

Schedule 37-380

DEPARTMENT OF ROADS

CONSTRUCTION DIVISION

March 14, 2006

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

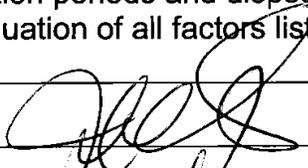
**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE	37-380
AGENCY, BOARD OR COMMISSION	Department of Roads
DIVISION, BUREAU OR OTHER UNIT	Construction Division
Supersedes edition of January 30, 2004	

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

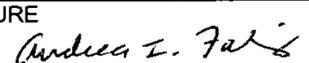
PART I -- AGENCY STATEMENT

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		John L. Craig
TITLE	Director	DATE March 9, 2006

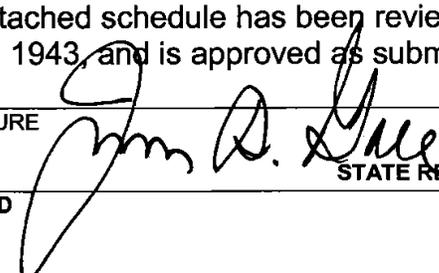
PART II - ARCHIVAL APPROVAL

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 Mar. 10, 2006
STATE ARCHIVIST		

PART III -- APPROVAL BY 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 3/14/06
STATE RECORDS ADMINISTRATOR		

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines 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. 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 Consultant 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 Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that 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 Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

INDEX

SCHEDULE 37-380 DEPARTMENT OF ROADS CONSTRUCTION DIVISION

	Item	Page
AMERICAN ASSOCIATION OF STATE HIGHWAY AND TRANSPORTATION OFFICIALS (AASHTO) SITE MANAGER DATABASE.....	37-380-1	6
BIDS, APPARENT LOW, AWARD SHEET	37-380-2	6
CONTRACT COMPLIANCE REVIEW	37-380-3	6
CONTRACT PAYROLLS	37-380-4	6
CONTRACT RECORDS	37-380-5	6
CONTRACTOR'S STATEMENT OF EXPERIENCE AND PRE-QUALIFICATION WORK SHEETS.....	37-380-6	7
CONTRACTS (HIGHWAY)	37-380-7	7
DISADVANTAGED BUSINESS ENTERPRISES	37-380-8	7
DBE PROJECT COMMITMENTS AND FINAL CONTRACTOR PAYMENTS (FORMERLY E.E.O. FINAL PAYMENT).....	37-380-97	7
EVALUATION OF CONTRACTOR	37-380-10	7
INSURANCE, CONTRACTORS	37-380-11	8
INSURANCE, CONTRACTORS' CERTIFICATES OF.....	37-380-12	8
LETTINGS, CORRESPONDENCE.....	37-380-13	8
NOTICE TO CONTRACTOR	37-380-14	8
OFFICE MANAGER'S FILES.....	37-380-15	8
PLANS, CONSTRUCTION	37-380-16	8
PLANS/PROPOSALS (LETTING OFFICE COPY)	37-380-17	9
PLATT'S OILGRAM PRICE REPORT	37-380-18	9
PROGRESS REPORTS (CONSTRUCTION)	37-380-19	9
PROJECT COMPUTATIONS	37-380-20	9
PROJECT CORRESPONDENCE, CONSTRUCTION DIVISION.....	37-380-21	9

PROJECT DIARIES, JOURNALS, AND FIELD BOOKS	37-380-22	10
PROJECT SIGNING PLANS	37-380-23	10
PS&E BID TAB ANALYSIS	37-380-24	10
PS&E CONTRACTOR'S BID (HIGHWAY)	37-380-25	10
PS&E COST ESTIMATES	37-380-26	10
RECORDS DISPOSITION REPORT (BLANK FORM)		12
TICKETS, SCALE	37-380-27	10

SCHEDULE 37-380 – DEPARTMENT OF ROADS – CONSTRUCTION DIVISION

37-380-1 AMERICAN ASSOCIATION OF STATE HIGHWAY AND TRANSPORTATION OFFICIALS (AASHTO) SITE MANAGER DATABASE

Contains project documentation.

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY BACKUP COPY: Dispose of after superseded.

37-380-2 BIDS, APPARENT LOW, AWARD SHEET

Records kept in the Contracts Office.

ORIGINAL RECORD: Microfilm annually and dispose of after 3 years, provided audit has been completed.¹

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

MICROFILM WORK COPY: Dispose of after 75 years.

37-380-3 CONTRACT COMPLIANCE REVIEW

Disadvantaged Business Enterprise Office (DBE), (form DBE 90), case file of review to determine compliance with Equal Employment Opportunity and Affirmative Action contract requirements. Retain in Disadvantaged Business Enterprise Office (DBE).

