

Schedule 37-130

DEPARTMENT OF ROADS

CONTROLLER DIVISION OE# 130

September 8, 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**

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

SCHEDULE	37-130
AGENCY, BOARD OR COMMISSION	Department of Roads
DIVISION, BUREAU OR OTHER UNIT	Controller Division OE# 130
Supersedes edition of January 21, 2005	

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

Sep 5, 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

STATE ARCHIVES

DATE

9/7/06

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

STATE RECORDS ADMINISTRATOR

DATE

9/8/06

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**

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SCHEDULE 37-130 - DEPARTMENT OF ROADS – CONTROLLER DIVISION

37-130-1 A-133 SUB RECIPIENT AUDIT REPORTS AND NDOR’S MONITORING RECORDS

All records associated with NDOR’s efforts to monitor compliance with OMB Circular A-133 Sub recipient Audit Requirements. Includes, but is not limited to, Independent Audit Reports of sub recipient’s annual financial statements, NDOR’s review checklists, annual reminder /notification letters, returned questionnaires, correspondence and documentation used in the identification of federal pass through projects and the establishment of annual federal payment amounts.

Retain in Audit Section for 3 years; transfer to the DOR Archives for 2 years; dispose of after 5 years, provided audit has been completed.¹

37-130-2 ACCOUNTING MANUAL USER DOCUMENTATION

Script files of the accounting manuals. Maintain on Controller Division Microsoft Word document file.

**ELECTRONIC DATA: Backup monthly; dispose of annually when superseded.
SECURITY BACKUP COPY: Dispose of after superseded.**

37-130-3 ACCOUNTS PAYABLE RECORDS

Records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: May include remittance advice and statements, lists of vendors, invoices, invoice audits, performance guarantees and distribution slips.

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

37-130-4 ACCOUNTS RECEIVABLE RECORDS

Includes invoices, adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, or other documents which detail the material or services billed on the related invoices.

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

37-130-5 ACTIVITY- ACCOUNT SUMMARY

Computer generated report which provides a listing of expenditures by detailed object and program classification. Generated from the Cost System, Records Retention Schedule Item #37-130-96.

SECURITY MICROFILM (COM): Transfer to the State Records Center; dispose of after 5 years, provided audit has been completed.¹

MICROFILM WORK COPY (COM): Dispose of after 5 years, provided audit has been completed.¹

37-130-6 ADDRESS FILE (OBSOLETE 2003)

Listing of mailing addresses for all counties and incorporated cities. It is used for the distributions of highway allocation warrants.

Immediately dispose of obsolete record.

37-130-95 ALL FUNDS ACCOUNT SUMMARY

Computer generated report that reflects cost (expenses) in the 4000 object code series (5000 in NIS) by the expanding program (activity series). These costs are reflected in monthly and year to date figures. Generated from RFE, Records Retention Schedule Item 37-130-74.

Dispose of after 5 years.

37-130-8 ANNUAL STATEMENT OF SOURCE AND APPLICATION OF FUNDS

FHWA Forms - 531, 532, 534, 536, 541, 542, 556, 561, 562, 566 and FHWA 571
Provides information as to application and distribution of road finances. Retain in Controller Division.

Dispose of after 5 years.

37-130-10 AUDIT LOGS

Daily computer generated report provides an account profile from credit card transactions. Generated from the Roads Financial Edit, Records Retention Schedule Item # 37-130-75.

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

37-130-11 AUTHORITY FOR EXPENDITURE (AFE)

General Purpose Authority for Expenditure (DR Form 110), and obsolete General Purpose Authority for Expenditure (DR Forms 87 and 88). May also include authorizations to finance projects, building construction, and to purchase materials, supplies, and equipment. Generated from the RFE System, Records Retention Schedule Item #37-130-74. Retain in the Controller Division.

Dispose of 4 years after completion of project.

37-130-12 AUTHORITY FOR EXPENDITURE (AFE) MASTERFILE

Computer generated record showing AFE information and accumulated cost to date. Generated from the RFE System, Records Retention Schedule Item #37-130-74.

Dispose of 4 years after AFE is closed out, provided audit has been completed.¹

37-130-13 BALANCE AND DISTRIBUTION LISTING

Generated from the RFE System, Records Retention Schedule Item #37-130-74.

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

37-130-14 BALANCE SHEET, MONTHLY

Computer generated report showing financial balance each month. Generated from the RFE System, Records Retention Schedule Item #37-130-74.

Dispose of after 2 years, provided audit has been completed.¹

37-130-83 BATCH CONTROL REPORT

Daily computer generated report; includes batch control and disbursement file summary
Generated from RPS. Records Retention Schedule Item # 37-130-75. Retain in the
Controller Division.

**ORIGINAL RECORD: Dispose of after 26 months, provided audit has been
completed.¹**

**37-130-15 BILLING AND REIMBURSEMENT STATUS REPORT AND
LEDGER**

Monthly computer generated records of all billings issued and all reimbursements received
from each financing participant on each project. Generated from PPM, Records Retention
Schedule Item # 37-130-66. On COM until September, 2005. Beginning October, 2005,
stored on Controller Division PDF (Portable Document Format) file.

**ELECTRONIC DATA: Backup daily; dispose of after 10 years, provided audit has
been completed.¹**

**SECURITY BACKUP COPY: Dispose of after 10 years, provided audit has been
completed¹.**

37-130-16 BILLING DISTRIBUTION BY EQUIPMENT NUMBER

Monthly fuel and oil issues to the Department of Roads and other agencies. Includes
numbered equipment in agency number order.

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

37-130-17 BUDGET MANUAL

Files containing the entire budget manual.

Retain permanently.

37-130-18 BUDGET REPORTS (Obsolete August 2003)

Miscellaneous monthly budget reports for resource managers, i.e. overtime, equipment
and building repair.

Dispose of when no longer of reference value.

37-130-19 BUDGET SYSTEM

Contains Roads budget system information. This is a perpetual system and data is
updated continually to provide the most current budget information.

ELECTRONIC DATA: Backup monthly; dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

**37-130-20 CAPITAL FACILITIES OPERATIONS AND
ADMINISTRATION REPORTS**

Monthly reports used to compute DOR building square footage for rental rate purposes.
Also used to update the Accounting Manual. Includes: cost distribution report, monthly
activity cost report, to date activity cost report, real property activity percentage list, update
and error listings..

ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.¹

**SECURITY MICROFILM (COM): Dispose of after 3 years, provided audit has been
completed.¹**

**MICROFILM WORKCOPY (COM): Dispose of after 3 years, provided audit has been
completed.¹**

37-130-84 CASH RECEIPTS

Cash receipts documentation. Includes DOR Cash Receipts form, batched receipts report, and State Treasurer receipts report. Retain in Controller Division.
Dispose of after 3 years, provided audit has been completed.¹

37-130-21 CITY AND COUNTY INCENTIVE PAYMENTS

Maintains detailed information concerning factors used for calculating incentive payments to the cities and counties of this state.

PRINTOUT: Dispose of after 10 years.

ELECTRONIC DATA: Backup monthly; dispose of when superseded annually.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-22 CITY/COUNTY HIGHWAY ALLOCATION FACTORS

Maintains detailed information concerning factors used to distribute State Highway Trust Funds to the cities and counties of this state.

PRINTOUT: Dispose of after 10 years.

ELECTRONIC DATA: Backup monthly; retain permanently.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-23 CITY/COUNTY MAKE-UP PAYMENT

Maintains detailed information concerning factors used for calculating make-up payments to the cities and counties of this state.

PRINTOUT: Dispose of after 10 years.

ELECTRONIC DATA: Backup monthly; dispose of when superseded annually.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-24 CITY/COUNTY ROAD FUND (OBSOLETE March 2003)

Breakdown and distribution of city/county road fund.

