

# **Schedule 37-170**

## **DEPARTMENT OF ROADS**

### **HUMAN RESOURCE DIVISION**

August 17, 2009

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

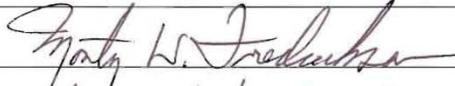
**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

SCHEDULE
<b>37-170</b>
AGENCY, BOARD OR COMMISSION
<b>DEPARTMENT OF ROADS</b>
DIVISION, BUREAU OR OTHER UNIT
<b>HUMAN RESOURCE DIVISION</b>
Supersedes Edition of October 6, 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	Director - State Engineer
DATE	7/29/09

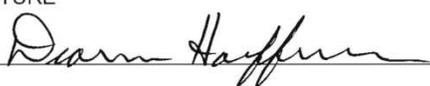
**PART II – APPROVAL OF STATE ARCHIVES:**

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	8/3/2009
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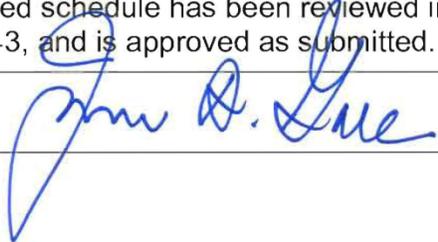
**PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:**

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE		DATE	8/4/09
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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	8/17/09
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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. 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 37-170 – DEPARTMENT OF ROADS – HUMAN RESOURCE DIVISION # 170**

### **37-170-1 ACCIDENT REVIEW PANEL REPORTS**

**Dispose of after 3 years.**

### **37-170-3 ASBESTOS MONITORING RECORDS (OBSOLETE 2002)**

All documents pertaining to asbestos in the work place. Retain in Employee Safety Office.

**ORIGINAL RECORD: Microfilm and destroy after 1 year.**

**SECURITY MICROFILM: Transfer to the State Records Center.**

**MICROFILM WORK COPY: Retain permanently.**

### **37-170-5 COMMERCIAL DRIVERS LICENSE THIRD-PARTY EXAMINER RECORDS**

The employment of the third-party tester retained in Personnel.

**Dispose of 2 years after termination of third-party.**

### **37-170-6 EMPLOYEE ACCIDENT ANALYSIS**

Studies and reports of employee accidents, work area, equipment, etc., causes and possible prevention.

**Dispose of after 3 years.**

### **37-170-7 EMPLOYEE ACCIDENT FILE**

**(See item 124-6-16)**

### **37-170-8 EMPLOYEE ACCIDENT SUMMARY**

Monthly summary of all personal injury and vehicle accidents involving Department of Roads employees retained in Employee Safety Office.

**ORIGINAL RECORD: Microfilm and destroy after 3 years.**

**SECURITY MICROFILM: Retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

### **37-170-9 EMPLOYEE COMPLAINT INVESTIGATION FILES**

**(See item 124-6-18)**

### **37-170-10 EMPLOYEE HISTORY FILE**

**(See item 124-6-15)**

### **37-170-11 EMPLOYEE TIME REPORTS (DR FORM 50) (OBSOLETE 2004)**

Material prior to September 26, 1999 is on microfilm. The Controller must keep federal project numbers for 50 years.

**ORIGINAL RECORD: Microfilm and destroy annually.**

**SECURITY MICROFILM: Transfer to State Records Center; dispose of after 50 years, provided the audit has been completed.<sup>1</sup>**

**MICROFILM WORK COPY: Dispose of after 50 years.**

### **37-170-12 EXIT INTERVIEW RECORDS AND REPORTS**

Questionnaire is filled out by employees who terminate with the department and includes their reasons for leaving.

**Dispose of after 3 years.**

**37-170-13 FINAL DOCUMENTATION ON POSITIONS FILLED  
(See item 124-6-6)**

**37-170-14 FUND RAISING CAMPAIGN RECORDS (See item 124-6-10)**

**37-170-15 MATERIALS SAFETY DATA SHEETS**

Information regarding chemicals and hazardous materials purchased by the state and the handling and emergency procedures followed for these products.

**Dispose of when superseded or 3 years after products have been discontinued, whichever is sooner.**

**37-170-16 MEDICAL RECORDS**

Medical examination reports on drivers, respirator wearers, asbestos removers, etc., and records on employees who received hepatitis shots retained in Personnel-Nurses Station.

**Dispose of 30 years after termination of employment.**

**37-170-18 PAYROLL FOLDERS (TERMINATION) (OBSOLETE 2001)**

W4s, deduction forms, insurance, etc.

