

Schedule 37-360

DEPARTMENT OF TRANSPORTATION

PROJECT DEVELOPMENT DIVISION (Formerly PLANNING & PROJECT DEVELOPMENT)

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

37-360

AGENCY, BOARD OR COMMISSION

DEPARTMENT OF TRANSPORTATION

DIVISION, BUREAU OR OTHER UNIT

PROJECT DEVELOPMENT DIVISION

Supersedes Edition of May 19, 2016

**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

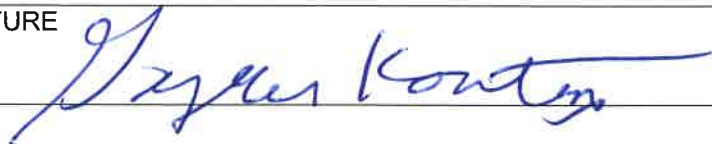
DATE

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 37-360
DEPARTMENT OF TRANSPORTATION
PROJECT DEVELOPMENT DIVISION (formerly Planning and Project Development 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 and Public Policy Division

Supersedes Edition of May 19, 2016

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-2	ACCOUNTING-EXPENSE REIMBURSEMENTS; TRAVEL REQUESTS; CONFERENCE; TRAINING MEMBERSHIPS; VENDOR PAYMENTS			See Schedule 124 General Records for State Agencies- ACCOUNTS PAYABLE SECTION: Administration
37-360-3	ACCOUNTING-PROCUREMENT HOLD FILE	Receipts and documentation for procurement card use and reconciliation		See Schedule 124-General Records for State Agencies -- ACCOUNTS PAYABLE SECTION: Administration
37-360-168	ADDRESS FILE	Listing of mailing addressed for all counties and incorporated cities used for the distributions of highway allocation warrants.		See Schedule 124-General Records for State Agencies -- MASTER MAILING FILE SECTION: Agreements
37-360-4	AERIAL IMAGERY	Aerial imagery, alphabetized by county	AERIAL PHOTOGRAPHY (9x9s): Until no longer of reference value. Do not destroy without interagency communication AERIAL NEGATIVES (film rolls): Transfer to NDOT Archives. Permanent DIGITAL AERIAL PHOTOGRAPHY: Permanent	SECTION: Project Studies and Surveys
37-360-5	AGREEMENTS, MEMORANDUMS OF UNDERSTANDING (MOUs), MEMORANDUM OF AGREEMENT (MOAs), PROGRAMMATIC AGREEMENTS, LETTER AGREEMENTS	Formal signed MOUs, MOAs, Programmatic Agreements, and formal Letter Agreements with other local, state or federal agencies and tribes. Includes essential supporting information which is necessary to have a complete understanding of the agreement, including essential correspondence.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year PAPER RECORD: Scan and destroy paper copy after image verification ELECTRONIC RECORD: Retain current version, plus one previous version (if it exists), until superseded or until obsolete	SECTION: Agreements

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-102	AGREEMENTS, PROGRAM	<p>Agreements between NDOT and other governmental units/entities (cities, towns, villages, states, municipalities, tribes, developers, etc.), often referred to as program agreements. Includes essential supporting information which is necessary to have a complete understanding of the agreement, for example essential correspondence, preliminary estimates, fee analysis, scope of work and subsequent revisions, independent cost estimates, selection, pre and post negotiation memos, and audit reports. Examples may include Agreements establishing cost-share/financial responsibility; and Agreements establishing future duties/responsibilities, including maintenance; for special conditions to work in the right-of-way which cannot be handled by standard permits.</p>	<p>NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year PAPER RECORD: Scan and destroy paper copy after image verification ELECTRONIC RECORD: *With termination date, 10 years after contract is complete. *Without a termination date, long-term, superseded until obsolete SECURITY MICROFILM (PRIOR TO 2016): Permanent MICROFILM WORK COPY (PRIOR TO 2016): Permanent</p>	<p>SECTION: Agreements</p>
37-360-6	AGREEMENTS, RELINQUISHMENT	<p>Agreement with city, town, village or municipality transferring jurisdictional responsibility of a state highway. Includes essential supporting information which is necessary to have a complete understanding of the agreement, including essential correspondence.</p>	<p>NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year PAPER RECORD: Scan and destroy paper copy after image verification ELECTRONIC RECORD: Retain in ECM. Permanent until obsolete SECURITY MICROFILM (PRIOR TO 2016): Permanent MICROFILM WORK COPY (PRIOR TO 2016): Permanent</p>	<p>SECTION: Agreements</p>

