

Schedule 37-390

DEPARTMENT OF ROADS

MATERIALS AND RESEARCH DIVISION

March 25, 2009

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

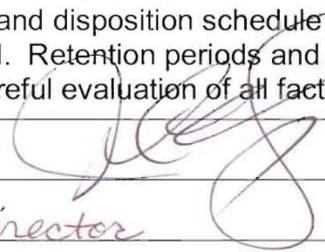
**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE
37-390
AGENCY, BOARD OR COMMISSION DEPARTMENT OF ROADS
DIVISION, BUREAU OR OTHER UNIT MATERIALS AND RESEARCH DIVISION
Supersedes Edition of November 17, 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	
TITLE	<i>John L. Craig</i> <i>Director</i>
DATE	<i>March 16, 2009</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	<i>Doreen Koerting</i>	DATE	<i>3/20/2009</i>
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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	<i>Deann Huffman</i>	DATE	<i>3/23/09</i>
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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	<i>John Sale</i>	DATE	<i>3/25/09</i>
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RMA 01005D

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. These retention schedules, which are approved by the State Records Administrator, provide 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 or transfer to the NE State Historical Society (State Archives), your agency is required to contact the State Archives and negotiate the transfer. Additionally, once the records are accessioned to their collection, they become the possession of the State Archives. 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 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 your Records Management Specialist in Records Management. We 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**

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SCHEDULE 37-390 – DEPARTMENT OF ROADS – MATERIALS AND RESEARCH DIVISION

37-390-213 CORPORATE LIMIT OPINION

List of areas where the Attorney General's opinion affected the corporate limit boundaries of various cities.

ELECTRONIC RECORD: Backup as required; dispose of after 20 years.

WORK PAPER COPY: Dispose of when no longer of reference value.

37-390-214 FEDERAL-AID HIGHWAY LOCAL LOG (SEE ITEM 37-390-220)

37-390-215 FEDERAL-AID HIGHWAY LOG (OFF) (SEE ITEM 37-390-220)

37-390-216 FEDERAL-AID HIGHWAY LOG (ON) (SEE ITEM 37-390-220)

37-390-198 FEDERAL-AID ROUTES DESCRIPTION (SEE ITEM 37-390-220)

37-390-199 FUNCTIONAL CLASS REVISIONS

Department requests of FHWA to revisions of the National Functional classification System.

ORIGINAL RECORD: Dispose of after superseded.

ELECTRONIC RECORD: Dispose of after superseded.

37-390-200 FUNCTIONAL CLASSIFIED ROUTES DESCRIPTIONS (SEE ITEM 37-390-220)

37-390-201 FUNCTIONALLY CLASSIFIED ROUTES THROUGH DESCRIPTIONS MINOR COLLECTOR (SEE ITEM 37-390-220)

37-390-217 HIGHWAY EDIT FILE (SEE ITEM 37-390-220)

37-390-218 HIGHWAY LANE MILE TABULATIONS

Reports on county lane miles and surface types.

ELECTRONIC RECORD: Dispose of 1 year following the end of the fiscal year to which the record pertains, provided audit has been completed.¹

WORK PAPER COPY: Dispose of 1 year following the end of the fiscal year to which the record pertains, provided audit has been completed.¹

37-390-202 HIGHWAY PERFORMANCE MONITORING SYSTEM – AREA WIDE

Area-wide statistical data sent to FHWA.

ORIGINAL RECORD: Retain for 3 years.

ELECTRONIC RECORD: Dispose of after 5 years.

37-390-203 HIGHWAY PERFORMANCE MONITORING SYSTEM-COUNTY & CITY INVENTORY

County road and city street inventory.98/. Contains information of HPMS sample sections, submitted by counties and cities.

ORIGINAL RECORD: Dispose of after 3 years.

ELECTRONIC RECORD: Dispose of after 3 years.

37-390-204 HIGHWAY PERFORMANCE MONITORING SYSTEM-INVENTORY

Inventory of roads within the state for annual submitted to FHWA.

