

# **Schedule 37-390**

## **DEPARTMENT OF TRANSPORTATION**

### **MATERIALS AND RESEARCH DIVISION**


**March 25, 2022**

Nebraska Records Management Division  
3242 Salt Creek Circle  
Lincoln, NE 68504  
(402) 471-2559

<b>REQUEST FOR APPROVAL OF RECORDS RETENTION AND DISPOSITION SCHEDULE</b>	SCHEDULE <b>37-390</b>
	AGENCY, BOARD OR COMMISSION <b>DEPARTMENT OF TRANSPORTATION</b>
<b>TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA</b>	DIVISION, BUREAU OR OTHER UNIT <b>MATERIALS AND RESEARCH DIVISION</b>
	<b>Supersedes Edition of March 25, 2009</b>


**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 <i>DIRECTOR</i>	DATE <i>2/10/22</i>

**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 <i>3/16/22</i>	

**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 <i>Pat Pedring</i>	
DATE <i>3/23/22</i>	

**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 <i>3/25/2022</i>	

## **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. [https://appengine.egov.com/apps/ne/sos\\_records\\_disposition\\_report](https://appengine.egov.com/apps/ne/sos_records_disposition_report). 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.

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3242 Salt Creek Circle  
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**SCHEDULE 37-390**  
**DEPARTMENT OF TRANSPORTATION**  
**MATERIALS AND RESEARCH DIVISION**  
**March 25, 2022**

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  
Paper records are scanned and destroyed after image verification. Retain in ECM.

Supersedes Edition of March 25, 2009

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-390-1	AASHTOWARE PROJECT DOCUMENTATION	Group security, backlog database, M&R instructions, instruction documentation, SiteManager implementation files, templates, flowcharts, FHWA file reports, processes, RTF report templates and designs, report codes, management instructions, operating procedures	<b>ELECTRONIC RECORD:</b> Retain in ECM. Superseded	
37-390-2	AASHTOWARE PROJECT CONSTRUCTION/MATERIALS/ESTIMATION DATA FOR HIGHWAY PROJECTS	American Association of State Highway and Transportation Officials (AASHTO) project database	<b>ELECTRONIC RECORD:</b> Retain in AASHTOWare Project. Permanent	
37-390-3	APPROVED PRODUCTS LIST EVALUATION FORM	Approval or denial information, testing results	<b>ELECTRONIC RECORD:</b> Retain in ECM. Superseded	
37-390-218	CERTIFIED CENTER LANE MILES	Reports on county lane miles and surface types. Letters with Center Line Miles to Governor	<b>ELECTRONIC RECORD:</b> Retain in ECM. 5 years following the end of the fiscal year to which the record pertains	
37-390-4	CONTRACTOR EQUIPMENT CERTIFICATIONS	Inertial profiler and Profilograph certification	<b>PAPER RECORD:</b> Until no longer of reference value but no more than 1 year	
37-390-5	CONSTRUCTION PROJECT CLOSEOUT	Letters of certification	<b>ELECTRONIC RECORD:</b> Retain in ECM. Minimum 5 years after project closeout	
37-390-208	COUNTY INVENTORY MAP INFORMATION	Contains correspondence and inventory map submitted by county.	<b>ELECTRONIC RECORD:</b> Retain in ECM. Permanent	
37-390-192	DESIGN PROJECT CORRESPONDENCE FILES (PROJECT FILE INFORMATION)	Histories, photos, Darwin files, plans, typicals, permits, core logs, FWD files, quantities computation, quantity summaries, random sampling schedule, PCC repair quantities, Information proposals; change order/supplement agreements; bid tabulations; correspondence pertaining to deductions in compensation; Portland cement concrete paving cores; other critical material correspondence; soil requirements; pavement design computation files; material review documentation; and construction final estimate packet; highways, buildings, bridges, etc.	<b>ELECTRONIC RECORD:</b> Retain in ECM. Minimum 5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-390-204	HIGHWAY PERFORMANCE MONITORING SYSTEM	Inventory of roads within the state for statistical data annual submitted to FHWA.	<b>ELECTRONIC RECORD:</b> FHWA permanent retention IHI database and FHWA HPMS	
37-390-207	INTEGRATED HIGHWAY INVENTORY (IHI) MAINFRAME DATA	All highway inventory data	<b>ORIGINAL RECORD:</b> Database stored permanently and backed up by OCIO	
37-390-6	INDEPENDENT ASSURANCE TESTING RESULTS/CONTRACTOR LAB CERTIFICATION	Testing results for contractors procedures	<b>ELECTRONIC RECORD:</b> Minimum 5 years on M&R server	
37-390-7	MANUALS	Lab qualification manual, lab certification manuals, asphalt field test tech I, II, asphalt technician training manuals, Safety	<b>ELECTRONIC RECORD:</b> Superseded, but minimum 5 years on M&R server.	
37-390-8	MATERIAL SAMPLING GUIDE/STANDARD TEST METHOD	Sampling and procedure guide	<b>ELECTRONIC RECORD:</b> Superseded, but minimum 5 years on M&R server	
37-390-9	MATERIAL PERSONNEL CERTIFICATIONS	Certified material samplers and testers	<b>ELECTRONIC RECORD:</b> Life of certification	
37-390-221	MUNICIPAL LANE MILE REPORTS	Lane mile summaries for all municipalities based on surface type and width.	<b>ELECTRONIC RECORD:</b> Retain in ECM. Minimum 5 years	
37-390-199	NATIONAL FUNCTIONAL CLASSIFICATION APPROVALS	Department requests Federal Highway Administration (FHWA) approval of revisions to the National Functional Classification System and Urban Area Boundaries.	<b>ORIGINAL RECORD:</b> Superseded, original signed paper	
37-390-10	NDOT PURCHASING CARD DOCUMENTATION	Employee expense reimbursement, motel/hotel bills, procurement card receipts, order/payment forms, visitor logs, Office Depot receipts	5 years	See schedule 37-130 -- NDOT PURCHASING CARD DOCUMENTATION, 37-130-61
37-390-219	NEBRASKA HIGHWAY REFERENCE LOG BOOK	Listing of all state maintained highway links, and spurs.	<b>ELECTRONIC RECORD:</b> Retain in ECM. Superseded	•Transfer 3 copies of each publication to the Publications Clearinghouse at the Library Commission
37-390-11	QUALITY SYSTEM MANUAL, AASHTO RESOURCE AND CCRL TESTING CERTIFICATION	Testing for lab accreditation	<b>ELECTRONIC RECORD:</b> Retain in ECM. Superseded	
37-390-12	RESEARCH PROJECT	Letters to proceed, proposals, extensions, and payment documentation	<b>ELECTRONIC RECORD:</b> Retain in ECM. Minimum 5 years	
37-390-13	RESEARCH FINAL REPORTS	Final reports for both In-house and External research projects	<b>ELECTRONIC RECORD:</b> Retain in ECM. Permanent	
37-390-14	RESEARCH DOCUMENTATION	Research reference manual, Nebraska research manual, NE Transportation Research Council booklets, and Research Advisory Committee booklets.	<b>ELECTRONIC RECORD:</b> Retain in ECM. Superseded	
37-390-210	STATE HIGHWAY PLAN AND HIGHWAY NEEDS ASSESSMENT	Annual report details the 20-year needs of the state highway system.	<b>PAPER RECORD:</b> Permanent in NDOT Library <b>ELECTRONIC RECORD:</b> Retain in ECM. Superseded <b>OTHER COPIES:</b> Superseded	•Transfer 3 copies of each publication to the Publications Clearinghouse at the Library Commission