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-12	AGREEMENTS, SERVICES, CONSTRUCTION PROJECT RELATED	Professional service agreements to provide architecture, engineering, and surveying services which exist and are tracked to an NDOT construction project control number. Includes essential supporting information which is necessary to have a complete understanding of the agreement, for example essential correspondence, preliminary estimates, fee analysis, scope of work and subsequent revisions, independent cost estimates, selection, pre and post negotiation memos, and audit reports.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year PAPER RECORD: Scan and destroy paper copy after image verification ELECTRONIC RECORD: 5 years after project closeout	SECTION: Agreements
37-360-7	AGREEMENTS, SERVICES, NON-CONSTRUCTION PROJECT	Agreements to provide services to NDOT which exist independently from NDOT construction projects. Includes essential supporting information which is necessary to have a complete understanding of the agreement, for example essential correspondence, preliminary estimates, fee analysis, scope of work and subsequent revisions, independent cost estimates, selection, pre and post negotiation memos, and audit reports. Examples may include Agreements for general consultant services; for janitorial/mowing/snow removal; for bridge inspections; and for software service/licensing.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year PAPER RECORD: Scan and destroy paper copy after image verification ELECTRONIC RECORD: 5 years after contract completion date	SECTION: Agreements
37-360-1	AGREEMENTS, UTILITY			See Schedule 124-General Records for State Agencies -- AGREEMENTS AND CONTRACTS SECTION: Agreements
37-360-8	CONSULTANT INVOICE WORKING DOCUMENTS	Tracking spreadsheet	ELECTRONIC RECORD: Superseded until obsolete	SECTION: Project Studies and Surveys
37-360-9	CONSULTANT RECORDS, GENERAL	Consultant specific eligibility information eligibility, such as insurance or certifications.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year PAPER RECORD: Scan and destroy essential paper copies after image verification ELECTRONIC RECORD: 20 years or until obsolete	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-45	CORRESPONDENCE, MISCELLANEOUS, NON-PROJECT RELATED, NOT OTHERWISE SPECIFIED	Miscellaneous correspondence not relating to a project, and not otherwise captured by another category on this schedule. Essential correspondence is that which is necessary to capture or explain an issue important to the continuity or delivery of NDOT services, for example, a letter/email from an outside agency containing an instruction or determination; a high level request to study or investigate a concern/suggestion; or issue-specific communications from federal/state/local elected/appointed officials.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year ESSENTIAL, PAPER RECORD: Scan and destroy paper copy after image verification ESSENTIAL, ELECTRONIC RECORD: 5 years, or until obsolete.	SECTION: Administration
37-360-10	DIVISION EMPLOYEE - EMERGENCY CONTACT CARD	Estimate spreadsheet developed at the conclusion of the planning stage of a project.		See Schedule 124-General Records for State Agencies -- NONRECORD MATERIAL SECTION: Administration
37-360-11	DRAFTS/REVISIONS/SUPPORTING DOCUMENTS, NONESSENTIAL	Raw data, research materials and other nonessential drafts and information used when creating reports, studies, or preliminary versions subject to a final version.		See Schedule 124-General Records for State Agencies -- WORKING PAPERS
37-360-13	ENVIRONMENTAL COMPLIANCE OVERSIGHT (ECOD) INSPECTIONS, NON-PROJECT	Reports of environmental compliance oversight inspections (maintenance facilities), including documentation re: commencement, correction and/or closure of a non-compliance or violation received from an outside agency.	GENERAL RECORDS: 3 years NONCOMPLIANCE/VIOLATION: 20 years after final	SECTION: Environmental, RDCU
37-360-14	ENVIRONMENTAL COMPLIANCE OVERSIGHT (ECOD) INSPECTIONS, PROJECT RELATED	Reports of environmental compliance oversight inspections (construction and establishment) and stormwater permit close-out inspection, including review of the environmental commitment checklist (example, Threatened and Endangered Species report, Migratory Birds Survey report, and others), and documentation re: commencement, correction and/or closure of a non-compliance or violation received from an outside agency.	GENERAL RECORDS: 10 years after project closeout NONCOMPLIANCE/VIOLATION: 20 years after final	SECTION: Environmental, RDCU