ORIGINALRECORD: Dispose of after 3 years.

ELECTRONIC RECORD: Dispose of after 3 years.

**37-390-219 HIGHWAY REFERENCES LOG BOOK
(SEE ITEM 37-390-220)**

37-390-205 IHI FILES

Pavement management data.

ELECTRONIC RECORD: Dispose of after superseded.

37-390-220 INTEGRATED HIGHWAY INVENTORY

Includes classifications, locations, and geometric records of roads in Nebraska.

ELECTRONIC RECORD: Retain permanently.

37-390-206 INTEGRATED HIGHWAY SUFFICIENCY DATA

Includes geometric, location, and classification data on the state highway system.

ELECTRONIC RECORD: Dispose of after 3 years.

37-390-221 LANE MILE REPORTS

Active land mile summaries for all municipalities.

ELECTRONIC RECORD: Dispose of after one year.

WORK PAPER COPY: Dispose of after 2 years.

37-390-207 MISCELLANEOUS MAINFRAME DATA FILES AND PROGRAMS

ELECTRONIC RECORD: Dispose of after superseded.

37-390-208 MAP UPDATE INFORMATION

Contains correspondence and map update lists used to respond to requests for map updates information.

ELECTRONIC RECORD: Dispose of when no longer of reference value.

WORK PAPER COPY: Dispose of when no longer of reference value.

37-390-222 MILEAGE REPORT PROGRAMS

Mileage data summarized by classification, location, and geometric from federal-aid highway logs.

ELECTRONIC RECORD: Dispose of when no longer of reference value.

WORK PAPER COPY: Dispose of when no longer of reference value.

37-390-223 NEBRASKA HIGHWAY REFERENCE LOG BOOK

Listing of all state maintained highway links, and spurs.

ORIGINAL RECORD: Retain 2 copies permanently.

OTHER COPIES: Dispose of when superseded or no longer of reference value.

37-390-209 PAVEMENT CONDITION

Contains all pavement condition data collected.

PAPER RECORD: Dispose of after 25 years.

ELECTRONIC RECORD: Dispose of after superseded.

37-390-195 PILE RECORDS

Includes all records pertaining to bridge pilings. No microfilm work copy will be made.

ELECTRONIC RECORD: Dispose of after superseded.

ORIGINAL RECORD: Microfilm for security and scan to CD. Return to the Materials and Research Division; retain permanently.

SECURITY MICROFILM: Transfer to the State Records Center; retain permanently.

CD SECURITY COPY: Transfer to the State Records Center; dispose of after 15 years.

CD WORK COPY: Dispose of after 15 years.

37-390-225 PROJECT COMPILATION

Computerized database containing a history of road construction by county, highway, year and items of work for roads on the state highway system.

ELECTRONIC RECORD: Retain permanently.

37-390-192 PROJECT INFORMATION (FORMERLY PROJECT CORRESPONDENCE AND TEST REPORTS)

Information proposals; Change Order/Supplement Agreements; bid tabulations; correspondence pertaining to deductions in compensation; Portland cement concrete paving cores; other critical material correspondence; test reports; Pavement Design's computation files; material review documentation; and construction final estimate packet which the M&R Pavement Design Section is responsible for; pertaining to numbered projects; highways, buildings, bridges, etc.

ORIGINAL RECORD: Microfilm and dispose of annually.

SECURITY MICROFILM: Transfer to the State Records Center; retain permanently.

MICROFILM WORK COPY: Retain permanently.

37-390-226 STATE HIGHWAY INVENTORY RECORDS

County by county inventory of all state, county and city roads. It is used for mapping and tabulating county information.

ORIGINAL RECORD: Dispose of after 7 years.

ELECTRONIC RECORD: Dispose of after 7 years.

37-390-210 STATE HIGHWAY PLAN AND HIGHWAY NEEDS STUDY

Annual report detailing the progress towards meeting goals of the accelerated highway construction and improvement program.

ORIGINAL RECORD: Retain 2 copies permanently in NDOR Library.

ELECTRONIC RECORD: Dispose of after superseded.

