

Schedule 37-370

DEPARTMENT OF TRANSPORTATION

ROADWAY DESIGN DIVISION

November 16, 2020

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

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE
37-370
AGENCY, BOARD OR COMMISSION DEPARTMENT OF TRANSPORTATION
DIVISION, BUREAU OR OTHER UNIT ROADWAY DESIGN DIVISION
Supersedes Edition of March 3,2010

**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	10/23/20

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	11/6/2020
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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	11/16/20
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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	11/16/2020
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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. 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 this 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. 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 37-370
DEPARTMENT OF TRANSPORTATION
ROADWAY DESIGN 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 Roads 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. Paper records are scanned and destroyed after image verification. Retain in ECM

Supersedes Edition of March 3, 2010

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-370-10	CORRESPONDENCE AND DOCUMENTATION, ADMINISTRATION OF PERSONNEL	Personnel correspondence and actions created and maintained by Roadway Design, and not otherwise maintained by the Human Resources Division in official personnel files	Until no longer of reference value but no more than 1 year after resolution of event.	
37-370-11	CORRESPONDENCE AND DOCUMENTATION, AMERICAN WITH DISABILITIES ACT	Miscellaneous Correspondence concerning resolution of complaints filed under the Americans with Disabilities Act.	5 years following the resolution of complaint.	
37-370-12	CORRESPONDENCE AND DOCUMENTATION, NON-PROJECT HYDRAULIC AND HYDROLOGIC STUDY REPORTS	Study reports, documentation and correspondence related to non-project Drainage Studies requested by a District.	Permanent	
37-370-13	CORRESPONDENCE AND DOCUMENTATION, MISCELLANEOUS DIVISION DUTIES	Records include: documentation for charitable giving, food drive, miscellaneous correspondence with attachments, rewards and recognition, supplies orders, technical memos and correspondence for NDOT attorney general, training materials, miscellaneous division head correspondence, miscellaneous photogrammetry correspondence, research correspondence, and approval of products for use on highway construction projects.	Until no longer of reference value but no more than 1 year.	
37-370-14	CORRESPONDENCE AND DOCUMENTATION, CONSULTANT CONTRACT MANAGEMENT	Correspondence and documentation related Consultant Coordination and Management, including Independent Cost Estimates and Consultant Evaluations	1 year after project closeout by Controller Division.	
37-370-15	CORRESPONDENCE AND DOCUMENTATION, PRELIMINARY ANALYSIS OF SAFETY PROJECTS	Documentation and correspondence pertaining to evaluating proposed but not approved safety projects including; design concept for estimates and estimates for benefit/cost ratios	20 years after project closeout by Controller Division.	
37-370-134	DISASTER RECOVERY BACKUPS FOR ELECTRONIC RECORDS		Obsolete	
37-370-16	POLICIES, PRACTICES AND GUIDANCE	Roadway Design Division policies, practices and guidance, including CADD coordination policy, consultant coordination manual, design guidance memos, design policies and practice, Design Process Outline (DPO), Drainage and Erosion Control Manual, Roadway Design Manual, Standard Plans, wetland design and practices	Superseded until obsolete	See Schedule 124-General Records for State Agencies -- POLICY AND PROCEDURES MANUAL - OTHER, item 124-132