**Transfer to DOR Archives 5 years after termination; dispose of 10 years after termination.**

**37-170-21 POSITION ASSIGNMENTS, CLASSIFICATIONS BY PAY GRADE**

Position staffing assignments and classification by pay grade.

**ORIGINAL RECORD: Scan to CD and destroy.**

**CD SECURITY COPY: Transfer to security storage; dispose of after 5 years.**

**CD WORK COPY: Dispose of after 5 years.**

**37-170-25 RADIATION EXPOSURE RECORDS**

Records showing the radiation exposures of all employees who operate nuclear density gauges. Retain in Employee Safety Office. Per Title 180.

**ORIGINAL RECORD: Microfilm and destroy after 1 year.**

**SECURITY MICROFILM: Transfer to the State Records Center.**

**MICROFILM WORK COPY: Retain permanently.**

**37-170-34 RADIATION (NUCLEAR GAUGES) INVENTORY RECORDS**

Records required compliance with rules, the department performed physical inventory to account for all sources and/or devices under the conditions of the license. Retain in Employee Safety Office. Per Title 180.

**Dispose of after 6 years.**

**37-170-26 RADIATION (NUCLEAR GAUGES) LEAK TESTS**

Certificates of leak tests. Retain in Employee Safety Office. Per Title 180.

**Dispose of after 10 years.**

**37-170-33 RADIATION SAFETY REVIEWS (DR FORM 183)**

Reports required compliance with rules; the department approved operating, safety, security, transportation, storage facilities of gauges and emergency procedures and conditions of the license. Retain in Employee Safety Office. Per Title 180.

**Dispose of after 3 years.**

**37-170-27 RADIATION SAFETY TRAINING RECORDS**

Copies of nuclear gauge training certificates, initial training roster, and annual refresher training rosters. Retain in Employee Safety Office. Per Title 180.

**TRAINING ROSTERS: Dispose of after 3 years.**

**CERTIFICATES: Dispose of 10 years after termination of employment.**

**37-170-28 SAFETY INSPECTIONS (DR FORM 87)**

Reports of unsafe and unhealthy conditions found in the division and district facilities and during annual inspections.

**Dispose of after 3 years.**

**37-170-29 SAFETY MEETING REPORTS AND SUMMARIES**

**Dispose of after 3 years.**

**37-170-30 STATE PERSONNEL JOB AUDIT DOCUMENTATION**

Documentation on job reclassification. Includes request for job audit, correspondence between DOR and State Personnel, authorization from State Personnel, etc.

**Dispose of after 5 years.**

**37-170-31 TRAINING RECORDS**

Class Rosters of DOR employees attending training. May include first aide, CPR, defensive driving, flagging, right-to-know and fire protection computerized records ret.

**CLASS ROSTERS: Dispose of after 3 years.**

**ALL OTHER RECORDS: Dispose of after termination of employment.**

**ELECTRONIC RECORDS: Dispose of after termination of employment.**

**37-170-32 TRAINING THROUGH INSTALLATION FACILITIES OR OTHER FACILITIES**

Individual case files containing application, training schedules, examination records (performance and technical information tests), certificates of eligibility and related materials as well as Tuition Assistance (SPS Form 8), Specialized Training requests, and Course Contracts/Agreements for courses.

**Dispose of 1 year after completion of course, or 1 year after individual discontinues training, whichever is sooner.**

**37-170-35 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.**

**DELETED RECORDS**

- 37-170-2 APPLICATIONS – INTAKE (OBSOLETE 2002)
- 37-170-4 CALENDAR AND FISCAL YEAR TRANSACTIONS  
(OBSOLETE 2001)
- 37-170-17 MERITS (OBSOLETE 2001)
- 37-170-19 PAYROLL SHEETS, REGISTERS, OR THEIR EQUIVALENT  
(OBSOLETE 2002)
- 37-170-20 PERSONNEL COMMITTEE DOCUMENTATION  
(OBSOLETE 2001)
- 37-170-22 QUALITY RESOURCES OFFICE (QRO) TEAM MEETINGS  
RECORDS (OBSOLETE 2002)
- 37-170-23 QRO QUALITY COUNCIL FOCUS GROUP INFORMATION  
(OBSOLETE 2002)
- 37-170-24 QRO TEAM FINAL REPORTS (OBSOLETE 2002)

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**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

<b>TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8<sup>TH</sup> STREET SUITE 210 LINCOLN, NE 68508-2294</b>	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.

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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.)**

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