OTHER COPIES: Dispose of all other copies when superseded.

37-390-227 STATE MAPS

Official state map, traffic flow, road classification, surfaced shoulder.

ORIGINAL RECORD: Retain 1 copy permanently.

OTHER COPIES: Transfer copies and negatives to the State Archives when superseded or no longer of reference value.

37-390-211 STATEWIDE RESEARCH WORK PROGRAM

Annual report of current and future statewide Research Work Program.

ORIGINAL RECORD: Dispose of after 5 years.

OTHER COPIES: Dispose of all other copies when superseded.

37-390-171 TEST BORINGS, SUMMARY OF

Samples taken during bridge and road construction. No microfilm work copy will be made.

ELECTRONIC RECORD: Dispose of after superseded.

Before 10/2006:

ORIGINAL RECORD: Microfilm and scan to CD; dispose of after 3 years.

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 75 years.

ELECTRONIC RECORD: Backup weekly; dispose of after 3 years.

SECURITY BACKUP COPY: Dispose of after superseded.

CD SECURITY COPY: Transfer to the State Records Center; dispose of after 15 years.

CD WORK COPY: Dispose of after 15 years.

37-390-172 TEST REPORTS, MATERIALS (PROJECT ORIENTED)

Reports on project materials such as high tensile bolts, reinforcing steel, barricade warning lights, concrete pipe products, etc., which are stockpiled at various suppliers and producers for future use on highway projects.

SITE MANAGER ELECTRONIC RECORD: Retain permanently in Decision Support System (DDS) database.

ORIGINAL RECORD: Maintain in laboratory that performed the testing; dispose of after 5 years.

Before 10/2006:

ORIGINAL RECORD: Microfilm with Project Correspondence and Test Reports, Records Retention Schedule (see item 37-390-192), and dispose of annually.

SECURITY MICROFILM: Transfer to the State Records Center; retain permanently.

MICROFILM WORK COPY: Retain permanently.

37-390-173 TEST REPORTS, MATERIALS (STOCKED ITEMS, NON-PROJECT)

Reports on primarily maintenance oriented materials such as aluminum sign blanks, log chain, fencing materials, paints, oils, piling, tire chain, etc., that are sampled and tested for quality assurance, usually stocked at Logistics Division.

ORIGINAL RECORD: Retain in laboratory that performed the test; dispose of after 2 years.

37-390-193 TEST REPORTS, OTHER

Reports on quality tests of materials which may be used on a highway project, but are not directly tied to a project and are not retained in project files.

SITE MANAGER ELECTRONIC RECORD: Retain permanently in DDS database.

ORIGINAL RECORD: Maintain in laboratory that performed test; dispose of after 5 years.

37-390-194 TROXALERT CALIBRATION RECORDS

The TroxAlert is a radiation survey meter used to detect alpha, beta, gamma, x-ray radiation. This unit is used before servicing nuclear density gauges. The TroxAlert must be calibrated annually.

ORIGINAL RECORD: Dispose of after 3 years.

37-390-228 VIDEO LOG/DIGILOG

Digital images that capture highway conditions. The digital images are retained electronically.

ELECTRONIC RECORD: Retain permanently.

37-390-229 DISASTER RECOVERY BACK-UPS FOR ELECTRONIC RECORDS

Back-up tapes or other storage media are only to be used for system restoration in the event of a disaster. Disaster recovery back-ups are never to be used or considered for records management or archiving purposes. The Office of the Chief Information Officer provides the back-up services for e-mail. Tapes will be maintained and then overwritten or destroyed following these rotations:

E-MAIL RECORDS: See General Schedule 124

ALL OTHER ELECTRONIC RECORDS:

MONDAY-THURSDAY INCREMENTAL BACK-UPS: Recycle after 6 months.

FRIDAY – FULL BACK-UPS: Recycle after 6 months.

TRANSFERRED RECORDS:

37-390-186 WATER WELL INFORMATION AND DATA SHEET to 37-260-217

NOTE

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.
RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter-size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal-size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb