

Schedule 37-130

DEPARTMENT OF TRANSPORTATION

CONTROLLER DIVISION

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
37-130
AGENCY, BOARD OR COMMISSION DEPARTMENT OF TRANSPORTATION
DIVISION, BUREAU OR OTHER UNIT CONTROLLER DIVISION
Supersedes Edition of September 8, 2006

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

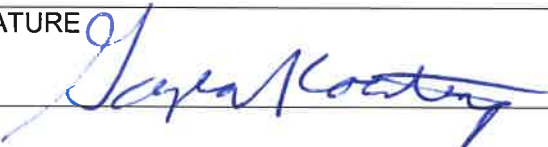
PART I – AGENCY STATEMENT:

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	8/14/2019

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 37-130
DEPARTMENT OF TRANSPORTATION
CONTROLLER DIVISION
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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 September 8, 2006

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-130-1	A-133 SUB RECIPIENT AUDIT REPORTS AND NDOT MONITORING RECORDS	All records associated with the Nebraska Department of Transportation (NDOT) efforts to monitor compliance with OMB Circular A-133 Sub recipient Audit Requirements. Includes, but not limited to: Independent Audit Reports of Sub Recipient's annual financial statements, NDOT's review checklists, annual reminder/notification letters, return questionnaires, correspondence and documentation used in the identification of federal pass through projects and the establishment of annual federal payment amounts.	ELECTRONIC RECORD: 5 years	SECTION: Audit Section
37-130-2	ACCOUNTING MANUAL	Files containing the accounting manual.	ELECTRONIC RECORD: Superseded	SECTION: Financial Systems
37-130-3	ACCOUNTS PAYABLE RECORDS	Records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: May include remittance advice and statements, lists of vendors, invoices, invoice audits, performance guarantees and distribution slips.	PAPER RECORD: 10 years, ELECTRONIC RECORD: 10 years	SECTION: Accounting
37-130-4	ACCOUNTS RECEIVABLE RECORDS	May include, but not limited to: invoices, adjustments to the accounts, invoice registers, stock requisitions, or other documents which detail the material or services billed on the related invoices.	PAPER RECORD: 10 years ELECTRONIC RECORD: 10 years	SECTION: Accounting
37-130-95	ALL FUNDS ACCOUNT SUMMARIES (EXPENSE, REVENUE, ACTIVITY)	Computer generated report that reflects cost (expenses) in the 4000 object code series (5000 in NIS) by the expanding program (activity series). Costs are reflected in monthly and year to date figures.	ELECTRONIC RECORD: 5 years	SECTION: Accounting

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-130-8	ANNUAL STATEMENT OF SOURCE AND APPLICATION OF FUNDS	FHWA Forms - 531, 532, 534, 536, 541, 542, 556, 556, 561, 562, 566 and 571. Provides information as to application and distribution of road finances.	ORIGINAL RECORD: 5 years	SECTION: Finance & Budget
37-130-11	AUTHORITY FOR EXPENDITURE (AFE)	General Purpose Authority for Expenditure (AFE) (NDOT Form 110), and obsolete General Purpose Authority for Expenditure (NDOR Forms 87 and 88). May also include authorizations to finance projects, building construction, and to purchase materials, supplies, and equipment.	4 years after completion of project	SECTION: Controller Division
37-130-13	BALANCE AND DISTRIBUTION LISTING	Generated from project finance billing.	ORIGINAL RECORD: 5 years	
37-130-83	BATCH CONTROL REPORT	Daily computer generated report, includes batch control and disbursement file summary. Generated from ROADS PAYMENT SYSTEM (RPS).	5 years	
37-130-15	BILLING AND REIMBURSEMENT STATUS REPORT AND LEDGER	Monthly computer generated records of all billings issued and all reimbursements received from each financing participant on each project.	10 years	<ul style="list-style-type: none"> •Until September 2005, paper record •October 2005, electronic record
37-130-17	BUDGET MANUAL	Files containing the entire budget manual.	Superseded	SECTION: Finance & Budget
37-130-19	BUDGET SYSTEM DATABASE	Contains NDOT budget system information. This is a perpetual system and data is updated continually to provide the most current budget information.	ELECTRONIC DATA: Backup monthly; after superseded. SECURITY BACKUP COPY: after superseded.	
37-130-84	CASH RECEIPTS			SECTION: Accounting See 124-26
37-130-21	CITY AND COUNTY INCENTIVE PAYMENTS	Maintains detailed information concerning factors used for calculating incentive payments to the cities and counties of this state.	PAPER RECORD: 5 years ELECTRONIC RECORD: 5 years after superseded	SECTION: Finance & Budget
37-130-22	CITY/COUNTY HIGHWAY ALLOCATION FACTORS	Maintains detailed information concerning factors used to distribute State Highway Trust Funds to the cities and counties of this state.	PAPER RECORD: 5 years ELECTRONIC RECORD: 10 years	SECTION: Finance & Budget
37-130-23	CITY/COUNTY MAKE-UP PAYMENT	Maintains detailed information concerning factors used for calculating make-up payments to the cities and counties of this state.	PAPER RECORD: 5 years ELECTRONIC RECORD: After superseded annually	SECTION: Finance & Budget
37-130-27	CONTRACTS, AGREEMENTS AND RETENTION REPORTS	Monthly report showing the amount paid and amount retained on each contractor.	ELECTRONIC RECORD: 10 years	SECTION: Finance & Budget <ul style="list-style-type: none"> •Until June 2006, microfilm •July 2006 through Dec 2009, PDF •Beginning June 2011, electronic Crystal Portal report