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-390-227	STATE MAPS	FHWA and state statutory maps	<b>ORIGINAL RECORD:</b> Permanent <b>PERVIOUS VERSIONS:</b> Until no longer of reference value.	State Statutes 39-1309, 39-1311, and 39-1311.01
37-390-172	TEST REPORTS FOR MATERIALS (PROJECT ORIENTATED)	Test reports used for acceptance of highway project materials. Includes all laboratories: concrete, cement, chemical, asphalt, binders, soils, aggregates, and physical tests.	<b>ELECTRONIC RECORD:</b> Retain in AASHTOWare project and ECM. Minimum 5 years after project closeout	
37-390-173	TEST REPORTS FOR MATERIALS (NON-PROJECT, MAINTENANCE, STOCKED)	Test reports not used directly for acceptance in highway project materials. Includes all laboratories: concrete, cement, chemical, asphalt, binders, soils, aggregates, and physical tests.	<b>ELECTRONIC RECORD:</b> Retain in AASHTOWare project, M&R server, and ECM. Minimum 5 years	
37-390-15	TRANSPORTATION ASSET MANAGEMENT PLAN (TAMP)	FHWA approved plan to manage pavement and bridge assets	<b>ELECTRONIC RECORD:</b> Retain in M&R server. Superseded	
37-390-228	VIDEO LOG	Digital images that capture highway conditions.	<b>ELECTRONIC RECORD:</b> Retain in Vendor cloud permanent	
37-390-16	WEBSITE DOCUMENTATION	Asphalt producer list, Nebraska qualified labs, Superpave software instructions, specifications, factor tables, Qualified Materials Vendor List, PCC certified plants, etc.	<b>ELECTRONIC RECORD:</b> Retain on AASHTOWare project and M&R server. Superseded	