PRINTOUT: Immediately dispose of obsolete records.

ELECTRONIC DATA: Immediately dispose of obsolete records.

SECURITY BACKUP COPY: Immediately dispose of obsolete records.

37-130-25 CITY INFORMATION (OBSOLETE June 2003)

City and county names, population, municipal classifications, IAI, FIRS, census codes, congressional districts, population histories and projections.

PRINTOUT: Immediately dispose of obsolete records.

ELECTRONIC DATA: Immediately dispose of obsolete records.

SECURITY BACKUP COPY: Immediately dispose of obsolete records.

37-130-27 CONTRACTS, AGREEMENTS AND RETENTION REPORTS

Monthly report showing the amount paid and amount retained on each contractor.

Generated from the Program Project Management, Records Retention Schedule Item # 37-130-66. microfilming stopped June 2006. Beginning July 2006, on PDF file.

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

MICROFILM WORK COPY (COM): Retain permanently.

ELECTRONIC DATA: Back up daily; dispose of after 10 years.

SECURITY BACKUP COPY: Dispose of after 10 years.

37-130-28 CORRESPONDENCE – MUNICIPAL (Obsolete March 2006)

Includes local correspondence on finances to municipalities.

ELECTRONIC DATA: Immediately dispose of obsolete records.

PRINTOUT: Immediately dispose of obsolete records.

SECURITY BACKUP COPY: Immediately dispose of obsolete records.

37-130-29 COST ACCOUNTING CODING ERRORS

Used to correct departmental cost transactions.

Dispose of after 3 months, provided audit has been completed.¹

37-130-7 COST REFERENCE LISTINGS, MONTHLY

Monthly computer generated report of all costs to activities 1000 administrative, 2000 highway maintenance, 3000 capital facilities, 4000 services & support, all funds other than 2270, and revenues, miscellaneous assets and liabilities. Also includes financial transactions by document; used in the budget program. Generated from Budget System, Records Retention Schedule Item # 37-130-19, and RFE, Records Retention Schedule Item # 37-130-74.

PRINTOUT: Retain in Controller Division; dispose of after 3 years.

ELECTRONIC DATA: Backup monthly; dispose of after 2 years.

SECURITY BACKUP COPY: Dispose of after superseded.

SECURITY MICROFILM (COM): Transfer to the State Records Center; dispose of after 3 years, provided audit has been completed.¹

MICROFILM WORK COPY (COM): Dispose of after 3 years, provided audit has been completed.¹

37-130-96 COST SYSTEM

Contains Roads cost system information. This is a perpetual system and data is updated continually to provide the most current cost information.

ELECTRONIC DATA: Backup monthly; dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-30 CREW DATA FILE (formerly CREW CARDS)

Employees enter hours, equipment and materials into an on-line input screen. The data is stored in a sequential data file. Until October, 2003, cards were used for computer entry, then stored on microfilm and CD.

CREW CARDS: Dispose of after 5 years.

ELECTRONIC DATA: Backup daily; dispose of after 5 years.

SECURITY BACKUP COPY: Dispose of after superseded.

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

MICROFILM WORK COPY: Dispose of after 5 years.

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

CD WORK COPY: Dispose of after 5 years.

37-130-85 DOR CUSTOMER IDENTIFICATION MASTER DELETE

Annual computer generated report of vendors deleted from the vendor master file that have had no activity for 2 years. Generated from RPS, Records Retention Schedule Item # 37-130-75. On COM until July 2005. Beginning July 2005, stored on PDF file.

SECURITY MICROFILM (COM): Transfer to the State Records Center; dispose of after 5 years.

MICROFILM WORK COPY (COM): Dispose of after 5 years.

ELECTRONIC DATA: Backup daily; dispose of after 5 years.

SECURITY BACKUP COPY: Dispose of after 5 years.

37-130-86 END OF MONTH BILLING REPORT

Computer generated billing report which reconciles monthly total to various reports; includes source code balance, end of cycle report, batch control log, cost accounting errors, error balance report, supply base balance, performance guarantee report, and MM'S adjustment entries. Generated from RBS, Records Retention Schedule Item # 37-130-73, and RPS, Records Retention Schedule Item # 37-130-75. Retain in Controller Division.

Dispose of after 26 months, provided audit has been completed.¹

37-130-9 EQUIPMENT ANNUAL COST REPORT

Annual report provides the cumulative cost on equipment from the time of purchase. Information is compiled from a monthly computer report and is used to help determine when equipment should be replaced. Generated from the Equipment Management Information Systems, Records Retention Schedule Item 37-130-33.

MONTHLY AND QUARTERLY REPORTS: Dispose of after superseded.

ANNUAL REPORT: Transfer to the Operations Division; dispose of after 3 years, provided audit has been completed.¹

37-130-31 EQUIPMENT CALCULATIONS, EQUIPMENT SUMMARY BY OPERATIONS AND PRORATED 6 MONTH EQUIPMENT COST REPORT (Obsolete 2005)

Monthly computer generated report is used as a departmental working report and is used for determining equipment operational costs. Generated from the Equipment Management Information System, Records Retention Schedule Item # 37-130-33.

Dispose of after 4 years.

37-130-32 EQUIPMENT END OF MONTH REPORTS

Various end of month computer generated equipment reports; includes the Equipment Cost Summary which summarizes direct and indirect equipment operational reports, the Indirect Cost Distribution report which indicate equipment overhead cost prorated to all in-service, non-leased equipment, the Diesel Fuel Usage report for licensed and unlicensed DOR equipment, The Equipment Net Value And Depreciation report which indicates the depreciation, original cost and book value of each piece of DOR equipment. On COM until August, 2003. All reports generated from EMIS, Records Retention Schedule Item # 37-130-33. Retain in Controller Division.

Dispose of after 2 years, provided audit has been completed.¹

37-130-33 EQUIPMENT MANAGEMENT INFORMATION SYSTEM (EMI)

EMI is a database that contains various equipment data relative to BUSINESS MONTH/YEAR, FISCAL YEAR and LIFE TO DATE. May include date of operation, retirement date, usage dates, specific costs, etc.

ELECTRONIC DATA: Backup daily; retain 3 business years of monthly data; purge monthly records annually and move to sequential disk file.

SEQUENTIAL DISK FILE: Dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

**37-130-35 EQUIPMENT USAGE AND RENTAL CALCULATIONS
(Obsolete 2005)**

Equipment usage is calculated and assigned a value which is maintained on the monthly computer report. Generated from the Equipment Management Information System, Records Retention Schedule Item #37-130-33.

Dispose of after 4 years.

37-130-87 ERRORS IN AMOUNTS ON RPS

Daily computer generated report shows errors in amount between document totals, Invoice amounts, and cost accounting entries. Generated from RPS, Records Retention Schedule Item # 37-130-75. Retain in Controller Division.

Dispose of after 3 months, provided audit has been completed.¹

37-130-36 ESTIMATE AND COST REPORT (PFSR203)

Monthly report showing the expenditure, authorization date, expenditures to date, each financing participant's share of current monthly expense, fiscal year, calendar year and total expense for each project. Generated from Program Project Management, Records Retention Schedule Item #37-130-66. On COM until September, 2005. From October 2005 stored on Controller Division PDF file.

ELECTRONIC DATA: Backup daily; dispose of after 10 years, provided audit has been completed. .¹

SECURITY BACKUP COPY: Dispose of after 10 years, provided audit has been completed¹

37-130-37 EXTERNAL AUDIT HISTORY FILE (ACCESS)

Electronic documentation provides a history of all external audit requests received and tracks them through completion. Maintained in ACCESS file.

ELECTRONIC DATA: Backup monthly; dispose of after 25 years.

SECURITY BACKUP COPY: Dispose of after superseded.

**37-130-88 FEDERAL BILLING STATUS REPORT AND SPECIAL
FEDERAL BILLING**

Weekly PFS computer generated report showing the status of Federal Billings on the Federal aid projects. Includes federal billings status, eligible for billings listing, RASPS support card listing and voucher listing. Special billings generated when necessary. Generated from RBS, Records Retention Schedule Item #37-130-73. Microfilmed until June, 2006. Beginning July, 2006 on PDF.

Dispose of after 1 year.

SECURITY MICROFILM (COM): Transfer to the State Records Center; dispose of after 2 years, provided audit has been completed.¹

MICROFILM WORK COPY (COM): Dispose of after 2 years, provided audit has been completed.¹

**37-130-39 FEDERAL COMPLIANCE SINGLE AUDIT WORKPAPERS
(Obsolete March 2006)**

Audit workpapers pertaining to federal compliance requirements which are completed as part of Annual Audit of NDOR.

Immediately dispose of obsolete records.

37-130-38 FHWA 536 REPORTS

Local government roads and street finance reports. These show the FWHA how local governments finance these road projects.

PRINTOUT: Transfer to the DOR Archives after 3 years; dispose of after 10 years.

ELECTRONIC DATA: Backup monthly; dispose of after 1 year.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-40 FINANCIAL REPORT

The end of year report is published annually in July.

MONTHLY REPORT: Retain permanently.

FISCAL YEAR REPORT: Retain permanently.

37-130-42 GENERAL LEDGER RECONCILIATION

General ledger trial balance and reconciliation work sheets. Retain in the Controller division.

Dispose of after 2 years.

**37-130-43 HIGHWAY ALLOCATION AND TRUST FUND
(Obsolete June 2003)**

Breakdown and distribution of Highway Allocation and Trust funds.

PRINTOUT: Dispose of after 10 years.

ELECTRONIC DATA: Immediately dispose of obsolete records.

SECURITY BACKUP COPY: Immediately dispose of obsolete records.

37-130-44 HIGHWAY ALLOCATION RELINQUISHMENTS

Includes municipal highway allocation fund relinquishments to the counties. Generated from IHI,, Records Retention Schedule Item #37-130-93.

ELECTRONIC DATA: Backup monthly; dispose of after 10 years.

PRINTOUT: Dispose of after 10 years.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-46 HIGHWAY USER REVENUE DISTRIBUTION

Actual distribution of highway allocation funds to all municipalities and counties by fiscal year.

RECORD COPY: Retain permanently.

ALL OTHER COPIES: Dispose of when superseded or no longer of reference value, which ever is later.

37-130-47 HIGHWAY USER TAXES GENERATED & MOTOR FUEL CONSUMPTION (Obsolete March 2003)

Monthly receipts of highway user taxes generated from motor fuel taxes, registration fees, miscellaneous fees and motor vehicle sales taxes and monthly consumption of motor vehicle fuels by fuel type.

Dispose of after 10 years or when no longer of reference value, which ever is later.

37-130-48 INDIRECT COST REPORT

Monthly computer generated report of equipment expenses which are not charged to specific equipment but prorated to qualified pieces of equipment. COM microfiche was not produced after 2001. Generated from the RFE System, Records Retention Schedule Item # 37-130-74.

PRINTOUT: Dispose of after 2 years, provided audit has been completed.¹

37-130-97 INTERAGENCY HIGHWAY INVENTORY SYSTEM (IHI)

Maintains road inventory items, including reference posts, bridge, traffic control devices, etc.

ELECTRONIC DATA: Backup monthly; superseded annually

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-98 INTERGRATED BILLING TRANSACTION SYSTEM (IBT)

Maintains detailed information concerning payables to and receivables from other state agencies.

Maintained by DAS/NIS.

37-130-41 JOURNAL VOUCHERS (DOR & NIS)

Includes documentation, transfer slips, etc., pertaining to transfer of funds from one account to another. Retain in Controller Division.