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-130-85	DOT CUSTOMER AND VENDOR IDENTIFICATION MASTER DELETES	Annual computer generated reports of vendors and customers deleted from the vendor and customer master files that have had no open balance and/or no activity for 2 years.	ELECTRONIC RECORD: 5 years	SECTION: Accounting •After July 2005, PDF
37-130-86	END OF MONTH REPORTS	Computer generated reports which reconcile monthly total to various reports; includes source code balance, monthly balance report, end of cycle report, batch control log, cost accounting errors, project finance errors, additive, supply base balance, performance guarantee, general ledger distribution, sales tax.	5 years	SECTION: Accounting
37-130-36	ESTIMATE AND COST REPORT	Monthly report (PFSR203) showing the expenditure, authorization date, expenditures to date, each financing participant's share of current monthly expense, fiscal year, calendar year and total expense for each project.	25 years	SECTION: PFS •Until September 2005, paper record •From October 2005, PDF
37-130-37	EXTERNAL AUDIT HISTORY FILE	Electronic documentation provides a history of all external audit requests received and tracks them through completion.	20 years	SECTION: Audit Access database file is updated continuously to provide the most current status
37-130-88	FEDERAL BILLING STATUS REPORT AND SPECIAL FEDERAL BILLING	Weekly PFS computer generated report showing the status of Federal Billings on the Federal aid projects. Includes federal billings status, eligible for billings listing, RASPS support card listing and voucher listing. Special billings generated when necessary.	10 years	SECTION: PFS •Until June 2006, paper record •Beginning July 2006, PDF
37-130-40	FINANCIAL REPORT	Published monthly. Editions for current month and year posted on NDOT website. Older editions retained in Controller Division files.	ELECTRONIC RECORD: Permanent SECURITY MICROFILM PRIOR TO 2016: Permanent	SECTION: Finance & Budget
37-130-42	GENERAL LEDGER RECONCILIATION	General ledger trial balance and reconciliation work sheets. Retain in the Controller division.	2 years	
37-130-43	GOVERNOR'S BUDGET	Budget for submittal to the Governor.	10 years	SECTION: Finance & Budget
37-130-44	HIGHWAY ALLOCATION RELINQUISHMENTS	Includes municipal highway allocation fund relinquishments to the counties.	ELECTRONIC RECORD: 10 years	SECTION: Finance & Budget
37-130-46	HIGHWAY USER REVENUE DISTRIBUTION	Actual distribution of highway allocation funds to all municipalities and counties by fiscal year.	ELECTRONIC RECORD: 10 years	SECTION: Finance & Budget
37-130-48	INDIRECT COST REPORT	Monthly computer generated report of equipment expenses which are not charged to specific equipment but prorated to qualified pieces of equipment.	2 years	SECTION: Finance & Budget

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-130-41	JOURNAL VOUCHERS	Includes documentation to support adjusting entry.	5 years	SECTION: Finance & Budget
37-130-50	LEGISLATIVE FISCAL IMPACT STATEMENTS	Legislative fiscal impact statements.	10 years	SECTION: Finance & Budget
37-130-60	NDOT INTERNAL AUDIT REPORTS AND SUPPORTING PAPERS	Reviews and/or special studies of NDOT programs, activities and functions. Examples include: purchasing card program, petty cash counts, radiation protection program, and local public agency financial controls.	5 years	SECTION: Audit Section
37-130-63	NDOT PURCHASING CARD ADMINISTRATOR RECORDS	Includes cardholder application, agreement, and "Returned Card Receipt."	1 year from deactivation of original purchasing card account	SECTION: Finance & Budget
37-130-61	NDOT PURCHASING CARD DOCUMENTATION	Includes invoices, packing slips, internet confirmation orders, journal voucher printout, "Certificate of Lost Receipt," and "Statement of Questioned Item."	5 years	SECTION: Districts/Divisions
37-130-65	PETTY CASH RECORDS	Form used to create a petty cash fund or make changes to an existing fund.	3 years from deactivation of petty cash account	SECTION: Accounting
37-130-67	PROJECT EXPENSE REPORT	Monthly report showing project location, cost estimates and money spent on each project for the current month, fiscal year, calendar year and total spent to date.	20 years	SECTION: PFS •Until June 2006, paper record •After July 2006, PDF
37-130-68	PROJECT FINANCE FILES	Maintains documentation for all projects including project authorizations, funding requests, invoices, and correspondence. Report showing projects dropped from PPM System.	PAPER RECORD: 2 years after project closeouts, then to State Record Center to be retained for 20 years.	
37-130-91	SUPPLY BASE BALANCE	Monthly report showing batch amounts of receipts/issues of supply base items.	5 years	SECTION: Accounting
37-130-77	THIRD PARTY CONTRACT AUDIT REPORTS AND RELATED PAPERS	Work paper review files and audit waiver justifications	10 years	SECTION: Audit Section
37-130-99	THIRD PARTY PERMANENT FILES	History and reference files used to record and compile information important to current and future audit reviews of third-party entities.	Superseded	SECTION: Audit Section