Dispose of after 5 years, provided audit has been completed.¹

37-380-4 CONTRACT PAYROLLS

Salaries and wages paid to individual employees of contracting firm that receives low bid awards. Retained by the Project Manager.

Dispose of 3 years after FHWA has paid off, provided audit has been completed.¹

37-380-5 CONTRACT RECORDS

Includes the following: advertising for bids, engineer's estimates, contractors' bids, awards of contract and concurrences, agreement estimates, anticollusion certifications for force account construction, award and execution correspondence, letting information and any similar records considered necessary to document the contract. Retain in the Contracts Office.

CONTRACTORS' BIDS: Scan to CD and destroy.

SECURITY CD: Transfer to the State Records Center; dispose of after 10 years.

CD WORK COPY: Retain in DOR Records Center, dispose of after 10 years.

ALL OTHER RECORDS: Retain in Contracts Office 3 years; scan to CD and transfer to the DOR Archives; dispose of after 13 years, provided audit has been completed.¹

CD SECURITY COPY: Transfer to the State Records Center; dispose of after 25 years.

CD WORK COPY: Dispose of after 25 years.

37-380-6 CONTRACTOR'S STATEMENT OF EXPERIENCE AND PRE-QUALIFICATION WORK SHEETS

Includes all documentation necessary to prequalify contractors to submit bids for State/FHWA projects.

ORIGINAL RECORD: Retain in the Contracts Office 3 years; microfilm, scan to CD and transfer to the DOR Archives; dispose of after 13 years, provided audit has been completed.¹

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 50 years.

MICROFILM WORK COPY: Dispose of after 50 years.

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

CD WORK COPY: Dispose of after 15 years.

37-380-7 CONTRACTS (HIGHWAY)

Includes contracts and letters of authority or notices to proceed with highway projects.

ORIGINAL RECORD: Microfilm and dispose of after 10 years, provided audit has been completed.¹

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 100 years.

MICROFILM WORK COPY: Dispose of after 100 years.

37-380-8 DISADVANTAGED BUSINESS ENTERPRISES (DBE)

Nebraska Unified Certification Application and supporting documentation.

ORIGINAL RECORD: Retain in DBE office for 6 years, transfer to the DOR Archives; scan to CD; dispose of after 10 years.

CD SECURITY COPY: Transfer to the State Records Center; dispose of after 10 years.

CD WORK COPY: Dispose of after 10 years.

37-380-9 DBE PROJECT COMMITMENTS AND FINAL CONTRACTOR PAYMENTS (FORMERLY E.E.O. FINAL PAYMENT)

Contains the Disadvantaged Business Enterprise Office's documentation for all DBE goal commitments and final subcontractor payments on federal aid projects.

Retain in DBE office 1 year from date of receipt; transfer to the DOR Archives and scan to CD; dispose of after 5 years, provided audit has been completed.¹

CD SECURITY COPY: Transfer to the State Records Center; dispose of after 5 years.

CD WORK COPY: Dispose of after 5 years.

37-380-10 EVALUATION OF CONTRACTOR

This report is a project-specific rating prepared by the project manager (or a designee) on each contractor or subcontractor who performed work on a project. The ratings are used to monitor contractor performance and are also used as part of the pre-qualification process for prime contractors. The reports are created out of and pertinent data is maintained in the AASHTO Site Manager Database, see #37-380-1.

ORIGINAL RECORD: Scan to CD and destroy.

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

CD WORK COPY: Dispose of after 15 years.

37-380-11 INSURANCE, CONTRACTORS

Includes public liability, property damage and certificate (original policy is the responsibility of the railroad).

Dispose of 10 years after expiration, provided audit has been completed.¹

37-380-12 INSURANCE, CONTRACTORS' CERTIFICATES OF

Includes certificates of insurance for public liability, property damage, business automobile, railroad protective, professional practice, etc., for contractors, subcontractors, and other vendors. May also include copies of insurance policies in some cases.

ORIGINAL RECORD: Scan to CD and destroy.

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

CD WORK COPY: Dispose of after 15 years.

37-380-13 LETTINGS, CORRESPONDENCE

Includes figures for lettings, information on contractors' bids, etc.

ORIGINAL RECORD: Microfilm and destroy annually, provided audit has been completed.¹

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 25 years.

MICROFILM WORK COPY: Dispose of after 25 years.

37-380-14 NOTICE TO CONTRACTOR

The advertisement of the provisions, requirements, and instructions pertaining to the work on which bids are received, manner and time of submitting bids as prepared for the information of bidders.

Dispose of after 3 years.

37-380-15 OFFICE MANAGER'S FILES

Miscellaneous information pertinent to lettings.

ORIGINAL RECORD: Retain in office for 3 years; transfer to the DOR Records Center, microfilm, scan to CD and destroy.

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

MICROFILM WORK COPY: Dispose of after 75 years.

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

CD WORK COPY: Dispose of after 15 years.