Dispose of after 4 years, provided audit has been completed.¹

37-130-49 LEGISLATIVE BUDGET

Budget for submittal to the legislature. The record has not been maintained in electronic format since 2002.

Dispose of after 20 years.

37-130-50 LEGISLATIVE FISCAL IMPACT STATEMENTS

Dispose after 10 years.

37-130-51 LICENSE PLATE CASH FUND

Transfers from Highway Trust Fund to the License Plate Cash Fund. Fees collected from the sale of new license plates.

PRINTOUT: Dispose of after 10 years.

ELECTRONIC DATA: Backup monthly; dispose of after 10 years.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-52 LOCAL FINANCE (Obsolete March 2002)

Active files for municipal finance worksheets.

ELECTRONIC DATA: Backup monthly; dispose of when no longer of reference value.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-53 LOCAL FINANCE REPORT WORKSHEETS

Worksheets for FHWA-536 reports. May include municipalities, sanitary improvement districts, road improvement district, Omaha bond work, or expense summaries.

PRINTOUT: Dispose of after 1 year.

ELECTRONIC DATA: Backup monthly; dispose of after 1 year.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-54 MAINTENANCE PERFORMANCE BUDGET

Cumulative monthly computer generated report lists a breakdown of cost by lists resource, activity, and work performance by activity. Generated from the Budget System, Records Retention Schedule Item #37-130-19.

ORIGINAL RECORD: Microfilm and destroy.

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

MICROFILM WORK COPY (COM): Dispose of after superseded by latest monthly report.

**37-130-55 MISCELLANEOUS JOURNAL ENTRIES (MJE)
(Obsolete 2005)**

Maintains the billings and payments processed between Roads and other state agencies. It is updated with payment information from NIS.

ELECTRONIC DATA: Backup monthly; dispose of annually when the warrant date is 2 years old.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-56 MOTOR FUEL CONSUMPTION REPORT

Monthly FHWA 551M report sent to the Federal Highway Administration.

PRINTOUT: Dispose of after 20 years.

ELECTRONIC DATA: Backup monthly; dispose of after 20 years.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-57 MOTOR FUEL STATISTICS

Includes data on consumption of gasoline, gasoline and special fuel, motor fuel tax rates and revenues generated.

PRINTOUT: Dispose of after 10 years.

ELECTRONIC DATA: Backup monthly; dispose of after 10 years.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-58 MOTOR VEHICLE REGISTRATIONS

PRINTOUT: Dispose of after 3 years.

ELECTRONIC DATA: Backup monthly; dispose of after 10 years.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-59 MUNICIPAL POPULATION (Obsolete June 2003)

Includes current census population counts, census codes, place names, and cities of incorporation.

PRINTOUT: Immediately dispose of obsolete records.

ELECTRONIC DATA: Immediately dispose of obsolete records.

SECURITY BACKUP COPY: Immediately dispose of obsolete records.

37-130-60 NDOR INTERNAL AUDIT REPORTS AND SUPPORTING PAPERS

Internal audit section reviews includes; highway construction projects, purchasing card program, petty cash funds, radiation protection program, and district/division functions. Retain in the audit Section.

Dispose of after 5 years.

37-130-61 NDOR PURCHASING CARD DOCUMENTATION

Includes invoices, packing slips, internet confirmation orders, Journal Voucher printout, "Certificate of Lost Receipt," and "Statement of Questioned Item."

This is retained in the respective Districts/Divisions.

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

37-130-63 NDOR PURCHASING CARD ADMINISTRATOR RECORDS

Includes cardholder application, agreement, "Returned Card Receipt." This is retained in the Controller Division.

ORIGINAL RECORD: Dispose of (shred) after 1 year from deactivation of original purchasing card account, provided audit has been completed.¹

37-130-64 PAYROLL DETAIL SYSTEM (PDS)

Maintains time sheets and leave cost information for Roads employees. System began in September, 1999.

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY BACKUP COPY: Dispose of after superseded.

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

MICROFILM WORK COPY (COM): Dispose of after 50 years.