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-15	ENVIRONMENTAL DOCUMENTS AND DOCUMENTATION, NEPA	Documentation of reviews and decisions made as part of the NEPA environmental process, including but not limited to, class of action determination, final PQS memos, documentation of reviews or re-evaluations of past environmental decisions or determinations, final CE environmental documentation, draft EA and EIS, final EA and EIS, FONSI, and ROD. May include documentation of reports or reviews pertaining to cultural resources, historic properties, hazardous materials, noise, air, threatened and endangered species, wetland delineations/mitigation, floodplains, environmental justice, socioeconomic reviews, 4(f), 6(f), public involvement or other environmental certification. Essential records are those necessary to understand the determination, including essential drafts and correspondence, and includes letters and comments received from governmental agencies, the public and others about the performance of activities assigned under the CE MOU. A "Significant Transportation Project" is unusual and is declared by the FHWA. FHWA Record Retention: https://www.fhwa.dot.gov/legsregs/directives/orders/envi-reg.cfm	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year SIGNIFICANT TRANSPORTATION PROJECT, FINAL NEPA DOCUMENTS: Permanent until obsolete SIGNIFICANT TRANSPORTATION PROJECT, ALL OTHER RECORDS: 20 years after project closeout ALL OTHER CE/EA/EIS, ALL OTHER RECORDS: 10 years after project closeout TIERED EIS, ALL OTHER RECORDS: 30 years after project closeout, or until obsolete	SECTION: Environmental
37-360-16	ENVIRONMENTAL REPORTS, DELINEATIONS, STUDIES, AND REVIEWS WITH INDEPENDENT USEFULNESS FOR FUTURE PROJECTS	Reusable reports, delineations, studies or reviews with longer term value independent from a project, pertaining to areas such as cultural resources, historic properties, hazardous materials, threatened and endangered species, wetlands, water quality, air quality, and noise.		See Schedule 124-General Records for State Agencies -- REPORTS AND STUDIES SECTION: Environmental

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-17	EROSION CONTROL, STORMWATER MANUALS, PLANS AND PERMITS, SEEDING DOCUMENTS, PROJECT RELATED	Documents pertaining to project related erosion control, including final Stormwater Pollution Prevention Plan (SWPPP) manual; SWPPP cover letter, notice of intent, discharge authorization letter, notice of termination, and post construction stormwater treatment - Form A; temporary and final erosion control plans; roadside stabilization appraisals; preliminary and final RDCU review memos and, final PIH report review; final RDCU erosion control comps; project seeding record, seed analysis approval, seeding quantities, seeding measurements. Also includes documentation re: commencement, correction and/or closure of a non-compliance or violation received from an outside agency. Essential records are those necessary to understand the commitments or compliance efforts, including essential drafts and correspondence.	NONCOMPLIANCE/VIOLATION: 20 years after final NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year ALL OTHER RECORDS: 10 years after project closeout	SECTION: Environmental, RDCU
37-360-18	GREEN SHEET, ENVIRONMENTAL COMMITMENTS	Final Green sheet (after routing is complete) containing documentation of NDOT environmental commitments	10 years after project closeout	SECTION: Environmental
37-360-93	LOCATION STUDIES/CORRIDOR REPORTS	Final report summarizing the results of a project corridor/location analysis, including essential documents and correspondence which are necessary to understand the final location study/corridor report.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year PAPER RECORD: Scan and destroy paper copy after image verification ELECTRONIC RECORD: 10 years after project closeout	SECTION: Project Studies and Surveys
37-360-19	MANUALS, GUIDANCE, PROCEDURES AND POLICIES	Division manuals, guidance, and procedures, for example, Environmental Procedure Manual, Hazardous Materials Guidance, Stormwater Management Plan, Environmental Review for Change Orders Process, and Noise Policy.		See Schedule 124-General Records for State Agencies -- POLICY AND PROCEDURES MANUAL - OTHER
37-360-20	MS4 PERMIT	NDOT Municipal Separate Storm Sewer System (MS4) permit.	Retain current version, plus one previous version, until superseded (or until obsolete)	SECTION: Environmental, RDCU

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-21	PROJECT SELECTION, PROJECT PRIORITIZATION DOCUMENTS	Project programming/planning documents establishing relative project priority based on various factors, including essential supporting documents necessary to understand the final project prioritization documents.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year ALL OTHER RECORDS: Superseded plus two prior years analysis for purposes of comparison, until no longer of reference value.	SECTION: Project Studies and Surveys
37-360-22	PROJECT SPECIFIC SURVEY RECORDS	Records associated with specific projects. Control tie sheets (project specific), culvert sheets, preliminary survey requests, additional survey requests, etc.	PAPER RECORD: Until no longer of reference value but no longer than 1 year. ELECTRONIC RECORD: 10 years after project closeout	SECTION: Project Studies and Surveys
37-360-23	PROJECT STUDIES AND SURVEY, PLANNING DOCUMENT	Final, tracked changes version of Planning Document that typically contains correspondence and/or project decisions	10 years after project closeout	SECTION: Project Studies and Surveys
37-360-24	PROJECT STUDIES AND SURVEY, FINAL PLANNING ESTIMATE	Estimate spreadsheet developed at the conclusion of the planning stage of a project.		See Schedule 124-General Records for State Agencies -- WORKING PAPERS Determine if estimate can be placed in OnBase. Estimate generated by Construction considered confidential SECTION: Project Studies and Surveys
37-360-25	PROJECT STUDIES AND SURVEY, PLANNING DOCUMENT AND ESTIMATE WORKING FILES	PDD supporting documentation for the Planning Document and Planning Estimate, regarding project scope and estimate at the time of project initiation; may include documentation such as project initiation request, vertical curve analysis, misc. computations, as-built plan log, general project notes and correspondence, and meeting minutes containing project decisions. Essential records are those necessary to understand the final determination, including essential drafts and correspondence.		See Schedule 124-General Records for State Agencies -- WORKING PAPERS SECTION: Project Studies and Surveys

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-26	PROJECT SUMMARY DOCUMENTS	Project Description, Purpose and Need, Project Details, and related project development documents, including essential supporting documents necessary to understand the final documents.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year ALL OTHER RECORDS: 10 years after project closeout	SECTION: Project Studies and Surveys
37-360-27	RDCU, REPORTS, MONTHLY WATER USAGE	Rest area quarterly bacteriological fecal coliform and escherichia testing.	5 years	SECTION: Environmental, RDCU
37-360-28	RDCU, REPORTS, NPDES, DISCHARGE MONITORING	Required by National Pollutant Discharge Elimination System (NPDES) for rest areas with surface discharge of effluent water.	3 years	SECTION: Environmental, RDCU
37-360-29	SCOPING TEMPLATES AND SCOPING ESTIMATE TEMPLATE	Template used to create scoping documents, scoping estimates, project scoping tracking worksheet, traffic volume extrapolation workbook		See Schedule 124-General Records for State Agencies -- NONRECORD MATERIAL SECTION: Project Studies and Surveys
37-360-30	STATIC SURVEY RECORDS	Detailed records pertaining to development of the statewide geodetic control network. Includes control point tie sheets (book number specific), GPS log sheets, level runs, etc.	PAPER RECORD: Until no longer of reference value but no longer that 1 year. ELECTRONIC RECORD: Permanent (until obsolete)	SECTION: Project Studies and Surveys
37-360-31	TEAM PROJECTS AND SPECIAL ASSIGNMENTS	Reference or research requests from NDOT personnel manuals/brochures/publications created by division for internal/external distribution.	ELECTRONIC/PAPER RECORD: If Division is the responsible party, retain 10 years from completion of team project or assignment. If Division is not the responsible party, retain until no longer of reference value but no more than 1 year from completion of team project or assignment.	Refer to NDOT General Schedule 37 Item 37-000-046 SECTION: Administration
37-360-32	VENDOR REQUESTED PURCHASE ORDER NUMBER FROM MASTER ELECTRONIC SPREADSHEET	Log of Project Development Division document numbers used for division purchasing only.	ELECTRONIC RECORD: Superseded until obsolete	SECTION: Administration

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-33	WATERWAYS/WETLANDS, MITIGATION	Documentation of project mitigation site (banks and onsite) establishment, requirements, deed restrictions, and compliance, including documents pertaining to delineation and monitoring, as well as documentation showing commencement, correction and closure of alleged non-compliance/violation received from an outside agency. Essential records are those necessary to understand the mitigation commitment and compliance effort, including essential drafts and correspondence.	NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year ALL OTHER RECORDS: Permanent	SECTION: Environmental, TRU
37-360-187	WATERWAYS/WETLANDS, PERMITS	Documentation of applications, permits issued (or non-notifying memos), permit conditions, and commencement, correction and closure of alleged non-compliance/violation received from an outside agency pertaining to permitting for wetlands/waterways (NWs, 404, 408, etc.) and floodplains. Essential records are those necessary to understand the determination, including essential drafts and correspondence.	PERMIT OR NW MEMO: Permanent SUPPORTING DOCUMENTATION: 10 years after project closeout or completion NONCOMPLIANCE/VIOLATION: 20 years after final NONESSENTIAL RECORDS: Until no longer of reference value but no more than 1 year	SECTION: Environmental, TRU