

Schedule 37-420

DEPARTMENT OF TRANSPORTATION

PROGRAM MANAGEMENT DIVISION

March 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 37-420
AGENCY, BOARD OR COMMISSION DEPARTMENT OF TRANSPORTATION
DIVISION, BUREAU OR OTHER UNIT PROGRAM MANAGEMENT DIVISION
Supersedes Schedule 37-312, Edition of September 2, 2003

**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 	DATE 3/5/19
TITLE Director - NE Dept of Transportation	

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 3/12/2019
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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 3/19/19
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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 3/19/2019
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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 2nd 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.

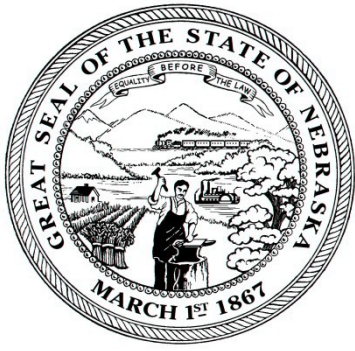
**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

SCHEDULE 37-420 (formerly 37-312)
DEPARTMENT OF TRANSPORTATION
PROGRAM MANAGEMENT DIVISION
March 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 37-312 Edition of September 2, 2003				
ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-420-1	CIVIL RIGHTS COMPLAINTS	Complaint forms, investigative and supporting documentation.	Until final disposition	
37-420-2	CIVIL RIGHTS DOCUMENTATION – NOT TIED TO SPECIFIC CONSTRUCTION PROJECT	OJT Request for Trainee Approval form; Contractor EEO Self-Analysis form; FHWA 1391 forms; FHWA 1392 report; DBE uniform reports; Sub-recipient review reports.	5 years	
37-420-3	CIVIL RIGHTS PROGRAM DOCUMENTS	Federally mandated program documents: ADA transition plan, ADA self-evaluation, limited English proficiency (LEP) plan, disadvantaged business enterprises (DBE) manual, contractor Equal Employment Opportunity (EEO) compliance manual, internal Equal Employment Opportunity (EEO) plan, Title VI Implementation Plan.	Superseded + 5 years	
37-420-4	CONSTRUCTION PROJECT CIVIL RIGHTS DOCUMENTS	Environmental justice (EJ), limited English proficiency (LEP), technical memos, On the Job (OJT) monthly hour reporting forms, NDOT forms 441 and 422.	PAPER RECORD: Scan and retain in ECM. Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 10 years after project closeout	
37-420-5	CONTRACT COMPLIANCE REVIEW	Documentation of contractor compliance of Equal Employment Opportunity (EEO) and Affirmative Action contract requirements.	PAPER RECORD: Scan and retain in ECM. Until no longer of reference value but no more than 1 year ELECTRONIC RECORD: 5 years after date of compliance	
37-420-6	DISADVANTAGED BUSINESS ENTERPRISES (DBE) FIRM APPLICATION/CERTIFICATION DOCUMENTATION	DBE applications, personal financial forms, tax returns, onsite reports, other supporting documentation.	ELECTRONIC RECORD: Retain in ECM until firm denial or decertification + 1 year	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-420-7	DIVISION RECORDS			See Schedule 124-General Records for State Agencies -- POLICY AND PROCEDURES MANUAL - OTHER, item 124-132
37-420-8	INTERAGENCY PROCEDURES			See Schedule 124-General Records for State Agencies -- POLICY AND PROCEDURES MANUAL - OTHER, item 124-132
37-420-9	NEBRASKA SURFACE TRANSPORTATION PROGRAM	Annual publication of one- and five-year project programs by district.	50 years	Contact Nebraska Publication Clearing house to deposit copies.
37-420-10	PROGRAM RECORDS	Decision documents, policies, approval letters, and tracking spreadsheets used to manage state and federal programs.	Superseded + 10 Years	
37-420-11	STATE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)	Federally required planning document that is developed annually. STIP is continually updated during the fiscal year by amendments and revisions. Each revision, once approved by FHWA, it is posted on the NDOT website and will be retained for 10 years. Public comments and NDOT responses retained with applicable STIP.	Superseded + 10 Years	



NEBRASKA SECRETARY OF STATE RECORDS DISPOSITION REPORT

Send to: Records Management Division
 440 S. 8th Street, Suite 210
 Lincoln, NE 68508-2294 402-471-2559
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.

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

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.