37-130-65 PETTY CASH RECORDS

Form used to create a petty cash fund or make changes to an existing fund. Retain in Controller Division.

Dispose of after 2 years from deactivation of petty cash account, provided audit has been completed.¹

37-130-66 PROGRAM PROJECT MANAGEMENT SYSTEM (PPM)

Maintains all the road construction project costs, estimates and billings. Detail from this system is deleted after the project is closed. No microfilm work copy is made.

ELECTRONIC DATA: Backup daily; dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-67 PROJECT EXPENSE REPORT

Monthly Report showing project location, cost estimates and money spent on each project for the current month, fiscal year, calendar year and total spent to date. Generated from PPM, Records Retention Schedule Item #37-130-66.

On COM until July 2006, From July 2006 stored on PDF file.

SECURITY MICROFILM (COM): Transfer to the State Records Center; dispose of after 25 years, provided audit has been completed.¹

MICROFILM WORK COPY (COM): Dispose of after 25 years, provided audit has been completed.¹

37-130-68 PROJECT FINANCE (DROPPED PROJECTS) FOLDERS

Maintains documentation for all projects including project authorizations, funding requests, invoices, and correspondence. Report showing projects dropped from PPM System

ORIGINAL RECORD: Microfilm, scan to CD, and destroy annually 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.¹

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

MICROFILM WORKCOPY: Transfer to the State Archives when no longer of reference value.

CD SECURITY COPY: Transfer to the State Records Center; migrate to new media after 10 years, dispose after 25 years.

CD WORK COPY: Migrate to new media after 10 years; dispose of after 25 years.

37-130-70 PROJECT REPORT

A report of projects removed from the PPM System. Microfilm with the Project Finance Folders

ORIGINAL RECORD: Microfilm, scan to CD, and destroy annually, 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.¹

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

MICROFILM WORKCOPY: Transfer to the State Archives when no longer of reference value.

CD SECURITY COPY: Transfer to the State Records Center; migrate to new media after 10 years, dispose of after 25 years.

CD WORK COPY: Migrate to new media after 10 years; dispose of after 25 years.

37-130-69 PROJECT STATUS REPORTS (FHWA) (Obsolete March 2006)

Includes copies of FHWA PR329 project status reports showing federal funds obligated on individual projects by appropriation codes.

ORIGINAL RECORD: Microfilm and destroy after 5 years, 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.

37-130-71 REVENUE PROJECTION (Obsolete June 2003)

Revenue projection and support detail files.

ELECTRONIC DATA: Immediately dispose of obsolete records.

SECURITY BACKUP COPY: Immediately dispose of obsolete records.

37-130-72 ROAD PAVEMENT MARKING RECORDS (Obsolete March 2006)

Includes schedules of roadways to receive striping, daily activities log, project summary, daily narrative log on vehicular operations, and related papers.

Immediately dispose of obsolete records.

37-130-73 ROADS BILLING SYSTEM (RBS)

Maintains detailed information concerning the invoices, advance accounts, state property damage and cash deposits processed by Roads. A printout is produced as a permanent copy when the account detail is disposed.

PRINTOUT: Retain permanently.

ELECTRONIC DATA: Backup monthly; retain permanently.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-74 ROADS FINANCIAL EDIT (RFE)

Maintains all the valid cost accounting transactions for Roads, identifies what cost information can be coded with the cost record and what edits should be performed. Transactions are inactivated and maintained on this file.

ELECTRONIC DATA: Backup monthly; retain permanently.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-75 ROADS PAYMENT SYSTEM (RPS)

Maintains detailed information concerning payments to outside vendors and reimbursements to employees. It is updated with the NIS warrant number when payments are made.

ELECTRONIC DATA: Backup monthly; dispose of 2 years after the NIS warrant date.

SECURITY BACKUP COPY: Dispose of after superseded.

37-130-76 ROUTINE MAINTENANCE COST REPORT (Obsolete 2000)

MONTHLY REPORT: Immediately dispose of obsolete records.

ANNUAL REPORT: Immediately dispose of obsolete records.

SECURITY MICROFILM: Immediately dispose of obsolete records.

MICROFILM WORK COPY: Immediately dispose of obsolete records.

37-130-90 SHOP WORK ORDERS (Obsolete July 2006)

DOR work order forms (DR Form 124) showing related manufacture or repair by Engineering Equipment Shop.

Transfer to DOR Records Center; dispose of after 10 years, provided audit has been completed.¹

37-130-91 SUPPLY BASE BALANCE

Monthly report showing batch amounts of receipts/issues of supply base items. Retain in Controller Division.

Dispose of after 26 months, provided audit has been completed.¹

37-130-77 THIRD PARTY CONTRACT AUDIT REPORTS AND RELATED PAPERS

Transfer to the DOR Archives after 3 years; retain 7 years; dispose of after 10 years.

37-130-99 THIRD PARTY PERMANENT FILES

History and reference files used to record and compile information important to current and future audit reviews of third-party entities. Retained in audit section.

Dispose of after superseded.

37-130-78 TRANSACTION LOG REPORT (Obsolete March 2006)

Quarterly report that itemizes costs to individual control number in project finance system.

ELECTRONIC DATA: Immediately dispose of obsolete records.

REPORT: Immediately dispose of obsolete records.

SECURITY BACKUP COPY: Immediately dispose of obsolete records.

37-130-92 TRAVEL REQUESTS

DOR Travel requests forms (DR Form 102) showing DOR employees' estimated travel expenditures for out-of-state travel and required approvals. Retain in the Controller Division.

Dispose of after 2 years, provided audit has been completed.¹

37-130-79 VOUCHERS (General, IBT's, Paid)

Includes project and non-project related payroll time reports, receiving payment documents, Intra-state Billing Transaction (IBT), disbursement documents, voucher control batch reports, and monthly computer generated consolidation reports of all vouchers paid by voucher number; shows payee name, vouchers amount, code the voucher is charged to, and warrant number. Generated from RPS, Records Retention Schedule Item # 37-130-75. Microfilming stopped in January 2002. Scan to CD and destroy February-August 2002. Paper record from Sept. 2002.

ORIGINAL RECORD: Transfer to the State Records Center; dispose of (shred) after 10 years, provided audit has been completed. 1

NON-PROJECT RELATED: Before Feb. 2002, dispose of after 5 years.

PROJECT RELATED: (Jan-August 2002) Scan to CD and destroy.

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

MICROFILM WORK COPY: 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.

37-130-82 VOUCHERS, SUMMARY CONTROL

Computer report identifies daily balancing of all vouchers. Retain in Controller Division. **Dispose of after 2 years, provided audit has been completed.¹**

37-130-93 WARRANT HISTORY FILE

Annual computer generated report of warrants that are over 24 months old. Generated from RPS, Records Retention Schedule Items # 37-130-75. On COM until July 2005. Beginning July 2005 stored on Controller Division PFD file.

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

MICROFILM WORK COPY (COM): Dispose of after 10 years.

37-130-94 WARRANT REPORTS

Computer generated daily reports, if necessary; includes warrant cancellations, warrant paid errors, warrant requests, duplicate warrants, copies of warrants, manual payments, and manual updates. Generated from RPS, Records Retention Schedule Item # 37-130-75. Retain in Controller Division.

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

TRANSFERRED RECORDS

37-260-203 MUNICIPAL AGREEMENTS

Transferred to Planning & Program Development Division.

NOTE

1. These records may be disposed of after the required retention period provided the audit has been completed with the audit report released and all related audit comments resolved. Check with the organization that performed the audit, and, if applicable, the Federal cognizant agency if there is a question whether resolution is complete. For records retention purposes only, the issuance of an audit waiver (or an Unaudited Financial Statement for villages) by the Auditor of Public Accounts shall take the place of an actual audit.

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.)

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