

# **Schedule 37-380**

# **DEPARTMENT OF TRANSPORTATION**

# **CONSTRUCTION DIVISION**

**August 19, 2019**

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

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

SCHEDULE	<b>37-380</b>
AGENCY, BOARD OR COMMISSION	<b>DEPARTMENT OF TRANSPORTATION</b>
DIVISION, BUREAU OR OTHER UNIT	<b>CONSTRUCTION DIVISION</b>
Supersedes Edition of March 14, 2006	

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

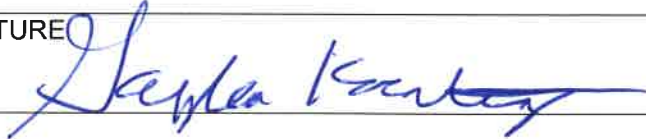
**PART I – AGENCY STATEMENT:**

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 <b>Director</b>	DATE <b>8/1/19</b>

**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 <b>8/13/2019</b>	

**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 <b>8/16/19</b>	

**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 <b>8/19/2019</b>	

## **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 37-380  
DEPARTMENT OF TRANSPORTATION  
CONSTRUCTION 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 Division

Supersedes Edition of March 14, 2006

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-380-1	AMERICAN ASSOCIATION OF STATE HIGHWAY AND TRANSPORTATION OFFICIALS (AASHTO) SITE MANAGER DATABASE	Contains American Association of State Highway and Transportation Officials (AASHTO) project documentation.	<b>ELECTRONIC RECORD:</b> Permanent	
37-380-2	ANNUAL BID BONDS	Document contractor bid compliance	<b>PAPER RECORD:</b> Scan. Until no longer of reference value but no more than one year <b>ELECTRONIC RECORD:</b> Retain in ECM for 20 years	
37-380-3	CONSTRUCTION DIVISION MANUALS	Construction Manual, Final Review Process Manual, Overhaul Manual, Construction Directives and related review/comment correspondence.	Retain library of directives and correspondence until incorporated in the appropriate Construction Division manual.	See Schedule 124-General Records for State Agencies -- PUBLICATIONS AND PUBLICATION FILES, item 124-97
37-380-4	CONTRACT PAYROLLS	Salaries and wages paid to individual employees of contracting firm that receives low bid awards.	<b>5 years after FHWA payment</b>	
37-380-5	CONTRACTOR DRUG FREE POLICY	Document contractor compliance	<b>PAPER RECORD:</b> Scan. Until no longer of reference value but no more than one year <b>ELECTRONIC RECORD:</b> Retain in ECM for 20 years	
37-380-6	CONTRACTOR PREQUALIFICATION	Prequalifies contractors to bid on NDOT, includes projects (current and expires), suspensions and prequalification logs.	<b>PAPER RECORD:</b> Scan. Until no longer of reference value but no more than one year <b>ELECTRONIC RECORD:</b> Retain in ECM for 20 years	
37-380-11	CONTRACTORS' INSURANCE CERTIFICATE	Proof of insurance coverage (liability, property damage, railroad, business, auto, etc.)	<b>PAPER RECORD:</b> Until no longer of reference value but no more than one year <b>ELECTRONIC RECORD:</b> Retain in ECM for 20 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-380-7	COUNTY NEWSPAPER DESIGNATION	Document official newspaper designation	<b>PAPER RECORD:</b> Until no longer of reference value but no more than one year <b>ELECTRONIC RECORD:</b> Retain in ECM for 5 years	
37-380-8	GENERAL CORRESPONDENCE	Correspondence unrelated to any specific project. Sent or received by/from NDOT, FHWA, AGC, contractors, public, legislature, etc.	<b>PAPER RECORD:</b> Until no longer of reference value but no more than one year <b>ELECTRONIC RECORD:</b> Retain in ECM for 10 years	
37-380-18	PLATT'S OILGRAM PRICE REPORT	A daily international oil and gas marketing newsletter. It is used to figure the fuel adjustments for contractor excavation and embankment.	<b>ELECTRONIC RECORD:</b> Retain in ECM for 10 years	
37-380-19	PROGRESS REPORTS (CONSTRUCTION)	Progress reports about construction projects.	<b>ELECTRONIC DATA:</b> 2 years after final acceptance of contract, provided audit has been completed	
37-380-9	STANDARD SPECIFICATIONS FOR HIGHWAY CONSTRUCTION	Standard Specifications for Highway Construction and library of all Special Provisions and related review/comment correspondence.	Retain library of special provisions, directives, and correspondence in ECM until incorporated in the Standard Specifications	See Schedule 124-General Records for State Agencies -- PUBLICATIONS AND PUBLICATION FILES, item 124-97
37-380-10	EVALUATION OF CONTRACTOR		<b>OBSOLETE, immediate disposal</b>	
37-380-12	INSURANCE, CONTRACTORS' CERTIFICATES OF		<b>OBSOLETE, immediate disposal</b>	
37-380-13	LETTINGS, CORRESPONDENCE		<b>OBSOLETE, immediate disposal</b>	
37-380-14	NOTICE TO CONTRACTOR		<b>OBSOLETE, immediate disposal</b>	
37-380-15	OFFICE MANAGER'S FILES		<b>OBSOLETE, immediate disposal</b>	
37-380-23	PROJECT SIGNING PLANS		<b>OBSOLETE, immediate disposal</b>	
37-380-24	PS&E BID TAB ANALYSIS		<b>OBSOLETE, immediate disposal</b>	
37-380-25	PS&E CONTRACTOR'S BID (HIGHWAY)		<b>OBSOLETE, immediate disposal</b>	
37-380-26	PS&E COST ESTIMATES		<b>OBSOLETE, immediate disposal</b>	
37-380-27	TICKETS, SCALE		<b>OBSOLETE, immediate disposal</b>	