37-380-16 PLANS, CONSTRUCTION

Includes as-built plans, design linens, shop plans, standards, contour maps, tracings, buildings and bridges. Plan copies show the specific project as designed, modifications and how actually built.

ORIGINAL RECORD: Microfilm and destroy.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Transfer to the State Archives when no longer of reference value; retain permanently.

37-380-17 PLANS/PROPOSALS (LETTING OFFICE COPY)

Highway construction project prints used as the basis for contractor's bids and the approved proposal.

ORIGINAL RECORD: Scan to CD and destroy.

CD SECURITY COPY: Transfer to the State Records Center; dispose of after 10 years.

CD WORK COPY: Dispose of after 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. It is also used by the testing laboratory to figure the cost of asphalt cement for upcoming jobs.

Transfer to the DOR Archives after 2 years; dispose of 10 years after receipt in the DOR Archives.

37-380-19 PROGRESS REPORTS (CONSTRUCTION)

ELECTRONIC DATA: Backup daily; dispose of 2 years after final acceptance of contract, provided audit has been completed.¹

SECURITY BACKUP COPY: Dispose of after superseded.

37-380-20 PROJECT COMPUTATIONS

Includes detailed record of quantities and location of items in project, computations of quantities of items used, descriptions of each project, estimates, and agreements.

These records are used in audits, in cost estimates, and in designing and planning.

ORIGINAL RECORD: Microfilm, scan to CD and destroy annually, provided audit has been completed.¹

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 20 years.

MICROFILM WORK COPY: Dispose of after 20 years.

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

CD WORK COPY: Dispose of after 15 years.

37-380-21 PROJECT CORRESPONDENCE, CONSTRUCTION DIVISION

All correspondence pertaining to numbered projects, highways, buildings, bridges, etc.

ORIGINAL RECORD: Microfilm, scan to CD and destroy 1 year after final payment has been made on all contracts.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Transfer to the State Archives when no longer of reference value; retain permanently.

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

CD WORK COPY: Dispose of after 15 years.

37-380-22 PROJECT DIARIES, JOURNALS, AND FIELD BOOKS

Books containing all records of each project which include the following: complete daily diary of construction, all engineering measurements and their descriptions and locations, and record of the quantities, types and placement of materials. Books are screened on the 13th year from letting date to determine which books alter the contour of the land.

BOOKS WHICH INCLUDE ALIGNMENT, BRIDGE, VIADUCT, CULVERT, MISCELLANEOUS, SECTION CORNER TIES, STORM SEWERS, and CROSS-SECTION BOOKS: Retain permanently.

RECORDS OF PROJECTS WHICH ALTER CONTOUR OF LAND (Excluding books listed above): Dispose of after 50 years, subject to review by the State Archivist for possible accession.

ALL OTHER RECORDS: Backup to CD; dispose of 15 years after the contract date, subject to review by the State Archivist before disposal for possible accession.

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

CD WORK COPY: Dispose of after 15 years.

37-380-23 PROJECT SIGNING PLANS

A listing of all construction signing plans for each project by letting. The first set is made by the construction office for bidding purposes. The second set is made by the project manager and indicates what is to be or has been used on each project.

Transfer to the DOR Archives after 2 years; dispose of 10 years after receipt in the DOR Archives.

37-380-24 PS&E BID TAB ANALYSIS

Plans, Specifications and Estimates. Bid tabulations with additional information used for bid review and analysis.

ORIGINAL RECORD: Microfilm and destroy after 5 years.

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 25 years.

MICROFILM WORK COPY: Dispose of after 25 years.

37-380-25 PS&E CONTRACTOR'S BID (HIGHWAY)

UNSUCCESSFUL/REJECTED BIDS: Microfilm front cover, item and signature pages at time of bid opening; dispose of hard copy after execution of original contract.

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 10 years.

MICROFILM WORK COPY: Dispose of after 10 years.

SUCCESSFUL BIDS: Microfilm and destroy.

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 100 years.

MICROFILM WORK COPY: Dispose of after 100 years.

37-380-26 PS&E COST ESTIMATES

Includes computer printouts of the following reports: detail cost estimates and project agreement cost estimates.

ORIGINAL RECORD: Microfilm and destroy after 2 years.

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 20 years.

MICROFILM WORK COPY: Dispose of after 20 years.

37-380-27 TICKETS, SCALE

Records of weights of gravel, rock rip rap and sand used by contractors in completing their contracts. Includes Daily Summary of Scale Weights (DR Form 29), and Weight Tickets, (DR Form 62).

ALL SCALE TICKETS; FEDERAL FUNDS INVOLVED: Retain in the District in which the work was done; dispose of 10 years after final acceptance.

ALL SCALE TICKETS; FEDERAL FUNDS NOT INVOLVED: Retain in the District in which the work was done; dispose of 6 years after final acceptance.

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
------	-----------

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.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet