITS (CONTINUOUS OPERATION, MOBILE OR MODULAR HOUSING AND SINGLE TRIP)	Includes form RM 512 (application for continuous operation permit), form RM 446 (application for special single trip permit for the movement of mobile or modular housing), form RM 427 (application for special single trip permit), route surveys, tax receipts for pre-owned manufactured homes, and emails pertaining to permits such as route selection.	DATABASE: Permanent PERMIT DOCUMENTATION (ELECTRONIC AND PAPER): 5 years	
37-250-23	PORTABLE MACHINE TRAFFIC COUNT DATA	Detailed hourly traffic data and automatic traffic data.	PAPER RECORD: 20 years, or if scanned and stored: no longer of reference value but no more than 1 year ELECTRONIC DB2 FILES: Permanent OTHER ELECTRONIC: 20 years	
37-250-11	RAIL PLANNING UPDATES	An overview of the statewide rail system with detailed analysis on select branch lines.	ELECTRONIC RECORD: Retain in ECM. Permanent BEFORE 2017 SECURITY MICROFILM PRIOR TO 2017: Transfer to the State Archives MICROFILM WORK COPY PRIOR TO 2017: Permanent	
37-250-12	RAILROAD CROSSING REPORTS		NDOT REPORT: 1 year after superseded NATIONAL REPORT: Scan and retain in ECM. Permanent SECURITY MICROFILM PRIOR TO 2017: Transfer to Secure Storage MICROFILM WORK COPY PRIOR TO 2017: Permanent	
37-250-13	RAILROAD PROJECT FILES	May include agreements, plans, maps, correspondence, audit reports, and inspection reports.	5 years provided audit has been completed	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-250-24	STATEWIDE WORK PROGRAM		PAPER RECORD: Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 10 years	
37-250-25	TITLE VI PLAN, NDOT	Approved plan and Federal Transit Administration (FTA) approval.	3 years or after new plan is approved by FTA	
37-250-26	TITLE VI PLAN, SUB-RECIPIENTS	Approved plan and board approval, most current.	Superseded	Ongoing as sub-recipients receive Federal Transit Administration (FTA) operating and capital funding. Replace as plans are updated and/or during the application process.
37-250-27	TRAFFIC MODEL	Traffic Models for NDOT Sub-areas, Regional Areas, Comprehensive Plans, and MPOs.	PAPER RECORD: Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 20 years	
37-250-28	TRUCK WEIGHT STUDY	Detailed weight and count data.	PAPER RECORD: Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 20 years	
37-250-5	CLIENT FOLDER			Obsolete