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-130-79	VOUCHERS	Includes, but is not limited to, receiving documents, intra-state billing transactions (IBT), vendor invoices, employee expense reimbursements, disbursement documents, voucher control batch reports, and monthly computer generated consolidation reports of all vouchers paid batch reports, and monthly computer generated consolidation reports of all vouchers paid by voucher number; shows payee name, vouchers amount, code and voucher is charged to, and warrant number.	PAPER RECORD: Scan and destroy after image verification. ELECTRONIC RECORD: Retain in ECM 20 years.	<ul style="list-style-type: none"> •January 2002, microfilm (obsolete) •February-August, 2002, CD •September 2002, paper (shred record) •Beginning July 1, 2013, Retain in ECM, permanent
37-130-93	WARRANT HISTORY FILE	Annual computer generated report of warrants that are over 24 months old. Generated from RPS, Records Retention Schedule Items # 37-130-75. On COM until July 2005. Beginning July 2005 stored on Controller Division PFD file.	ELECTRONIC RECORD: 10 years	SECTION: Accounting <ul style="list-style-type: none"> •July 2005, COM •Beginning July 2005, PDF
37-130-94	WARRANT RECORDS	Computer generated daily reports, if necessary; includes warrant cancellations, warrant paid errors, warrant requests, duplicate warrants, copies of warrants, manual payments, and manual updates.	5 years	SECTION: Accounting
37-130-5	ACTIVITY - ACCOUNT SUMMARY		OBSOLETE, Immediate disposal	
37-130-10	AUDIT LOGS		OBSOLETE, Immediate disposal	
37-130-12	AUTHORITY FOR EXPENDITURE (AFE) MASTERFILE		OBSOLETE, Immediate disposal	
37-130-14	BALANCE SHEET, MONTHLY		OBSOLETE, Immediate disposal	
37-130-16	BILLING DISTRIBUTION BY EQUIPMENT NUMBER		OBSOLETE, Immediate disposal	
37-130-20	CAPITAL FACILITIES OPERATIONS AND ADMINISTRATION REPORTS		OBSOLETE, Immediate disposal	
37-130-29	COST ACCOUNTING CODING ERRORS		OBSOLETE, Immediate disposal	
37-130-7	COST REFERENCE LISTINGS, MONTHLY		OBSOLETE, Immediate disposal	
37-130-96	COST SYSTEM		OBSOLETE, Immediate disposal	
37-130-30	CREW DATA FILE (FORMERLY CREW CARDS)		OBSOLETE, Immediate disposal	
37-130-9	EQUIPMENT ANNUAL COST REPORT		OBSOLETE, Immediate disposal	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-130-32	EQUIPMENT END OF MONTH REPORTS		OBSOLETE, Immediate disposal	
37-130-33	EQUIPMENT MANAGEMENT INFORMATION SYSTEM (EMI)		OBSOLETE, Immediate disposal	
37-130-87	ERRORS IN AMOUNTS ON RPS		OBSOLETE, Immediate disposal	
37-130-38	FHWA536 REPORTS		OBSOLETE, Immediate disposal	
37-130-97	INTERAGENCY HIGHWAY INVENTORY SYSTEM (IHI)		OBSOLETE	
37-130-98	INTERGRATED BILLING TRANSACTION SYSTEM (IBT)		OBSOLETE, Immediate disposal	
37-130-49	LEGISLATIVE BUDGET		OBSOLETE	
37-130-51	LICENSE PLATE CASH FUND		OBSOLETE, Immediate disposal	
37-130-53	LOCAL FINANCE REPORT WORKSHEETS		OBSOLETE, Immediate disposal	
37-130-54	MAINTENANCE PERFORMANCE BUDGET		OBSOLETE, Immediate disposal	
37-130-56	MOTOR FUEL CONSUMPTION REPORT		OBSOLETE, Immediate disposal	
37-130-57	MOTOR FUEL STATISTICS		OBSOLETE, Immediate disposal	
37-130-58	MOTOR VEHICLE REGISTRATIONS		OBSOLETE, Immediate disposal	
37-130-64	PAYROLL DETAIL SYSTEM (PDS)		OBSOLETE	
37-130-66	PROGRAM PROJECT MANAGEMENT SYSTEM (PPM)		OBSOLETE	
37-130-70	PROJECT REPORT		OBSOLETE	
37-130-92	TRAVEL REQUESTS		OBSOLETE, now part of ACCOUNTS RECEIVABLE	
37-130-82	VOUCHERS, SUMMARY CONTROL		OBSOLETE, now part of ACCOUNTS RECEIVABLE	